

**AGENDA ITEM 39**

Consider approving professional services agreement for Road Bond projects for:  
Huggins/Seiler & Associates

Moved: **Commissioner Boatright**

Seconded: **Commissioner Hays**

Motion: To approve professional services agreement in the amount of \$89,000.00 for Road Bond projects for:  
Huggins/Seiler & Associates

Vote: **4 - 0**

< Attachment >

**Pre-Qualified Engineers/Engineering Services  
Williamson County Road Bond Program**

***TxDOT Projects/TxDOT-Related Projects***

Carter & Burgess  
HNTB Team  
PBS&J  
HDR  
Parsons Brinckerhoff Team  
Pate Engineering Team  
Turner, Collie & Braden Team  
T & T Engineering\* Team  
Huggins/Seiler & Associates, LP Team  
Chiang, Patel & Yerby, Inc. Team  
Dannenbaum Engineering Corporation Team

***County Road Projects***

Baker-Aicklen & Associates, Inc.  
Carter & Burgess  
Chiang, Patel & Yerby, Inc.  
Cuatro Consultants, Inc.  
Cunningham Allen, Inc.  
Dannenbaum Engineering Corporation  
Denmon Engineering  
Gray Jansing & Associates, Inc.  
Haynie Consulting, Inc.  
HDR Engineering, Inc.  
HNTB  
Huggins/Seiler & Associates, LP  
Inland Civil Associates, LLC  
Malone/Wheeler, Inc.

Martinez, Wright & Mendez  
Parsons Brinckerhoff  
Pate Engineers  
PBS&J  
S.D. Kallman, Inc.  
Steger & Bizzell Engineering, Inc.  
T&T Engineering  
Turner, Collie & Braden, Inc.  
Urban Design Group

***Landscape Architecture***

HNTB  
Hall Bargainer  
Carter & Burgess  
Turner, Collie & Braden  
PBS&J  
Land Strategies, Inc.

***Surveyors***

McGray & McGray Land Surveyors, Inc.\*  
Urban Design Group  
Pate Engineering  
Surveying and Mapping, Inc.\*  
Landmark Surveying, Inc.\*  
SURVCON, Inc.\*  
Inland Civil Associates, Inc.  
Carter & Burgess  
Martinez, Wright & Mendez

Baker-Aicklen & Associates, Inc.  
Diamond Surveying, Inc.  
Steger & Bizzell Engineering, Inc.  
Bryson Surveying\*  
Austin Surveyors\*  
Malone/Wheeler, Inc.  
Cunningham Allen, Inc.  
S.D. Kallman, Inc.  
Haynie Consulting, Inc.

***Geotechnical***

Kohutek Engineering & Testing, Inc.  
Fugro South, Inc.  
Terra-Mar, Inc.\*  
Holt Engineering, Inc.\*

***Traffic Engineering***

Alliance-Texas Engineering Company, Inc.  
HNTB  
Carter & Burgess  
Turner, Collie & Braden

\*Member of a team - did not submit individual qualifications

P:\Prime Strategies Data\Projects\WC-0155\Pre-Qualified Engineers\_tbl.wpd

**WILLIAMSON COUNTY ROAD BOND PROGRAM  
PROPOSED PRIORITY PROJECTS - FY 2001**

<i>Project*</i>	<i>Limits / Project Element*</i>	<i>Year 1 (FY 2001)</i>
<b>COUNTY PROJECTS</b>		
<b>1</b>	<b>Georgetown Inner Loop</b>	
	FM 2338 to US 29	
	Right-of-Way	\$ 200,000.00
	Construction	\$ 3,000,000.00
<b>2</b>	<b>Georgetown Inner Loop</b>	
	US 29 to FM 2243	
	Design	\$ 500,000.00
	Right-of-Way	\$ 250,000.00
	Construction	\$ 800,000.00
<b>3</b>	<b>McNell Road</b>	
	Howard Lane to IH-35	
	Design	\$ 750,000.00
	Right-of-Way	\$ 200,000.00
	Construction	**
<b>4</b>	<b>Parmer Lane</b>	
	FM 1431 to IH-35 North	
	Route/Alignment Determination	\$ 800,000.00
	Right-of-Way	\$ 2,000,000.00
<b>5a</b>	<b>Parmer Lane - Segment A</b>	
	FM 1431 to FM 2243	
	Design	\$ 480,000.00
	Construction	\$ 1,100,000.00
<b>5b</b>	<b>Parmer Lane - Segment B</b>	
	FM 2243 to US 29	
	Design	\$ 400,000.00
	Construction	\$ 1,000,000.00
<b>5c</b>	<b>Parmer Lane - Segment C</b>	
	US 29 to FM 3405	
	Design	\$ 600,000.00
	Construction	**
<b>6</b>	<b>Chandler Road</b>	
	FM 1460 to US 95	
	Route/Alignment Determination	\$ 400,000.00
	Right-of-Way	\$ 1,000,000.00
<b>7a</b>	<b>Chandler Road - Segment A</b>	
	FM 1460 to CR 110	
	Design	\$ 350,000.00
	Construction	\$ 1,000,000.00
<b>7b</b>	<b>Chandler Road - Segment B</b>	
	CR 110 to FM 1660	
	Design	\$ 170,000.00
	Construction	**
<b>8</b>	<b>Congestion/Safety Projects</b>	\$ 5,000,000.00
<b>9</b>	<b>Precinct-Wide Project</b>	
	Precinct 1	\$ 2,000,000.00
	Precinct 2	\$ 2,000,000.00
	Precinct 3	\$ 2,500,000.00
	Precinct 4	\$ 3,000,000.00
<b>Subtotal County Projects</b>		<b>\$ 29,500,000.00</b>

Contract No. \_\_\_\_\_

**Checklist****Prior to Initiation of Work**

- Signed and Executed Agreement
- Scope of Services – Appendix A
  - Exhibit A – Services to be provided by County
  - Exhibit B – Services to be provided by Engineer
  - Exhibit C – Work Schedule
  - Exhibit D – Fee Schedule
- Production Schedule – Exhibit IV
- Hourly Rates of Engineer – Exhibit II
- Work Authorization - Attachment A to Exhibit I
  - Supplemental Work Authorization for Additional Work (if applicable)
- Data to be provided to Engineer by County
  - Plans
  - Maps
  - Studies
  - Reports
  - Field Notes
  - Statistics
  - Computations
  - Other: \_\_\_\_\_
- Contractors Qualification Statement – Appendix B *pre-qualified by Commission's Council*
- Insurance
  - Worker's Compensation
  - Commercial General Liability Insurance
  - Automobile Liability Insurance
  - Professional Liability Errors and Omissions Insurance
  - Self Insurance Documentation
  - Insurance Certificates for Subcontractors and/or Sub-consultants
  - Approval of Insurance by County

**Course of Work**

- Original Engineering Work Product submittal
- "Completed" Engineering Work Product
- "Accepted" Engineering Work Product
- Modifications and/or Changes for Approval of Engineering Work Product
- "Approved" Engineering Work Product
- Revisions to Work Product
- Seal of Endorsement on all Engineering Work Product
- Data necessary for applications or documentation for permits and/or grants to be provided by Engineer to County

**Notices (as applicable)**

Contract No. \_\_\_\_\_

- ☐ Notice of Suspension
- ☐ Notice of Reinstatement
- ☐ Notice of Termination
- ☐ Notice of Staffing Changes
- ☐ Written Report of Accident

**Documentation for Payment**

- Internal Revenue Form W-9
- ☐ Invoice for Services Rendered
  - Supporting Documentation
  - Report of Completion Percentage
- ☐ Invoice for Reimbursables
  - Proof of prior payment by Engineer of Reimbursables

Contract No. \_\_\_\_\_

**PROFESSIONAL SERVICES AGREEMENT**

## TABLE OF CONTENTS

<b><u>SECTION:</u></b>	<b><u>TITLE:</u></b>	<b><u>PAGE</u></b>
I.	<i>Employment of the Engineer</i>	1
II.	<i>Basic Services of the Engineer</i>	1
III.	<i>Fee Schedule</i>	3
IV.	<i>Period of Service</i>	3
V.	<i>Coordination with the County</i>	4
VI.	<i>Review of Work Product</i>	5
VII.	<i>Revision to Work Product</i>	6
VIII.	<i>Engineer's Responsibility and Liability</i>	6
IX.	<i>Ownership of Documents</i>	8
X.	<i>Maintenance of and Right of Access to Records</i>	8
XI.	<i>Miscellaneous:</i>	
A.	Severability	9
B.	Venue	9
C.	Equal Opportunity in Employment	9
D.	Certificate of Engineer	9
E.	Notice	10
F.	Insurance Requirements	10
G.	Forfeiture of Contract	10
H.	Property Taxes	10
I.	Successors and Assigns	11
J.	Bidding Exemption	11
K.	Historically Underutilized Businesses	11
L.	Taxpayer Identification	11
M.	Compliance with Laws	11
N.	Reports of Accidents	11
O.	Entire Agreement	11
P.	Captions Not a Part Hereof	12
Q.	Incorporation of Attachments	12
R.	Entity Status	12
S.	Acknowledgement	12
	<b>Signature Page</b>	13

Contract No. \_\_\_\_\_

## TABLE OF CONTENTS (cont'd)

<b>EXHIBIT I</b>	<i>Compensation for Professional Services</i>	14
	<i>Attachment A – Work Authorization</i>	16
<b>EXHIBIT II</b>	<i>Hourly Rates</i>	18
<b>EXHIBIT III</b>	<i>Compensation for Additional Professional Services</i>	19
<b>EXHIBIT IV</b>	<i>Production Schedule</i>	20
<b>EXHIBIT V</b>	<i>Procedures for Termination or Suspension</i>	21
<b>EXHIBIT VI</b>	<i>Equal Opportunity in Employment</i>	23
<b>EXHIBIT VII</b>	<i>Insurance Requirements</i>	25
<b>APPENDIX A</b>	<i>Scope of Services</i>	27
<b>APPENDIX B</b>	<i>Contractor's Qualification Statement</i>	28



**PROFESSIONAL SERVICES AGREEMENT**

STATE OF TEXAS                   §  
  §  
COUNTY OF WILLIAMSON       §

This Agreement is made and entered into this day by and between Williamson County, Texas, a political subdivision of the State of Texas, (*the "County"*) and Huggins/Seiler & Associates, LP (*the "Engineer"*).

