



Alabama State Port Authority
Request for Proposals

REQUEST FOR PROPOSALS



PORT OF MOBILE
ALABAMA PORT AUTHORITY

**PROFESSIONAL SERVICE CONTRACT
FOR
CHOCTAW POINT - MARINE TERMINAL
DEVELOPMENT
PROJECT MANAGEMENT, DESIGN AND
CONSTRUCTION MANAGEMENT**

RFP #: ASPA-TS-2024-01

May 2024



Alabama State Port Authority
Request for Proposals

REQUEST FOR PROPOSALS (RFP)
PROFESSIONAL SERVICES CONTRACT
PROJECT MANAGEMENT, DESIGN & CONSTRUCTION MANAGEMENT SERVICES FOR
CHOCTAW POINT - MARINE TERMINAL DEVELOPMENT
RFP #: ASPA-TS-2024-01

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1.0 Introduction

The Engineering Department on behalf of the Alabama State Port Authority (ASPA) will receive sealed proposals from Qualified Engineering Consultants to provide professional services for the **Choctaw Point – Marine Terminal Development** (Project). Only firms short-listed based on the qualifications submitted under RFQ #: ASPA-TS-2024-01 will receive this document and be permitted to submit a proposal package. Details on the requirements of the RFP and the rating system will be described later in this RFP. All respondents must meet all requirements to practice engineering in the State of Alabama. It is noted that all times noted within this document are local times. Any changes to this document or answers to requests for information must be given in written form. No verbal instructions will be recognized.

2.0 Project Description and Scope of Services

The professional services contract to be awarded through this RFP process will be an all-encompassing engineering contract. It is expected that the selected Consultant will perform all engineering tasks from conceptual design through construction closeout. The Project will repurpose approximately 30 acres of the existing McDuffie Coal Terminal into a container terminal. The project involves demolition of all existing McDuffie Terminal infrastructure within the project boundary and subsequent construction of new vessel berth(s) and landside yard area along the Mobile River. The anticipated Consultant Scope of Services includes, but is not limited to, the items outlined in Appendix A – Scope of Services and briefly described below:

- Project Management
- Quality Assurance/Quality Control
- Additional Site Studies
- Basis of Design Development
- Detailed Design
- Construction Document and Plans Preparation
- Cost Estimating
- Bid Phase Support
- Construction Project Management, Inspection, and Support Services
- Material Testing

3.0 Purpose & Process

Responses to this RFP will be used to select a firm to provide professional services as described herein for the Project. Responses will include a Technical Proposal and a Fee Proposal. Details for those documents are described in section 5.0 of this RFP document. In addition to the Technical Proposal and Fee Proposal, each short-listed team will be given an opportunity to give a face-to-face presentation and have time to respond to questions from the ASPA Evaluation Committee (Committee). The final rankings will be based on the Committee's evaluation of the Technical Proposals and presentation.



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4.0 Scope of Services

The Proposed Consultant Scope of Services for preparation of the Technical and Fee Proposals is provided in Appendix A of this document. The final Scope of Services for the project will be negotiated with the firm determined to be the best qualified to perform the Technical Proposal Scope of Services.

5.0 Proposal Organization

The "Proposal" provided shall consist of two (2) separate components which are a Technical Proposal and a Fee Proposal. Each component shall be placed in a separate sealed package and properly labeled. Each shall be based on the Scope of Services in Appendix A.

5.1 Technical Proposal

The technical proposal shall be a bound document that provides a narrative identifying the key/critical components of the project outlined in the Proposed Scope of Services in Appendix A and how these elements will be addressed. The information provided should be informative and complete to the extent necessary to provide the basis for the ASPA Team to evaluate the firm's approach for each component of the project. To ensure that information is properly presented and for the review and evaluation of the Proposal, Respondents are requested to present their proposals in the order discussed in this section. The evaluation points assigned to each section are listed in parenthesis.

Proposals shall be submitted in English, single sided, and on 8½"x11" paper. Drawings and/or exhibits that are too large for the standard size sheet may be on 11"x17" and z-folded to the standard size sheet.

5.1.1 Team Organization/Key Personnel (30 points)

Provide an organizational chart identifying the major areas of the project and the key personnel within your team that is envisioned to complete each task. Provide a detailed discussion to accompany the organizational chart that details each major area of the Project and key personnel characteristics of geographic location, past history/experience, capabilities, and qualifications (including professional registration) as related to their assigned role(s).