WHEREAS, *County* proposes to construct Roadway Improvements at various locations;

WHEREAS, *County* desires to obtain professional services Roadway Improvements at various locations (*the "Project"*);

WHEREAS, *Engineer* has the professional ability and expertise to fulfill the requirements of the *Project*, and to counsel *County* in the selection and analysis of cost-effective alternatives.

NOW, THEREFORE, *County* and *Engineer* agree to the performance of the professional services by *Engineer* and the payment for these services by *County* as set forth herein.

**Section I**  
**Employment of the Engineer**

*County* agrees to employ *Engineer* and *Engineer* agrees to perform professional engineering services for the *Project* as stated in the Sections to follow. As a condition to employment, it is specifically agreed that any disputes arising hereunder shall be submitted to the County Judge or his designee and/or agent as designated in the Scope of Services in Appendix A, or as otherwise designated (*individually or collectively the "County Judge"*). The *County Judge* shall have complete authority for the purpose of resolving technical matters. In all other cases, the decision of the Williamson County Commissioners Court shall be final and binding.

**Section II**  
**Basic Services of the Engineer**

- A. In consideration of the compensation herein provided, *Engineer* shall perform professional engineering services for the *Project*, which are acceptable to the *County Judge*. *Engineer* shall also serve as *County's* professional engineer in those phases of the *Project* to which this Agreement applies and will consult with and give advice to *County* during the performance of *Engineer's* services.
- B. *Engineer* shall not commence work until *Engineer* has been thoroughly briefed on the scope of the *Project* and has been notified in writing by the *County Judge* to proceed, as evidenced by a Work Authorization substantially in the form of Attachment A to Exhibit I.

Contract No. \_\_\_\_\_

2 of 28 Pages

- C. **County** shall provide **Engineer** with all existing plans, maps, studies, reports, field notes, statistics, computations, and other data in its possession relative to existing facilities and to this particular **Project** at no cost to **Engineer**; however, any and all such information shall remain the property of **County** and shall be returned, if the **County Judge** so instructs **Engineer**.
- D. **Engineer** shall perform the following Basic Scope of Services:
1. The basic Scope of Services shall generally consist of all elements of work, materials and equipment required for the development of the **Project**, including any Public Hearings, satisfactory to the **County Judge** and the County's Commissioners Court, in accordance with the requirements, policies, and general practices of Williamson County.
  2. The following documents shall be used in the development of the **Project**:
    - a. TxDOT 1980 Texas Manual of Uniform Traffic Control Devices for Streets and Highways, Revision 5, including:
      - i) The 1998 reprint of the Texas Manual on Uniform Traffic Control Devices for Streets and Highways
      - ii) The September 31, 1998, Federal Highway Administration (FHWA) Mandate from the National Cooperative Highway Research Program (NCHRP), Report 350
    - b. Texas Department of Transportation Construction Manual
    - c. Texas Department of Transportation's Standard Specifications for Construction of Highways, Streets, and Bridges, 1993 (English units)
    - d. National Environmental Policy Act (NEPA)
    - e. Texas Accessibility Standards (TAS) of the Architectural Barriers Act, Article 9102, Texas Civil Statutes, Effective April 4, 1994
    - f. Americans with Disabilities Act (ADA) Regulations
    - g. U.S. Army Corps Regulations
    - h. Southern Building Code
    - i. Uniform Building Code. Note: Williamson County will use the 1997 Uniform Building Code (May 1, 1997) as a guide for design.
    - j. National Electrical Code (most current version)
    - k. Williamson County Bond Program Standard Procedures Manual
    - l. TxDOT Bridge Division Foundation Manual
  3. As part of the Scope of Services, **Engineer** shall submit its work products to **County** for review at regular intervals.
  4. The detailed Scope of Services for the **Project** is set forth herein as Appendix A to this Agreement, and is expressly incorporated and made a part hereof.

Contract No. \_\_\_\_\_

3 of 28 Pages

### Section III Fee schedule

- A. For and in consideration of the performance by *Engineer* of the work described in the Scope of Services, *County* shall pay and *Engineer* shall receive the fee set forth in Exhibit I. The fee is based upon the hourly rates set forth in Exhibit II. Exhibits I and II are attached hereto and made a part hereof.
- B. For the performance of services not specifically described in the Scope of Services *Engineer* shall receive the additional services compensation described in Exhibit III, which is attached hereto and made a part hereof. In the event of any dispute over the classification of *Engineer's* services as basic or additional services under this agreement, the decision of the *County Judge* shall be final and binding on *Engineer*.

### Section IV Period of Service

- A. *Engineer* shall perform the professional services described in Appendix A, the Scope of Services, in accordance with the Production Schedule attached hereto as Exhibit IV and made a part hereof.
- B. This Agreement shall become effective upon the date approved by *County* and will remain in full force and effect for the period required for the design, construction contract award and construction of the *Project*, including warranty periods and any extensions of time, unless terminated earlier as provided for herein. *Engineer* shall complete all design work as described in the Scope of Services within 365 calendar days from receipt by *Engineer* of *County's* written Work Authorization and in accordance with the production timeline included in the Scope of Services.
- C. Neither *Engineer* nor *County* shall be responsible for delays caused by "Acts of God", non-county governmental processes, national emergency, or any other causes beyond *Engineer's* or *County's* reasonable control. Upon the discovery of such an event, *Engineer* shall notify *County*, and attend a special meeting with the *County Judge* to propose a program for a solution to the problem, and, if necessary, to establish an estimated period of time of suspension or extension of the work. A written request for an extension of time, when properly documented and justified by the circumstances, may be granted by the *County Judge*.
- D. *County* may suspend the work at any time for any reason without terminating this Agreement by giving written Notice of Suspension and the work may be reinstated and this Agreement resumed in full force and effect within sixty (60) days of receipt by *Engineer* of written Notice of Reinstatement from *County*. *Engineer*, upon receipt of a Notice of Suspension shall follow the procedures described in the attached Exhibit V, which is attached hereto and

Contract No. \_\_\_\_\_

4 of 28 Pages

made a part hereof.

- E. Either party may terminate this Agreement for the substantial failure of the other party to perform in accordance with the terms of this Agreement, through no fault of the terminating party, and *County* may terminate this Agreement for reasons other than substantial failure by *Engineer* to perform by delivering a written Notice of Termination which shall take effect on the tenth day following receipt. If mutually agreed upon, the obligation to provide services under this Agreement may be terminated without cause upon thirty (30) days written notice. *Engineer* shall follow the procedures specified in Exhibit V upon issuance or receipt of such notice. In the event of termination of this Agreement because of the substantial failure of *Engineer* to perform, *County* may prosecute the work to completion by contract or otherwise and, in such a case, *Engineer* shall be liable for any additional costs incurred by *County*.
- F. *Engineer* specifically acknowledges that *County* will sustain damages for each day beyond the required dates of completion of the Preliminary and Design Phases as defined in the Scope of Services that the work has not been accepted and approved. Because of the impracticality and extreme difficulty of fixing and ascertaining *County's* actual damages, *Engineer* agrees that two hundred and fifty and No/100 Dollars (\$ 250.00 ) per day shall be retained by *County* from any amounts due *Engineer* for every day that *Engineer* does not meet the production requirements set forth in Exhibit IV.
- G. Periods of time during which a Notice of Suspension is in effect or during which a submitted and complete engineering work product is in technical review, as described in Section VI, shall not be taken into account in computing the amount of liquidated damages. In the event that an engineering work product received by *County* is found to be incomplete, as defined in Section VI, Paragraph B, the period of time from the original submittal of the engineering work product to the receipt of subsequent submittal necessary to produce a completed submittal will be taken into account in computing the number of days and the amount of liquidated damages.
- H. All references to time in this Agreement shall be measured in calendar days unless otherwise specified.

#### Section V Coordination with the County

- A. The *County Judge* will act on behalf of *County* with respect to the work to be performed under this Agreement. The *County Judge* shall have complete authority to interpret and define *County's* policies and decisions with respect to *Engineer's* services. The *County Judge* may designate representatives to transmit instructions and receive information.
- B. *Engineer* shall not commence work on any phase of the *Project* until a thorough briefing on the scope of the *Project* is received and a written Work Authorization is issued by the *County Judge* in substantially the form of Attachment A to Exhibit I.

Contract No. \_\_\_\_\_

5 of 28 Pages

- C. **Engineer** shall furnish all available data and reasonable assistance necessary for the development of applications or supporting documentation for any permits, grants, or planning advances, provided that **Engineer** shall not be obligated to develop additional data, appear at hearings, or prepare extensive reports, unless compensated for such work under other provisions of this Agreement.
- D. **Engineer** shall have the responsibility at all times under the terms of this Agreement to advise **County** whether in **Engineer's** judgment it is feasible to proceed with the recommendations given any constraints affecting the **Project**.
- E. **Engineer** shall cooperate and coordinate with **County's** staff, and other engineers and contractors as reasonable and necessary and as required by the **County Judge**.

#### Section VI Review of Work Product

- A. **Engineer's** engineering work product will be reviewed by **County** under its applicable technical requirements and procedures.
- B. Reports, plans, specifications, and supporting documents, (the "engineering work products"), shall be submitted by **Engineer** on or before the dates specified in the Production Schedule set forth in Exhibit IV. Upon receipt of the engineering work products, the submission shall be checked for completion. "Completion" shall be defined as: all of the required items have been included in the engineering work products in compliance with the requirements of this Agreement.
- C. If the submission is complete, **County** shall notify **Engineer** and **County's** technical review process will begin.
- D. If the submission is incomplete, **County** shall notify **Engineer**, who shall perform such professional services as are required to complete the work and resubmit it to **County**. This process shall be repeated until a submission is complete.
- E. **County** shall review the completed work for compliance with the scope of work. If necessary, the completed work shall be returned to **Engineer**, who shall perform any required work and resubmit it to **County**. This process shall be repeated until the work is accepted. "Acceptance" shall mean that in the **County Judge's** opinion substantial compliance with the requirements of this Agreement has been achieved.
- F. After acceptance, **Engineer** shall perform any required modifications, changes, alterations, corrections, redesigns, and additional work necessary to receive final approval by the **County Judge**. "Approval" in this sense shall mean formal recognition that the work has been fully carried out.

Contract No. \_\_\_\_\_

6 of 28 Pages

- G. After approval of final engineering work products, *Engineer* shall without additional compensation perform any work required as a result of *Engineer's* development of the products which is found to be in error or omission. However, any work required or occasioned for the convenience of *County* after approval of a final product shall be paid for as Additional Services.
- H. In the event of any dispute over the classification of *Engineer's* work products as complete, accepted, or approved under this Agreement, the decision of the *County Judge* shall be final and binding on *Engineer*.

#### Section VII Revision to Work Product

*Engineer* shall make without expense to *County* such revisions to the work product as may be required to meet the needs of *County*, but after the approval of the work product any revisions, additions, or other modifications made at *County's* request which involve extra services and expenses to *Engineer* shall entitle *Engineer* to additional compensation for such extra services and expenses, provided however, that *Engineer* agrees to perform any necessary corrections to the work products, which are found to be in error or omission as a result of the *Engineer's* development of the work product, at any time, without additional compensation. In addition, if it is necessary to revise the plans in order to make the *Project* constructable, *Engineer* shall do so without additional compensation. In the event of any dispute over the classification of *Engineer's* services as Basic or Additional Services under this Agreement, the decision of the *County Judge* shall be final and binding on *Engineer*.

#### Section VIII Engineer's Responsibility and Liability

- A. *Engineer* covenants to undertake no task in which a professional license or certificate is required unless he or someone under his direction is appropriately licensed. In the event such licensed individual's license expires, is revoked, or is canceled, *Engineer* shall inform *County* of such event within five working days.
- B. *Engineer* shall be responsible for conformance with applicable federal and state laws, county permitting requirements, and city ordinances currently in effect, except as otherwise directed by the *County Judge*.

Contract No. \_\_\_\_\_

7 of 28 Pages

- C. Acceptance and approval of the final plans by *County* shall not release *Engineer* of any responsibility or liability for the accuracy and competency of his designs, working drawings, specifications, or other documents or work performed under this Agreement. Neither acceptance nor approval by *County* shall be an assumption of responsibility or liability by *County* for any defect, error, or omission in the designs, working drawings, specifications, or other documents prepared by *Engineer*.
- D. *Engineer* shall indemnify, defend, protect, and save harmless *County*, its officials and employees and its agents and agents' employees from and against all claims, suits, actions, liability, loss, damage, attorney's fees, costs, and expenses of any kind whatsoever, arising in whole or in part from any negligent act, error or omission of *Engineer* or any of its subcontractors in connection with the performance of services under this Agreement; provided, however, *Engineer* shall not be responsible for the negligence of any other party, other than its subcontractors.
- E. *Engineer's* opinions of probable *Project* cost or construction cost represent *Engineer's* best judgment as a design professional familiar with the construction industry, but *Engineer* does not guarantee that proposals, bids, or the construction cost, itself, will not vary from *Engineer's* opinions of probable cost.
- F. *Engineer* shall perform all services and responsibilities required of *Engineer* under this Agreement using at least that standard of care which a reasonably prudent engineer in Texas, as determined by the State Board of Engineers, or the State Board of Registered Professional Surveyors, as applicable, would use in similar circumstances.
- G. *Engineer* represents that it presently has, or is able to obtain, adequate qualified personnel in its employment for performance of the services required under this Agreement and that *Engineer* shall furnish and maintain, at its own expense, adequate and sufficient personnel and equipment, in the opinion of *County*, to perform the services when and as required and without delays. It is understood that *County* will approve assignment and release of all key *Engineer* personnel and that the *Engineer* shall submit written notification of all staffing changes monthly for *County's* and/or *County Judge's* approval prior to the implementation of such changes.
- H. All employees of *Engineer* shall have such knowledge and experience as will enable them to perform the duties assigned to them. Any employee of *Engineer*, who in the opinion of *County* is incompetent or whose conduct becomes detrimental to the work or coordination with *County*, shall upon *County's* and/or *County Judge's* request be immediately removed from association with the *Project*.
- I. *Engineer* shall furnish all equipment, transportation, supplies, and materials required for its operations under this Agreement.
- J. *Engineer* shall place his Texas Professional Engineer's seal of endorsement on all documents and engineering data furnished to *County*, as required by law.

Contract No. \_\_\_\_\_

8 of 28 Pages

- K. *Engineer* is an independent contractor under this Agreement. Neither he nor any officer, agent nor employee of *Engineer* shall be classified as an employee of *County*.

### Section IX Ownership of Documents

- A. Any and all documents, including the original drawings, estimates, computer tapes, graphic files, tracings, calculations, analyses, reports, specifications, field notes, and data prepared by *Engineer* are the property of *County* and upon completion of the work or termination of this Agreement or as otherwise instructed by *County* and/or *County Judge*, shall be delivered to *County* in an organized fashion with *Engineer* retaining a copy.
- B. Any reuse by *Engineer* of any such documents described in subsection A above, without the specific written consent of *County* shall be at *Engineer's* sole risk and without liability or legal exposure to *County*. Should *Engineer* be terminated, *Engineer* shall not be liable for *County's* use of partially completed designs, plans, or specifications on this *Project* or any other project, except to the extent such documents were deemed complete or otherwise "Accepted" or "Approved" as provided herein or represent completed work sealed by *Engineer*, or Surveyor, as applicable, as specified by professional standards.
- C. *Engineer* will not be responsible for any use or any modifications to the plans and documents described in subsection A performed by any entity other than Williamson County, and *County's* respective engineers and contractors, without the specific written consent of *Engineer*.

### Section X Maintenance of and Right of Access to Records

- A. *Engineer* agrees to maintain appropriate accounting records of costs, expenses, and payrolls of employees working on the *Project*, together with documentation of evaluations and study results for a period of five years after final payment for completed services and all other pending matters concerning this Agreement have been closed.
- B. *Engineer* further agrees that *County* or its duly authorized representatives shall, until the expiration of three (3) years after final payment under this Agreement, have access to and the right to examine and photocopy any and all books, documents, papers and records of *Engineer*, which are directly pertinent to the services to be performed under this Agreement for the purposes of making audits, examinations, excerpts, and transcriptions. *Engineer* agrees that *County* shall have access during normal working hours to all necessary *Engineer* facilities and shall be provided adequate and appropriate work space in order to conduct audits in compliance with the provisions of this section. *County* shall give *Engineer* reasonable advance notice of intended audits.



Contract No. \_\_\_\_\_

9 of 28 Pages

- C. **Engineer** further agrees to include in all its sub-consultant agreements hereunder a provision to the effect that the sub-consultant agrees that **County** shall, until the expiration of three (3) years after final payment under the subcontract, have access to and the right to examine and photocopy any directly pertinent books, documents, papers and records of such sub-consultant, involving transactions to the subcontract, and further, that **County** shall have access during normal working hours to all sub-consultant facilities, and shall be provided adequate and appropriate work space, in order to conduct audits in compliance with the provisions of this section together with subsection (D) hereof. **County** shall give sub-consultant reasonable advance notice of intended audits.
- D. **Engineer** and sub-consultant agree to photocopy such documents as may be requested by **County**. **County** agrees to reimburse **Engineer** for the cost of copies at the rate published in the Texas Administrative Code in effect as of the time copying is performed.

#### Section XI Miscellaneous

- A. **Severability.** Any clause, sentence, provision, paragraph, or article of this Agreement held by a court of competent jurisdiction to be invalid, illegal, or ineffective shall not impair, invalidate, or nullify the remainder of this Agreement, but the effect thereof shall be limited to the clause, sentence, provision, paragraph or article so held to be invalid, illegal, or ineffective.
- B. **Venue.** It is contemplated that this Agreement shall be performed in Williamson County, Texas, and the venue and jurisdiction of any suit, right, or cause of action arising out of or in connection with this Agreement shall lie exclusively in Williamson County, Texas. This Agreement shall be governed by and construed in accordance with the laws of the State of Texas.
- C. **Equal Opportunity in Employment.** **Engineer** agrees, during the performance of the services under this Agreement, to comply with the equal opportunity in employment provisions cited in Exhibit VI, which is attached hereto and made a part hereof.
- D. **Certificate of Engineer.** **Engineer** certifies that neither **Engineer** nor any members of **Engineer's** firm has:
- (1) Employed or retained for a commission, percentage, brokerage, contingency fee, or other consideration, any firm or person (other than a bonafide employee working solely for **Engineer**) to solicit or secure the work provided by the Agreement.
  - (2) Agreed, as an expressed or implied condition for obtaining this contract, to employ or retain the services of any firm or person other than in connection with carrying out the work to be performed under this Agreement.
  - (3) Paid or agreed to pay to any firm, organization, or person (other than bonafide employees working solely for **Engineer**) any fee, contribution, donation, or

Contract No. \_\_\_\_\_

10 of 28 Pages

consideration of any kind for, or in connection with, procuring or carrying out the work provided under this Agreement.