5.1.2 Project Understanding and Approach (30 points)

The Proposal shall communicate the understanding that the proposing team has with regards to the project and the different requirements for the professional services required. This shall be based on the Proposed Scope of Work and the different supporting documentation that is provided with the RFP. The narrative shall include methods to keep the project on schedule and within budget.

5.1.3 Approach to Challenges (30 points)

The Proposal shall describe the approach to challenges that ASPA has identified as well as any further challenges that the proposing team anticipates.



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ASPA Challenges to be addressed:

A. Long term settlement/consolidation of the site

The geographic location of the Project has been occupied by a variety of industries over the years. Various locations within the Project boundary have been surcharged by the placement of products or materials by those industries. How will the team address the settlement requirement within the scope of work.

B. Under Ground Obstructions

As previously stated, the location of the Project has been occupied by numerous industries over the years. As such, it is expected that various underground obstructions (structures, utilities, etc.) will be encountered during the project. ASPA has limited information on these obstructions. How will the team limit the risk caused by encountering these obstructions.

C. Modification of IT and Security infrastructure

The building located furthest northwest in the project area (Building 1902) is the central location for the IT and security infrastructure for the McDuffie Terminal. The project team should demonstrate their ability to complete this portion of the project design and any associated challenges.

D. Conflicts between existing marine structure and new pier

The Project includes the full demolition of the existing Barge Loader #2 structure. It is anticipated that a new vessel berthing pier will be constructed over the same footprint currently occupied by this existing structure and will extend from the north end of the existing Dock 3 to the existing container terminal vessel berthing pier. The Project will likely result in the new pier being continuous with the existing container terminal pier and requiring partial demolition of the existing container terminal pier to facilitate this continuity. Address potential issues that could be encountered to complete this portion of the project.

E. Continuity of STS crane rail system between existing and new piers

It is anticipated that a continuous crane rail will be constructed between the new pier and existing container terminal pier such that current and future gantry cranes can access the entire pier length. Discuss the challenges the project team anticipates completing this portion of the project scope.

5.1.4 Innovation/Value Engineering (10 points)

Within this section of the proposal, the project team should present any innovative or value engineering ideas. The ideas may be major (alternative layouts, pier designs, etc.)



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or minor (alternative pavement designs, stormwater treatments, etc.). No guarantee is made that any of the alternatives presented will be considered in the final design. ASPA will not consider the reduction of any of the stated design parameters.

5.2 Fee Proposal

The Proposer shall prepare a detailed fee proposal for the proposed professional services. The estimate is to include a breakdown of the hours, hourly rates, reimbursable expenses, and other costs required to complete each phase of the project. The breakdown shall include all team members and shall include sub-consultants, etc. This proposal represents a cost reimbursable method with an overall maximum ceiling on the anticipated costs for the services, based on the available information. The fee proposal shall document all assumptions made in its preparation.

One copy of the fee proposal shall be placed in a separate sealed envelope from the rest of the proposal. Only the fee proposal of the firm whose Technical Proposal is ranked highest and judged “best qualified” will then be opened and reviewed. The other firms’ Fee proposals will be returned to them sealed and unopened. The purpose of the fee proposal is to provide the ASPA with a benchmark for the cost of professional services to be performed.

6.0 Deliverables & Deadline

Requirements of the Submission Response are as follows:

- Be submitted in a sealed container that is plainly marked “TECHNICAL PROPOSAL / FEE PROPOSAL TO PROVIDE PROFESSIONAL SERVICES FOR the CHOCTAW POINT - MARINE TERMINAL DEVELOPMENT RFP #: ASPA-TS-2024-01” and bear the prime provider’s name and address.
- Be delivered to ASPA Engineering Department **no later than 2:00 P.M., Friday, June 7, 2024**. Late submissions will not be evaluated and will be considered “non-responsive”.

Regular Mail:

- Alabama State Port Authority,
Attn: Marcus Coleman, P.E., Engineering Director
P.O. Box 1588
Mobile, AL 36633

Express mail or hand delivery:

- Alabama State Port Authority,
Attn: Marcus Coleman, P.E., Engineering Director
1400 Alabama State Docks Boulevard, Suite 216
Mobile, AL 36602
(251) 441-7260



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The Proposer shall submit the following in response to this RFP:

6.1 Technical Proposal

Include one (1) bound signed original and five (5) bound copies of the “Technical Proposal”, one (1) unbound copy of the “Technical Proposal”, and one (1) electronic PDF copy on a USB Drive.