**Engineer** further agrees that this certification may be furnished to any local, state or federal governmental agencies in connection with this Agreement and for those portions of the **Project** involving participation of agency grant funds and is subject to all applicable state and federal, criminal and civil laws.

- E. **Notice.** Any notice to be given hereunder shall be in writing and may be affected by personal delivery in writing or by registered or certified mail, return receipt requested, addressed to the proper party, at the following address:

ENGINEER: Huggins/Seiler & Associates, LP  
600 Round Rock Drive, Suite 602  
Round Rock, TX 78681

COUNTY: Williamson County (or successor)  
\_\_\_\_\_  
\_\_\_\_\_

with copy to: Honorable Gene Taylor (or successor)  
Williamson County Attorney  
\_\_\_\_\_  
\_\_\_\_\_

Attn: File No.

and to: Prime Strategies, Inc.  
1598 South Lamar Blvd.  
Austin, Texas 78704  
Attn: Michael Weaver

and to: Pena Swayze & Co., LLP  
303 East Main Street  
Round Rock, Texas 78664  
Attn: Mike Swayze

and to: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Contract No. \_\_\_\_\_

11 of 28 Pages

- F. **Insurance Requirements.** *Engineer* agrees during the performance of the services under this Agreement to comply with the INSURANCE REQUIREMENTS provisions described in Exhibit VII, which is attached hereto and made a part hereof.
- G. **Property Taxes.** Notwithstanding anything to the contrary herein, to the extent *County* becomes aware that *Engineer* is delinquent in the payment of property taxes related to property located in Williamson County at the time of invoicing, *Engineer* hereby assigns any payments to be made for services rendered hereunder to the Williamson County Tax Assessor-Collector for the payment of said delinquent taxes. Notwithstanding the above, *County* shall not have an affirmative duty to determine if *Engineer* is delinquent in the payment of property taxes.
- H. **Successors and Assigns.** This Agreement shall be binding upon and inure to the benefit of *County* and *Engineer* and their respective successors, executors, administrators, and assigns. Neither *County* nor *Engineer* may assign, sublet, or transfer his interest in or obligations under this Agreement without the written consent of the other party hereto.
- I. **Bidding Exemption.** This Agreement is exempted from the bidding requirements of the County Purchasing Act pursuant to Section 262.024(a)(4) of the Local Government Code as this is a contract for professional services.
- J. **Taxpayer Identification.** *Engineer* shall provide to *County Judge* upon submittal of *Engineer's* initial invoice requesting payment Internal Revenue Form W-9 Request for Taxpayer Identification Number and Certification that is completed in compliance with the Internal Revenue Code, its rules and regulations.
- K. **Compliance with Laws.** *Engineer* shall comply with all federal, state, and local laws, statutes, ordinances, rules and regulations, and the orders and decrees of any courts or administrative bodies or tribunals in any matter affecting the performance of this Agreement, including, without limitation, Worker's Compensation laws, minimum and maximum salary and wage statutes and regulations, licensing laws and regulations. When required, the *Engineer* shall furnish the *County* with certification of compliance with said laws, statutes, ordinances, rules, regulations, orders, and decrees above specified.
- L. **Reports of Accidents.** Within 24 hours after the occurrence of any accident or other event which results in, or might result in, injury to the person or property of any third person (other than an employee of the *Engineer*), whether or not it results from or involves any action or failure to act by the *Engineer* or any employee or agent of the *Engineer* and which arises in any manner from the performance of this Agreement, the *Engineer* shall send a written report of such accident or other event to the *County*, setting forth a full and concise statement of the facts pertaining thereto. The *Engineer* shall also immediately send the *County* a copy of any summons, subpoena, notice, or other documents served upon the *Engineer*, its agents, employees, or representatives, or received by it or them, in connection with any matter before any court arising in any manner from the *Engineer's* performance of work under this

Contract No. \_\_\_\_\_

12 of 28 Pages

Agreement.

- M. ***Entire Agreement.*** This Agreement represents the entire and integrated Agreement between ***County*** and ***Engineer*** and supersedes all prior negotiations, representations, or agreements, either oral or written. This Agreement may be amended only by written instrument signed by both ***County*** and ***Engineer***. NO OFFICIAL, EMPLOYEE, AGENT, OR REPRESENTATIVE OF THE COUNTY HAS ANY AUTHORITY, EITHER EXPRESS OR IMPLIED, TO AMEND THIS CONTRACT, EXCEPT PURSUANT TO SUCH EXPRESS AUTHORITY AS MAY BE GRANTED BY THE COUNTY COMMISSIONERS COURT.
- N. ***Captions Not a Part Hereof.*** The captions or subtitles of the several sections and divisions of this Agreement constitute no part of the content hereof, but are only labels to assist in locating and reading the provisions hereof.
- O. ***Incorporation of Exhibits and Attachments.*** All of the Exhibits and Attachments, and Appendices referred to in the Agreement are incorporated by reference as if set forth verbatim herein.
- P. ***Entity Status.*** By my signature below, I certify that ***Engineer*** is a Texas limited partnership, duly created under Texas law and doing business in the State of Texas.
- Q. ***Acknowledgement.*** As a duly authorized representative of ***Engineer***, I acknowledge by my signature below that I have read and understand the above paragraphs and that ***Engineer*** has the obligation to ensure compliance with its provisions by itself and its employees, agents, and representatives.
- R. ***Definition of Engineer.*** The term "Engineer" as used herein is defined as including Registered Professional Surveyors, as applicable to the work to be performed under this Agreement, and any reference to professional standards in regards to a Registered Professional Surveyor shall relate to those standards promulgated by the State Board of Registered Professional Surveyors.

2/27/2001

Page 151

Contract No. \_\_\_\_\_

13 of 28 Pages

EXECUTED this \_\_\_\_\_ day of \_\_\_\_\_, 2001.

THE ENGINEER:

BY: Billy L. Huggins

Printed Name: Billy L. Huggins

Title: President, Huggins, LLC  
General Partner

WILLIAMSON COUNTY:

BY: John C. Daenfler 2-27-01  
John C. Daenfler

Williamson County Judge

Reviewed as to Form By: \_\_\_\_\_

County Attorney

Funds Verified By: \_\_\_\_\_

County Auditor

Contract No. \_\_\_\_\_

14 of 28 Pages

**EXHIBIT I****COMPENSATION FOR PROFESSIONAL SERVICES****ACTUAL COST OF SERVICES METHOD**

[Note: A separate Compensation Agreement will be attached for Compensation on a Work-Order Basis]

**SECTION 1 - BASIS FOR COMPENSATION**

- 1.1 The not-to-be-exceeded fee for the performance of the Scope of Services described in the Agreement shall be the sum of \$ 300,000.00.
- 1.2 The basis of compensation for the services of principals and employees engaged in the performance of the work shall be the hourly rates set forth in attached Exhibit II.
- 1.3 *Engineer* shall be reimbursed for non-labor and subcontract expense incurred in the performance of the services under this Agreement at invoice cost.

**SECTION 2 - NOT-TO-BE-EXCEEDED FEE**

- 2.1 *Engineer* and *County* acknowledge the fact that the not-to-be-exceeded fee is the total estimated costs of services to be rendered under this Agreement. This not-to-be-exceeded fee is based upon the labor and non-labor costs set forth in Exhibit II to this Agreement and described above, estimated to be required in the performance of the various phases of work provided for under this Agreement. Should the actual costs of the services rendered under this Agreement be less than such estimated cost, then *Engineer* shall receive compensation for only those services actually rendered.

**SECTION 3 - WORK AUTHORIZATIONS**

- 3.1 *County* will prepare and issue Work Authorizations, in the form identified and attached hereto as Attachment A to authorize the *Engineer* to perform one or more tasks. Each Work Authorization will include a description of the work to be performed, a description of the tasks and milestones, a work schedule for the tasks, and a fee amount agreed upon by the *County* and *Engineer*. The amount payable for a Work Authorization shall be supported by the estimated cost of each work task as described in the Work Authorization. The Work Authorization will not waive the *Engineer's* responsibilities and obligations established in this Agreement. The executed Work Authorizations shall become part of this Agreement.
- 3.2 Work included in a Work Authorization shall not begin until *County* and *Engineer* have signed the Work Authorization. All work must be completed on or before the completion date specified in the Work Authorization. The *Engineer* shall promptly notify the *County* of any event which will affect completion of the Work Authorization, although such notification shall not relieve the *Engineer* from costs or liabilities resulting from delays in completion of

Contract No. \_\_\_\_\_

15 of 28 Pages

the Work Authorization. Any changes in the Work Authorization shall be enacted by a written Supplemental Work Authorization before additional work may be performed or additional costs incurred. Any Supplemental Work Authorization must be executed by both parties within the period specified in the Work Authorization. The *Engineer* shall not perform any proposed work or incur any additional costs prior to the execution, by both parties, of a Supplemental Work Authorization.

#### **SECTION 4 - ADDITIONAL SERVICES**

- 4.1 For additional services, compensation shall be negotiated in accordance with Exhibit III.
- 4.2 *Engineer* shall be compensated for extra services not included in the Scope of Services described in the Agreement on the basis specified in Exhibit III; however, *Engineer* shall not be compensated for work made necessary by *Engineer's* errors or omissions.
- 4.3 The maximum amount payable under this Agreement without modification (the "*Compensation Cap*") is \$ 300,000.00, provided that any amounts paid or payable shall be solely pursuant to a validly issued Work Authorization or any Supplemental Work Authorization related thereto. In no event may the aggregate amount of compensation authorized under Work Authorizations and Supplemental Work Authorizations exceed the *Compensation Cap*.

#### **SECTION 5 - REQUIRED SUPPORTING DOCUMENTATION**

- 5.1 Upon submittal of the initial invoice for service, *Engineer* shall provide *County Judge* with an Internal Revenue Form W-9, Request for Taxpayer Identification Number and Certification that is complete in compliance with the Internal Revenue Code, its rules and regulations.
- 5.2 All invoices submitted to *County Judge* will be accompanied by an original, complete packet of supporting documentation. Invoices should detail hours worked by staff person, with a description of the work performed by individuals. Invoices should also contain a representation of the percentage of completion relative to that segment of the *Project*.
- 5.3 For additional services performed pursuant to Section III B of this Agreement, a separate invoice or itemization of this work will be presented with the same requirements for supporting documentation as in Section 5.2 of this Exhibit.
- 5.4 Invoices requesting reimbursement for expenditures related to the project (reimbursables) must be accompanied by copies of the provider's invoice which was previously paid by *Engineer*.

Contract No. \_\_\_\_\_

16 of 28 Pages

**ATTACHMENT A**

**WORK AUTHORIZATION NO. 1**

This Work Authorization is made pursuant to the terms and conditions of the Agreement entered into by and between Williamson County, Texas, a political subdivision of the State of Texas, (*the "County"*) and Huggins/Seiler & Associates, LP (*the "Engineer"*).

**Part 1.** The *Engineer* will provide the following engineering services: Phase I (discovery phase) services at FM 1869 at SH 29 and Oak Grove Road at US 183.

**Part 2.** The maximum amount payable for services under this Work Authorization without modification is \$85,580.57.

**Part 3.** Payment to the *Engineer* for the services established under this Work Authorization shall be made in accordance with the Agreement.

**Part 4.** This Work Authorization shall become effective on the date of final acceptance of the parties hereto and shall terminate on November 1, 2001, unless extended by a Supplemental Work Authorization.

**Part 5.** This Work Authorization does not waive the parties' responsibilities and obligations provided under the Agreement.



Contract No. \_\_\_\_\_

17 of 28 Pages

## ATTACHMENT A (con't.)

Part 6. This Work Authorization is hereby accepted and acknowledged below.

ENGINEER:

Huggins Seiler &amp; Associates, LP

By: Billy L. Huggins

Signature

Billy L. Huggins

Printed Name

President, Huggins, LLC

General Partner

Title

\_\_\_\_\_  
Date

COUNTY:

Williamson County, Texas

By: John C. Daehler

Signature

John C. Daehler

Printed Name

County Judge

Title

2-27-01

Date

## LIST OF EXHIBITS

Exhibit A - Services to be Provided by County

Exhibit B - Services to be Provided by Engineer

Exhibit C - Work Schedule

Exhibit D - Fee Schedule

**EXHIBIT A**  
**SERVICES TO BE PROVIDED BY THE COUNTY**

All existing data available on the projects, including:

- Plans
- Maps
- Studies
- Reports
- Field Notes
- Statistics
- Computations

**EXHIBIT B**  
**SERVICES TO BE PROVIDED BY THE ENGINEER**

Project: FM 1869 at SH 29 (Phase I)  
Oak Grove Road at US 183 (Phase I)  
County: Williamson  
Project Length: 1.0 Miles (each)

---

**ROUTE AND DESIGN STUDIES (Function Code 110) (Phase I)**

- I) COLLECT AND REVIEW EXISTING DATA**
  - a) Conduct initial field reconnaissance
- II) IDENTIFY CORRIDOR ISSUES AND CONSTRAINTS**
  - a) Review previously developed issues
  - b) Identify significant issues
- III) DEVELOP INITIAL PROJECT DATA**
  - a) Obtain existing utility locations and information
- IV) CONDUCT CURSORY HYDRAULIC AND HYDROLOGIC STUDIES**
- V) TRAFFIC ENGINEERING**
  - a) Traffic Projections
  - b) Traffic Signal Warrants
- VI) DEVELOP AND EVALUATE FEASIBLE ALTERNATIVES**
  - a) Identify design alternatives (Estimated - assuming two alternatives)
  - b) Develop alternative designs using digital ortho-photography and GEOPAK:
  - c) Establish design criteria
  - d) Develop typical sections
  - e) Establish preliminary horizontal alignments
  - f) Establish preliminary vertical alignments
  - g) Prepare preliminary earthwork design
  - h) Establish approximate right-of-way required
- VII) PREPARE OPINIONS OF PROBABLE COSTS**
  - a) Prepare probable cost opinions for each design alternative including:
    - i) Construction costs
    - ii) Right-of-way costs
- VIII) PREPARE AN ENGINEERING SUMMARY REPORT**
- IX) DEVELOP RECOMMENDED PREFERRED ALTERNATIVE**
  - a) Compare alternatives incorporating input from Scoping Meeting, Williamson County and TxDOT
  - b) Present Recommended Preferred Alternative to Williamson County and TxDOT on digital ortho-photography.

**ENVIRONMENTAL STUDIES (Function Code 120) (Phase I)**

- I) **PUBLIC MEETINGS**
  - a) Prepare meeting displays and exhibits
  - b) Attend one Informational Meeting
- II) **PREPARE ENVIRONMENTAL DOCUMENT**
  - a) Prepare a Categorical Exclusion (CE)

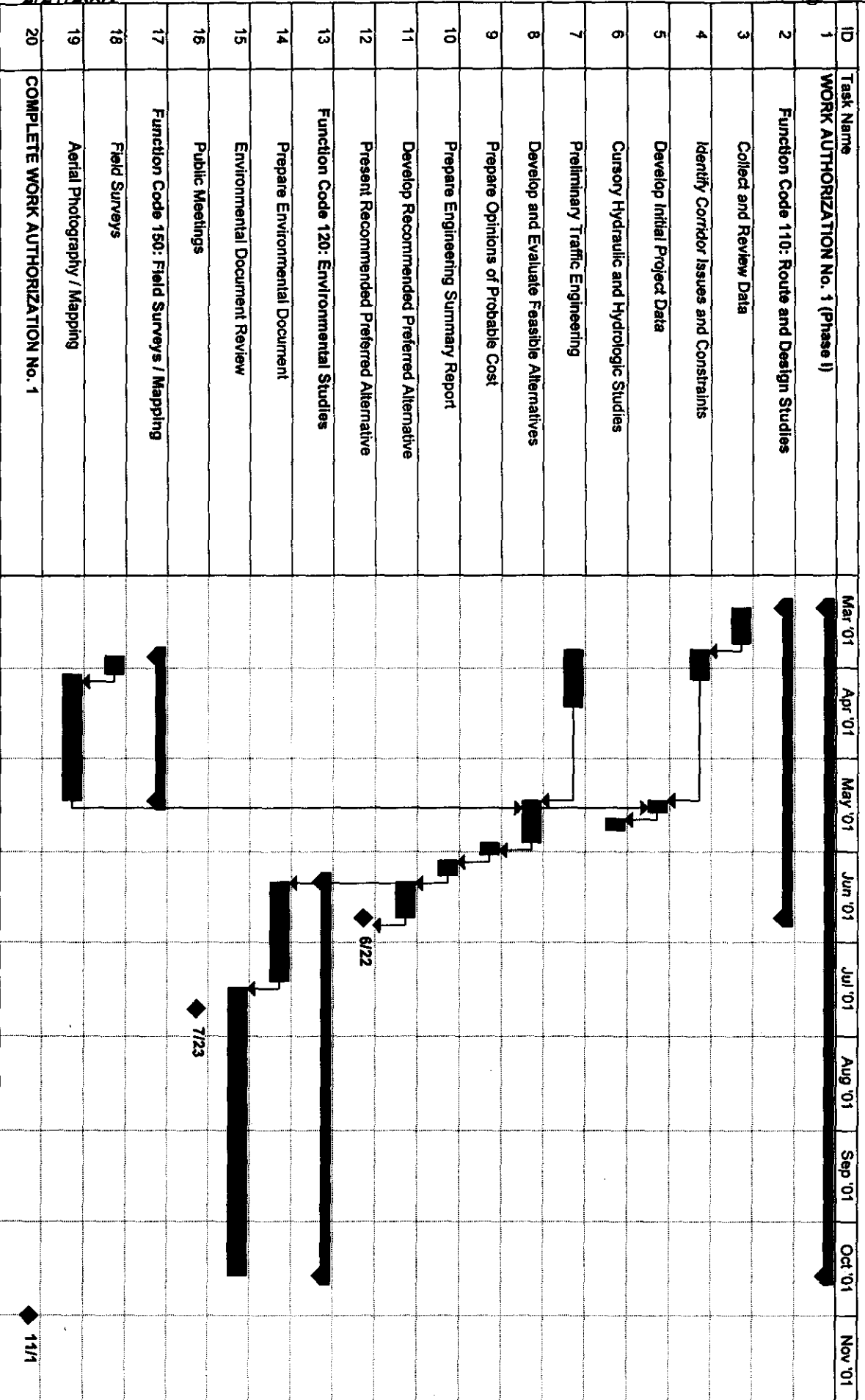
**FIELD SURVEYS / MAPPING (Function Code 150) (Phase I)**