6.2 Fee proposal

Submit one (1) copy of the “Fee proposal” in a separate sealed envelope.

7.0 Presentation

Each Respondent to the RFP will be provided an opportunity during the designated week to have a face-to-face presentation/interview with the Committee. The key members of the Respondent’s team should be the presenters for the presentation. The presentation/interview will be limited to 60 minutes total for each Respondent. The technical proposal presentation will be limited to 30 minutes followed by up to 30 minutes of question/answer time. The presentation should present in more detail items specific to the project and the Respondent’s proposal. The presentation should not be used for a marketing opportunity. The Committee will consider the presentation and question/answer session in the final evaluations.

8.0 Selection Criteria

Upon all presentation/interviews being completed, the ASPA Evaluation Committee will then select the “most qualified” Respondent. The selection will be based upon the Technical Proposals. The evaluation system, as noted earlier, is as follows:

- Team Organization/Key Personnel - 30 points
- Project Understanding and Approach - 30 points
- Approach to Challenges - 30 points
- Innovation/Value Engineering - 10 points
- TOTAL – 100 Points

The presentation will be considered a part of the technical proposal.

Each team will be notified of the status of their proposal upon the completion of the selection process.

9.0 Post Selection Process

After selection of the “Most Qualified” Respondent, an initial review, discussion and final negotiation of the contract Scope of Services and Fee Proposal will be conducted. At conclusion, a refined Fee Proposal will be required to reflect final cost negotiations. Failure to arrive at an acceptable cost for the services will result in rejection of the Respondent and commencement of contract discussion with the next highest ranked Respondent.



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10.0 Rights and Obligations of ASPA

In connection with this procurement, ASPA reserves to itself all rights (which rights shall be exercisable by ASPA at its sole discretion) available to it under applicable law, including without limitation, the following, with or without cause and with or without notice:

- The right to cancel, withdraw, postpone or extend this RFP without incurring any obligations or liabilities.
- The right to modify all dates set or projected in this RFP.
- The right to suspend and terminate the procurement process for this RFP at any time.
- The right to issue addenda, supplements, and modifications to this RFP.
- The right to respond to all, some, or none of the inquiries, questions and/or requests for clarification received relative to this RFP.

ASPA assumes no obligations, responsibilities, or liabilities to reimburse the costs incurred or alleged to have incurred by parties considering a response to and/or responding to the RFP. All costs shall be borne solely by each Respondent.

11.0 Agency Contact

Requests for additional information regarding this Request for Proposals may be addressed to Marcus Coleman, P.E., Engineering Director at 251-441-7260 or marcus.coleman@alports.com.

12.0 Insurance

See referenced documents for insurance requirements.

13.0 Employment Law

State of Alabama restrictions upon former employees soliciting, performing work and/or contracting projects with the State and ASPA, shall apply.

Effective October 1, 2011, the Beason-Hammon Alabama Taxpayer and Citizen Protection Act ("the Act") requires that any business entity contracting with or providing any grant or incentives to the state, including the Alabama State Port Authority, certify compliance with the Act. All companies must certify such compliance by executing the attached "Certificate of Compliance" and returning it to the Alabama State Port Authority with your submittal package. In addition, the company shall submit with their proposal evidence that the company is enrolled in the E-Verify system. The following E-Verify website link is provided for convenience: http://www.dhs.gov/files/programs/gc_1185221678150.shtm.



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14.0 Access Requirements

The Project site is located within the restricted area of the ASPA McDuffie Coal Terminal. All persons doing any work under the contract are required to possess a valid TWIC card, ASPA Badge, and an ASPA Vehicle Decal. The ASPA access policy is available at <https://www.alports.com/port-access/>.

15.0 Reference Documents

- Insurance Requirements
- Certificate of Compliance with the Beason-Hammon Alabama Taxpayer & Citizen Protection Act.
- Acknowledgement of Addenda
- Grant Contract Provisions
- HUD Grant Forms



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16.0 Project Location/Limits





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17.0 Pre-Submittal Site Visit

A pre-submittal site visit for the Project will be held on the date and time indicated in Table A at the location specified. ASPA staff will be available to discuss the scope of work, general contract issues and respond to questions from the attendees. Attendance at the pre-submittal conference is MANDATORY.