- I) **FIELD SURVEYS**
  - a) Set control for digital ortho-photography
- II) **AERIAL PHOTOGRAMMETRY / MAPPING**
  - a) Obtain low-level flight for digital ortho photographs and digital terrain model

2/27/2001

# EXHIBIT C

Williamson County Work Authorization No. 1  
FM 1869 @ SH 29 and Oak Grove Rd. @ US 183 (Phase 1)



HUGGINS / SEILER & ASSOCIATES, LP  
Tue 2/13/01



<div>EXHIBIT D</div> <div>1) FM 1869 at SH 29</div> <div>2) Oak grove Road at US 183</div> <div>Sheet 2 of 2</div>						
LABOR COSTS:		DIRECT LABOR	OVERHEAD 150.00%	TOTAL LABOR+OVHD	FIXED FEE 12.00%	TOTAL COST
F.C. 110 ROUTE AND DESIGN STUDIES		\$ 15,068.00	\$ 22,602.00	\$ 37,670.00	\$ 4,520.40	\$ 42,190.40
F.C. 120 ENVIRONMENTAL STUDIES		\$ 2,696.00	\$ 4,044.00	\$ 6,740.00	\$ 808.80	\$ 7,548.80
F.C. 130 RIGHT OF WAY PLANS		\$ -	\$ -	\$ -	\$ -	\$ -
F.C. 150 FIELD SURVEYS / MAPPING		\$ 720.00	\$ 1,080.00	\$ 1,800.00	\$ 216.00	\$ 2,016.00
F.C. 160 ROADWAY DESIGN CONTROLS		\$ -	\$ -	\$ -	\$ -	\$ -
F.C. 161 DRAINAGE		\$ -	\$ -	\$ -	\$ -	\$ -
F.C. 162 SIGNING, MARKINGS, AND SIGNALIZATION		\$ -	\$ -	\$ -	\$ -	\$ -
F.C. 163 MISCELLANEOUS (ROADWAY)		\$ -	\$ -	\$ -	\$ -	\$ -
F.C. 170 BRIDGE DESIGN		\$ -	\$ -	\$ -	\$ -	\$ -
TOTALS		\$ 18,484.00	\$ 27,726.00	\$ 46,210.00	\$ 5,545.20	\$ 51,755.20
DIRECT COSTS:						
EXPENSES:	UNIT	RATE	QUANTITY	TOTAL		
Final Ortho-photography Plots	SF	\$ -		\$ -		
Reproduction	SF	\$ -		\$ -		
Mileage	Mile	\$ -		\$ -		
Airline Flights	EA	\$ -		\$ -		
Per Diem	Day	\$ -		\$ -		
Mail & Deliveries	EA	\$ -		\$ -		
				\$ -		
				\$ -		
				\$ -		
TOTAL EXPENSES				\$ -		
SUB-CONTRACTS:		TASK			TOTAL	
Aerial Data Service		Aerial Photography			\$ 12,625.37	
McGray & McGray Land Surveying, Inc.		Surveying			\$ 12,200.00	
Blanton & Associates, Inc.		Environmental Documents			\$ 9,000.00	
TOTAL SUB-CONTRACTS					\$ 33,825.37	
TOTAL DIRECT COSTS					\$ 33,825.37	
TOTAL COST		\$ 85,580.57				

Contract No. \_\_\_\_\_

18 of 28 Pages

**EXHIBIT II****HOURLY RATES****HUGGINS/SEILER & ASSOCIATES, LP**

<b>DIRECT LABOR</b>		<b>RATE</b>	<b>UNITS</b>
Project Manager		\$128.80	Hours
Engineer V		\$128.80	Hours
Engineering Specialist V		\$128.80	Hours
Engineer IV		\$123.20	Hours
Engineering Specialist IV		\$123.20	Hours
Engineer III		\$117.60	Hours
Engineering Specialist III		\$117.60	Hours
Engineer II		\$112.00	Hours
Engineering Specialist II		\$112.00	Hours
Engineer I		\$106.40	Hours
Engineering Specialist I		\$106.40	Hours
Engineering Technician IV		\$100.80	Hours
Engineering Technician III		\$95.20	Hours
Engineering in Training II		\$89.60	Hours
Engineering in Training I		\$78.40	Hours
Engineering Technician II		\$78.40	Hours
Engineering Technician I		\$64.40	Hours
Administrative III		\$61.60	Hours
Administrative II		\$50.40	Hours
Administrative I		\$39.20	Hours
Clerical		\$30.80	Hours
<b>DIRECT COSTS</b>			
	Mileage	N/A	Miles
	Air Travel	N/A	Each
	Other Expenses	N/A	LS

<b>OVERHEAD</b>	150%
<b>FIXED FEE</b>	12%



Contract No. \_\_\_\_\_

19 of 28 Pages

**EXHIBIT III**

**COMPENSATION FOR ADDITIONAL PROFESSIONAL SERVICES**

1. The fees described in Exhibits I and II to this Agreement shall provide compensation to *Engineer* for the work described in the Basic Scope of Services of the Agreement.
2. For the performance of work not described in the Basic Scope of Services of the Agreement, *County* shall pay and *Engineer* shall receive, under a negotiated contract modification, compensation based upon the method and rates set forth in Exhibits I and II to the Agreement.
3. The performance of any additional services must be authorized in writing in advance by the *County Judge*.
4. In the event of any dispute over the classification of *Engineer's* services as either basic or additional services, the decision of the *County Judge* shall be final and binding.

Contract No. \_\_\_\_\_

20 of 28 Pages

**EXHIBIT IV****PRODUCTION SCHEDULE**

This Agreement shall become effective upon the date approved by *County* and will remain in full force and effect for the period required for the design, construction contract award and construction of the *Project*, including warranty periods and any extensions of time, unless terminated earlier as provided for herein. *Engineer* shall complete all design work as described in the Scope of Services within the timeline and/or schedule provided in the Scope of Services.

The number of days expiring from the date of submittal to *County* of a complete work product to the date the review is finished and comments returned to *Engineer* shall not be included within the days allowed for completion.

Contract No. \_\_\_\_\_

21 of 28 Pages

**EXHIBIT V****PROCEDURES FOR TERMINATION OR SUSPENSION**

Procedures for *Engineer* to follow upon receipt of Notice of Termination:

1. Upon receipt of a Notice of Termination and prior to the effective date of the termination, *Engineer* shall, unless the Notice otherwise directs, immediately begin to phase out and discontinue all services in connection with the performance of this Agreement and shall proceed to promptly cancel all existing orders and contracts insofar as such orders and contracts are chargeable to this Agreement. Within thirty (30) days after receipt of the Notice of Termination *Engineer* shall submit a statement, showing in detail the services performed under this Agreement prior to the effective date of termination.
2. Copies of all completed or partially completed designs, plans, and specifications prepared under this Agreement prior to the effective date of termination shall be delivered to *County* as a pre-condition to final payment.
3. Upon the above conditions being met, *County* shall pay *Engineer* for approved services actually performed under this Agreement, less previous payments.
4. Failure by *Engineer* to submit the required statement and to comply with the above stated conditions shall constitute a waiver by *Engineer* of any and all rights or claims to collect the fee that *Engineer* may rightfully be entitled to for services performed under this Agreement.

Procedures for *Engineer* to follow upon receipt of Notice of Suspension:

1. Upon receipt of a Notice of Suspension and prior to the effective date of the suspension, *Engineer* shall, unless the Notice otherwise directs, immediately begin to phase-out and discontinue all services in connection with the performance of this Agreement and shall prepare a statement detailing the services performed under this Agreement prior to the effective date of suspension. Copies of all completed or partially completed designs, plans and specifications prepared under this Agreement prior to the effective date of suspension shall be prepared for possible delivery to *County*, but shall be retained by *Engineer* unless requested by *County*.
2. During the period of suspension, *Engineer* may submit the above-referenced statement to *County* for payment of the approved services actually performed under this Agreement, less previous payments.

Contract No. \_\_\_\_\_

22 of 28 Pages

Procedures for *Engineer* to follow upon exercise of right to terminate for substantial failure of *County* to perform:

1. In the event that *Engineer* exercises such right to terminate, within thirty (30) days after receipt by *County* of *Engineer's* Notice of Termination, *Engineer* shall submit a statement detailing the services performed under this Agreement prior to the effective date of termination.
2. Copies of all completed or partially completed reports, designs, plans, studies, specifications and other work product shall be delivered to *County* as a pre-condition to final payment. Upon the above conditions being met, *County* shall pay *Engineer* for approved services actually performed under this Agreement, less previous payments.
3. Failure by *Engineer* to submit the required statement and to comply with the above stated conditions shall constitute a waiver by *Engineer* of any and all rights or claims to collect the fee that *Engineer* may rightfully be entitled to for services performed under this Agreement.

Contract No. \_\_\_\_\_

23 of 28 Pages

**EXHIBIT VI****EQUAL OPPORTUNITY IN EMPLOYMENT**

- A. **Engineer** will not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin. **Engineer** will take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, religion, sex or national origin. Such action shall include, but not be limited to the following: employment, upgrading, demotion, or transfer; termination; rates of pay or other forms of compensation, and selection for training, including apprenticeship. **Engineer** agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided setting forth the provisions of this non-discrimination clause.
- B. **Engineer** will, in all solicitations or advertisements for employees placed by or on behalf of **Engineer**, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex or national origin.
- C. **Engineer** will send to the labor union representative or workers with which he has a collective bargaining agreement or other contract or understanding, a notice to be provided by the Contract Compliance Officer advising the said labor union or worker's representatives of **Engineer's** obligations under this section, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
- D. **Engineer** will comply with the Regulations of the Department of Transportation (49 CFR 21 and 23 CFR 710.405) and all provisions of Executive Order 11246 of September 24, 1965, as amended by Executive Order 11375 (41 CFR 60) and of the rules, regulations and relevant order of the Secretary of Labor.
- E. **Engineer** will furnish all information and reports required by Executive Order 11246 of September 24, 1965, and by rules, regulations and orders of the Secretary of Labor, or pursuant thereto; and will permit access to his books, records, and accounts by the Department and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations and orders.
- F. In the event of **Engineer's** non-compliance with the non-discrimination clauses of this contract or with any of the said rules, regulations, or orders, this contract may be canceled, terminated, or suspended in whole or in part and **Engineer** may be declared ineligible for further Government contracts in accordance with procedures authorized in Executive Order 11246 of September 24, 1965, as amended by Executive Order 11375 (41 CFR 60) or by rule, regulation, or order of the Secretary of Labor, or as otherwise provided by law.
- G. **Engineer** will include the provisions of paragraph (A.) through (F.) in every subcontract or purchase order unless exempted by rules, regulations, or orders of the Secretary of Labor issued pursuant to Section 204 or Executive Order 11246 of September 24, 1965, as amended by Executive Order 11375 (41 CFR 60), so that such provisions will

Contract No. \_\_\_\_\_

24 of 28 Pages

be binding upon each subcontractor or vendor. *Engineer* will take such action with respect to any subcontractor purchase order as the Department may direct as a means of enforcing such provisions, including sanctions for non-compliance: provided, however, that in the event *Engineer* becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by *County* or Federal Agency, *Engineer* may request *County* and United States to enter into such litigation to protect the interest of the United States.

Contract No. \_\_\_\_\_

25 of 28 Pages

**EXHIBIT VII****INSURANCE REQUIREMENTS**

During the life of this Agreement, *Engineer* agrees to provide and maintain the following insurance:

- A. Worker's Compensation in accordance with statutory requirements.
- B. Commercial General Liability Insurance with a combined minimum Bodily Injury and Property Damage limits of \$1,000,000. per occurrence and \$2,000,000. in the aggregate, including coverage on same for independent subcontractor(s). WILLIAMSON COUNTY SHALL BE NAMED AS AN ADDITIONAL INSURED UNDER THIS COVERAGE.
- C. Automobile Liability Insurance for all owned, non-owned, and hired vehicles with combined minimum limits for Bodily Injury and Property Damage limits of \$1,000,000. per occurrence and \$1,000,000. in the aggregate. *Engineer* shall require any subcontractor(s) to provide Automobile Liability Insurance in the same minimum amounts.
- D. Professional Liability Errors and Omissions Insurance in the amount of \$1,000,000.
- E. In the event *Engineer* is self-insured in connection with any or all of the above-required insurance policies, *Engineer* shall submit proof of such self-insurance and all documentation and financial information as required by the *County* in order to determine the acceptability of such self-insurance, in the sole determination of the *County*.

*Engineer* shall not commence any field work under this Agreement until he has obtained all required insurance and such insurance or self-insurance has been approved by *County*. *Engineer* shall not allow any subcontractor(s) to commence work to be performed in connection with this Agreement until all required insurance has been obtained and approved. Approval of the insurance by *County* shall not relieve or decrease the liability of *Engineer* hereunder.

The required insurance must be written by a company approved to do business in the State or Texas with a financial standing of at least an A- rating, as reflected in Best's insurance ratings or by a similar rating system recognized within the insurance industry at the time the policy is issued. *Engineer* shall furnish *County* with a certification of coverage issued by the insurer. The insurance company shall be subject to the approval of *County*. *Engineer* shall not cause any insurance to be canceled nor permit any insurance to lapse. ALL INSURANCE CERTIFICATES SHALL INCLUDE A CLAUSE TO THE EFFECT THAT THE POLICY SHALL NOT BE CANCELED OR REDUCED, RESTRICTED OR LIMITED UNTIL TEN (10) DAYS AFTER COUNTY HAS RECEIVED WRITTEN NOTICE AS EVIDENCED BY RETURN RECEIPT OF REGISTERED OR CERTIFIED LETTER.

2/27/2001

Contract No. \_\_\_\_\_

26 of 28 Pages

It is the intention of the *County* and the *County Judge*, and agreed to and hereby acknowledged by the *Engineer*, that no provision of this Professional Services Agreement shall be construed to require the *County* or the *County Judge* to submit to mandatory arbitration or mediation in the settlement of any claim, cause of action or dispute, except as specifically required in direct connection with an insurance claim or threat of claim under an insurance policy required under this Exhibit which absolutely requires arbitration or mediation of such claim.



**APPENDIX A**

**SCOPE OF SERVICES**

THE ATTACHED SCOPE OF SERVICES IS INTENDED TO BE CONSISTENT WITH THE WILLIAMSON COUNTY PROFESSIONAL SERVICES AGREEMENT. TO THE EXTENT THE SCOPE IS INCONSISTENT WITH THE PROFESSIONAL SERVICES AGREEMENT, THE PROFESSIONAL SERVICES AGREEMENT WILL SUPERSEDE THE SCOPE AND WILL BE CONTROLLING.

THE ENGINEER SHALL PROVIDE EXPERT TESTIMONY IN ANY ADMINISTRATIVE OR COURT PROCEEDINGS THROUGH AN APPROPRIATE ENGINEERING PROFESSIONAL TO BE DETERMINED BY COUNTY AS ADDITIONAL SERVICES AT THE RATE OF COMPENSATION SET FORTH IN EXHIBIT II.

EXCEPT AS PROVIDED FOR FEE SERVICES OR WORK-ORDER BASED SERVICES, THE ATTACHED SCOPE OF SERVICES SHALL INCLUDE A PRODUCTION SCHEDULE REFLECTING A TIMELINE FOR THE EXECUTION OF THE PROJECT.

**APPENDIX B**

**CONTRACTOR'S QUALIFICATIONS STATEMENT**

<b>ACORD CERTIFICATE OF LIABILITY INSURANCE</b>		DATE (MM/DD/YY) <b>02/07/2001</b>
<b>PRODUCER</b> CARL BURTON INSURANCE AGENCY 9410-B ANDERSON MILL ROAD AUSTIN, TEXAS 78729 512-258-4197		THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW.
<b>INSURED</b> HUGGINS/SEILER & ASSOCIATES  600 ROUND ROCK WEST DRIVE SUITE 602 ROUND ROCK, TX 78681		<b>INSURERS AFFORDING COVERAGE</b> INSURER A: NORTHERN INSURANCE CO INSURER B: NORTHERN INSURANCE CO INSURER C: TEXAS WORKERS' COMPENSATION FUND INSURER D: INSURER E:

**COVERAGES**

THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. AGGREGATE LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	POLICY NUMBER	POLICY EFFECTIVE DATE (MM/DD/YY)	POLICY EXPIRATION DATE (MM/DD/YY)	LIMITS
A	<b>GENERAL LIABILITY</b>	PAS36721729	9-1-00	9-1-01	EACH OCCURRENCE \$1,000,000.
	<input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY				FIRE DAMAGE (Any one fire) \$1,000,000.
	<input type="checkbox"/> CLAIMS MADE <input checked="" type="checkbox"/> OCCUR				MED EXP (Any one person) \$10,000.
					PERSONAL & ADV INJURY \$1,000,000.
					GENERAL AGGREGATE \$2,000,000.
					PRODUCTS - COM/PROP AGG \$2,000,000.
					GENTL AGGREGATE LIMIT APPLIES PER: <input type="checkbox"/> POLICY <input type="checkbox"/> PRO-JECT <input type="checkbox"/> LOC
A	<b>AUTOMOBILE LIABILITY</b>	PAS36721729	9-1-00	9-1-01	COMBINED SINGLE LIMIT (Ea accident) \$1,000,000.
	<input type="checkbox"/> ANY AUTO				BODILY INJURY (Per person) \$
	<input type="checkbox"/> ALL OWNED AUTOS				BODILY INJURY (Per accident) \$
	<input checked="" type="checkbox"/> HIRED AUTOS				PROPERTY DAMAGE (Per accident) \$
	<input checked="" type="checkbox"/> NON-OWNED AUTOS				
	<b>GARAGE LIABILITY</b>				AUTO ONLY - EA ACCIDENT \$
	<input type="checkbox"/> ANY AUTO				OTHER THAN EA ACC \$
					AUTO ONLY: AGG \$
	<b>EXCESS LIABILITY</b>				EACH OCCURRENCE \$
	<input type="checkbox"/> OCCUR <input type="checkbox"/> CLAIMS MADE				AGGREGATE \$
	<input type="checkbox"/> DEDUCTIBLE				\$
	<input type="checkbox"/> RETENTION \$				\$
C	<b>WORKERS COMPENSATION AND EMPLOYERS' LIABILITY</b>	SBP0001100188	9-12-00	9-12-01	<input checked="" type="checkbox"/> WC STATU-TORY LIMITS <input type="checkbox"/> OTH-ER
	E.L. EACH ACCIDENT \$500,000.00				
	E.L. DISEASE - EA EMPLOYEE \$500,000.00				
	E.L. DISEASE - POLICY LIMIT \$500,000.00				
	<b>OTHER</b>				

**DESCRIPTION OF OPERATIONS/LOCATIONS/VEHICLES/EXCLUSIONS ADDED BY ENDORSEMENT/SPECIAL PROVISIONS**

WILLIAMSON COUNTY IS NAMED AS AN ADDITIONAL INSURED UNDER THE GENERAL LIABILITY POLICY.