Access to the site will require a TWIC card. All attendees not possessing proper access credentials must contact the ASPA POC at least 24 hours in advance to arrange an escort. No same day escorts will be provided. All escorted individuals are required to have a valid state or federal identification. All vehicles entering ASPA properties are required to have proof of vehicle registration and insurance.

18.0 Schedule

ASPA will review information provided in response to this RFP and may meet with one or more of the respondents to request clarification of the information provided. The current anticipated procurement, design and construction process is summarized in Table A. ASPA maintains the exclusive right to modify the schedule. The times listed herein are all local times for Mobile, Alabama.

TABLE A
ANTICIPATED PROPOSAL SCHEDULE

Stage	Date	Description
Issuance of RFP	5/6/2024	The ASPA issues a Request for Proposals (RFP) to the short-listed firms.
Pre-Submittal Site Visit	5/15/2024	2:00 PM in the International Trade Center building at 250 N. Water Street, 1 st Floor – Killian Room, Mobile, Alabama.
Requests for Information	5/27/2024	Deadline to submit questions is 2:00pm CST.
Response to RFP	6/7/2024	Firms submit RFP proposals by 2:00 pm CST.
Presentations	Week of 6/17/2024	Short-Listed Firms provide presentation on proposal at ASPA.
Issuance of Notice of Intent to Award	July 2024	ASPA issues the Notice of Intent to Award documents to the Selected Firm



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**APPENDIX A
PROPOSED SCOPE OF SERVICES**

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The purpose of this Proposed Scope of Services is to define the responsibilities of the Consultant in the project management, design and construction management of the Project, Choctaw Point - Marine Terminal Development. The intent of the contract with the Consultant is to provide all professional engineering services for the development of the Choctaw Point Marine Terminal Facility as described. It is noted that the Scope of Services described herein is intended to provide an accurate definition of the work to be performed by the Consultant; however, the Scope of Services is not necessarily all-inclusive of the work to be performed and not exempt from adjustments that become apparent as the project is advanced. Such adjustments or additions to the Consultant shall not abrogate the intent of the project or the Consultant's responsibility, which is to provide professional services for a fully functional facility. The Consultant shall provide all design and management services necessary to fulfill this intent.

ASPA will provide major project design direction, contract administration, internal department coordination, and phase reviews. ASPA reviews do not relieve the Consultant of its responsibilities as engineer of record.

A.1. Project Management

The Consultant shall provide all coordination and management to oversee the efforts of the design and construction to ensure that the overall project is efficient and effective. The Consultant shall provide project management services throughout the length of the contract/agreement, from project initiation through construction contract closeout. The Consultant shall appoint a main point of contact (project manager) for each phase of the project. All correspondence for the project shall be channeled through the project manager. The Consultant shall maintain meeting minutes to be included in the respective documentation manuals. The following items are some of the specific areas of project management expected:

(1) *Coordination*

Except as noted, the Consultant shall provide all coordination to oversee the efforts of the project. Any coordination necessary with the internal departments of ASPA shall be made through the ASPA project manager. Coordination regarding any design direction shall be properly documented and placed in the design documentation manual. The Consultant shall provide all coordination required with ASPA operations, as well as outside entities such as APM Terminals, City of Mobile, Corps of Engineers, Federal Aviation Administration, etc.

(2) *Progress Meetings*

The Consultant shall hold progress meetings with ASPA during all phases of the project activity. The frequency of the meetings may vary based on the ongoing activities. At minimum, the Consultant shall hold monthly progress meetings with the Owner during the design phase and weekly meetings with the Contractor(s) during the construction phase.

(3) *Schedule*

The Consultant shall strictly adhere to a schedule meeting the milestones listed within the RFP document and the Project Schedule listed in Section A.12. The Consultant shall also manage the contractor's schedule.



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(4) Project Management Plan

The Consultant shall provide a project management plan to detail the Consultant's efforts in project management. The project management plan shall include, at minimum: schedules, project work plan or hierarchy of key personnel, and contact information.