**CERTIFICATE HOLDER** ☒ **ADDITIONAL INSURED; INSURER LETTER:** A **CANCELLATION**

WILLIAMSON COUNTY  
 710 MAIN  
 GEORGETOWN, TEXAS 78626

SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, THE ISSUING INSURER WILL ENDEAVOR TO MAIL 10 DAYS WRITTEN NOTICE TO THE CERTIFICATE HOLDER NAMED TO THE LEFT, BUT FAILURE TO DO SO SHALL IMPOSE NO OBLIGATION OR LIABILITY OF ANY KIND UPON THE INSURER, ITS AGENTS OR REPRESENTATIVES.

AUTHORIZED REPRESENTATIVE

*Amber Kinsey*

**Design Professionals Insurance Company**

9 Farm Springs Drive Farmington CT 06032  
*A Member of the Orion Capital Companies*

**SAE0115203**

Policy Number

**Declarations**

**PROFESSIONAL  
 LIABILITY POLICY FOR  
 DESIGN PROFESSIONALS**

**Item 1 Named Insured:** Huggins/Seiler & Associates, L.P.

**Item 2 Mailing Address:** 600 Round Rock West Drive Suite 602 Round Rock TX 78681

**Item 3 Phone #** 512-828-0406

**Fax:** 512-828-0429

**Electronic Mail #:** N/A

**Item 4 Policy Period:** **Effective Date:** 08/23/2000 **Expiration Date:** 08/23/2003

(12:01 a.m. local time at the above mailing address)

<b>Item 5 Limits of Insurance:</b>	<b>Each Claim</b>	<b>Aggregate</b>	<b>Premium</b>
Professional Liability	\$1,000,000	\$2,000,000	\$8,538
Shared Expense			\$0
Dollar One Defense			\$0
Education Program Credits			\$0
Limitation of Liability			\$0
Special Coverage			\$0
Other			\$0
<b>Item 6 Total Premium</b>			<b>\$8,538</b>
	<b>Assessments/taxes</b>		<b>\$0</b>

**Item 7 Deductible** Each Claim \$0 Annual Aggregate N/A

**Item 8 NOTICE OF CLAIMS MADE AND REPORTED POLICY**

Professional liability coverage is on a CLAIMS MADE basis. It applies only to those CLAIMS made that are first made against you and first reported to the Company during the policy period.

**Item 9 NOTICE OF EXPENSE WITHIN THE LIMITS:**

Professional liability coverage contains a provision that may reduce the limits of insurance stated in the policy by the costs of CLAIMS EXPENSES and may permit CLAIMS EXPENSES to be applied against the deductible or retention amount, if any.

**Item 10 Retroactive Date:** 08/23/2000

**Item 11 The Policy consists of this Declarations Page, Insuring Agreements and Endorsements listed here:**

DP37515\_0 DP37755\_0 DP37120B\_0 DP37409SFP\_0 DP37407\_0  
 DP37000-1

**Agent:** USI of Texas/Commercial Insurance Concepts, Inc.

**Date Issued:** 8/28/2000 12:14:06 PM

**Countersigned by:**

*James E. Jinnerson*

**Countersigned at:** Austin, TX

Form **W-9**<sup>2/27/2001</sup>  
(Rev. December 2000)  
Department of the Treasury  
Internal Revenue Service

# Request for Taxpayer Identification Number and Certification

Give form to the  
requester. Do not  
send to the IRS.

Please print or type

Name (See Specific Instructions on page 2.)

Huggins/Seiler & Associates, LP

Business name, if different from above. (See Specific Instructions on page 2.)

Check appropriate box: ☐ Individual/Sole proprietor ☐ Corporation ☐ Partnership ☒ Other ☐ Limited Partnership

Address (number, street, and apt. or suite no.)

600 Round Rock West Drive, Suite 602

City, state, and ZIP code

Round Rock, Texas 78681

Requester's name and address (optional)

## Part I Taxpayer Identification Number (TIN)

List account number(s) here (optional)

Enter your TIN in the appropriate box. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 2. For other entities, it is your employer identification number (EIN). If you do not have a number, see How to get a TIN on page 2.

Social security number

| | | + | | |

or

Employer identification number

7 | 4 | 2 | 9 | 6 | 8 | 5 | 3 | 2

Note: If the account is in more than one name, see the chart on page 2 for guidelines on whose number to enter.

## Part II For U.S. Payees Exempt From Backup Withholding (See the instructions on page 2.)

## Part III Certification

Under penalties of perjury, I certify that:

- The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
- I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
- I am a U.S. person (including a U.S. resident alien).

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN. (See the instructions on page 2.)

Sign  
Here

Signature of  
U.S. person

*Billy Huggins*

Date **2-14-01**

## Purpose of Form

A person who is required to file an information return with the IRS must get your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

**Use Form W-9 only if you are a U.S. person** (including a resident alien), to give your correct TIN to the person requesting it (the requester) and, when applicable, to:

- Certify the TIN you are giving is correct (or you are waiting for a number to be issued),
- Certify you are not subject to backup withholding, or
- Claim exemption from backup withholding if you are a U.S. exempt payee.

If you are a foreign person, use the appropriate Form W-8. See Pub. 515, Withholding of Tax on Nonresident Aliens and Foreign Corporations.

Note: If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

**What is backup withholding?** Persons making certain payments to you must withhold and pay to the IRS 31% of such payments under certain conditions. This is called "backup withholding." Payments that may be subject to backup withholding include interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

If you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return, payments you receive will not be subject to backup withholding. **Payments you receive will be subject to backup withholding if:**

- You do not furnish your TIN to the requester, or
- You do not certify your TIN when required (see the Part III instructions on page 2 for details), or
- The IRS tells the requester that you furnished an incorrect TIN, or
- The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or

- You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See the Part II instructions and the separate **Instructions for the Requester of Form W-9**.

## Penalties

**Failure to furnish TIN.** If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

**Civil penalty for false information with respect to withholding.** If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

**Criminal penalty for falsifying information.** Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

**Misuse of TINs.** If the requester discloses or uses TINs in violation of Federal law, the requester may be subject to civil and criminal penalties.

## Specific Instructions

**Name.** If you are an individual, you must generally enter the name shown on your social security card. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first and then circle the name of the person or entity whose number you enter in Part I of the form.

**Sole proprietor.** Enter your individual name as shown on your social security card on the "Name" line. You may enter your business, trade, or "doing business as (DBA)" name on the "Business name" line.

**Limited liability company (LLC).** If you are a single-member LLC (including a foreign LLC with a domestic owner) that is disregarded as an entity separate from its owner under Treasury regulations section 301.7701-3, enter the owner's name on the "Name" line. Enter the LLC's name on the "Business name" line.

**Caution:** A disregarded domestic entity that has a foreign owner must use the appropriate Form W-8.

**Other entities.** Enter your business name as shown on required Federal tax documents on the "Name" line. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on the "Business name" line.

### Part I—Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box.

If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see **How to get a TIN** below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are an LLC that is disregarded as an entity separate from its owner (see **Limited liability company (LLC)** above), and are owned by an individual, enter your SSN (or "pre-LLC" EIN, if desired). If the owner of a disregarded LLC is a corporation, partnership, etc., enter the owner's EIN.

**Note:** See the chart on this page for further clarification of name and TIN combinations.

**How to get a TIN.** If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local Social Security Administration office. Get Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can get Forms W-7 and SS-4 from the IRS by calling 1-800-TAX-FORM (1-800-829-3676) or from the IRS's Internet Web Site at [www.irs.gov](http://www.irs.gov).

If you do not have a TIN, write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all

such payments until you provide your TIN to the requester.

**Note:** Writing "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

### Part II—For U.S. Payees Exempt From Backup Withholding

Individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends. For more information on exempt payees, see the separate Instructions for the Requester of Form W-9.

If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding. Enter your correct TIN in Part I, write "Exempt" in Part II, and sign and date the form.

If you are a nonresident alien or a foreign entity not subject to backup withholding, give the requester the appropriate completed Form W-8.

### Part III—Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if items 1, 3, and 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required).

**1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.** You must give your correct TIN, but you do not have to sign the certification.

**2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983.** You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

**3. Real estate transactions.** You must sign the certification. You may cross out item 2 of the certification.

**4. Other payments.** You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

**5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified state tuition program payments, IRA or MSA contributions or distributions, and pension distributions.** You must give your correct TIN, but you do not have to sign the certification.

### Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to give your correct TIN to persons who must file information returns with the IRS to

report interest, dividends, and certain other income paid to you, mortgage interest you paid, the acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA or MSA. The IRS uses the numbers for identification purposes and to help verify the accuracy of your tax return. The IRS may also provide this information to the Department of Justice for civil and criminal litigation, and to cities, states, and the District of Columbia to carry out their tax laws.

You must provide your TIN whether or not you are required to file a tax return. Payers must generally withhold 31% of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to a payer. Certain penalties may also apply.

## What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account <sup>1</sup>
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
4. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee <sup>1</sup>
b. So-called trust account that is not a legal or valid trust under state law	The actual owner <sup>1</sup>
5. Sole proprietorship	The owner <sup>1</sup>
For this type of account:	Give name and EIN of:
6. Sole proprietorship	The owner <sup>3</sup>
7. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
8. Corporation	The corporation
9. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
10. Partnership	The partnership
11. A broker or registered nominee	The broker or nominee
12. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity

<sup>1</sup> List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

<sup>3</sup> You must show your individual name, but you may also enter your business or "DBA" name. You may use either your SSN or EIN (if you have one).

<sup>4</sup> List first and circle the name of the legal trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.)

**Note:** If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