(5) Support of Federal Grant/NEPA Approval

Funding for this project is expected to be accomplished using Federal funds. Coordination with the grant administrators and acquiring NEPA approval is expected to be provided by others outside the scope of this contract. However, the Consultant shall support this effort as necessary. Obtaining U. S. Army Corps of Engineers permits is not included as part of this contract scope. Supporting Federal Grant/NEPA Approval efforts would include items such as providing drawings for USACE permitting and incorporating Federal requirements into the plans and specifications.

A.2. Quality Assurance/Quality Control (QA/QC) Program

The Consultant shall provide a QA/QC Plan that describes the procedures and efforts to be utilized to guarantee the quality of the rehabilitation project. The Consultant shall provide an independent review of all design documents. Copies of the independent reviews shall be maintained by the Consultant. ASPA may request to see the copies at any time. Documentation of the independent reviews shall be placed in the Design Documentation Manual. The QA/QC program shall also detail the Consultant's efforts to assure that construction is in the strictest accordance with the contract documents.

A.3. Additional Site Studies

The Consultant shall perform additional site studies as necessary to complete the design work and provide information to the Contractor for the minimization of changes to the construction contract.

(1) Investigations of Underground Obstructions

The Consultant shall investigate the site to ascertain the location of underground obstructions necessary to inform the design and decrease the risk of changes to the construction contract. The Consultant shall employ ground penetrating radar or other destructive or non-destructive measures to accomplish this portion of the scope of work.

(2) Topographic/Hydrographic Surveys

The Consultant shall perform field surveys within the site to delineate all physical features and bottom depths along the bulkhead and under the pier that are necessary for design.



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(3) *Geotechnical Investigations and Analysis*

The Consultant shall investigate the soil and subsurface conditions on the site. Geotechnical analysis shall be performed and recommendations developed for all components of the new development.

A.4. Permitting

U. S. Army Corps of Engineers permitting shall be performed by others. The Consultant shall support the permitting effort by providing drawings and information for the permits. The Consultant shall work with ASPA and/or concessionaires to modify the existing stormwater permit to include the new development. The current permit holder shall be responsible for all permitting fees. In addition, the Consultant shall provide or specify that the Contractor provide a NPDES Construction Permit.

A.5. Basis of Design Report

The Consultant shall work with ASPA to establish the definition of elements of the engineering design to achieve the parameters stated below. The Basis of Design Report shall also incorporate appropriate industry standards and governing codes such as lighting illumination, design vehicles/equipment, design vessels, structure design life among others. ASPA and its concessionaires shall have input as to the design parameters established by the Consultant.

(1) *Design Parameters*

- a. 1,200 psf Pier Design Loading
- b. 1,000 psf Yard Design Loading
- c. Less than 3 inches of total settlement in one location
- d.** Less than 1 inch of differential settlement over 100 ft when subjected to a unit surface loading of 1,000 psf.

A.6. Detailed Design

The Consultant shall perform a detailed design for yard and pier design. The design shall be based upon the parameters set forth in the Basis of Design Report. Any variance from the report shall require a revised report for approval. ASPA and its concessionaires shall provide direction where necessary. The design shall take into account all regulations by governing bodies such as the U. S. Army Corps of Engineers and the U. S. Coast Guard. All aspects of the design shall be documented. Where noted, packages are to be compiled as separate packages to the main yard and pier design. Anticipated major and minor points of design are listed below:

(1) *Dredging (Separate Package)*

The dredging for the new pier is included as part of the contract. The dredging depth shall be minus 50 feet + 2 feet advance maintenance + 2 feet overdredge MLLW.



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(2) Demolition (Separate Package)

A demolition plan shall be developed to support the new construction. The demolition plan shall include, but not be limited to Ship Unloader cranes, sprinkler system, barge loader, bi-wing stacker, portable hoppers, conveyor towers, conveyors, and underground utilities and obstructions. The demolition plan shall be coordinated closely with the Investigation of Underground Obstructions and shall demolish any structure or obstruction that conflicts with the final design or the long term durability of the development. The Consultant shall perform GPR over the full development area to identify all potential obstructions and shall provide a report of findings to the Owner.

(3) Vessel Mooring/Berthing Analysis/Design

A vessel mooring and berthing analysis shall be performed and employed in the design. The Consultant shall work with ASPA and its concessionaires to determine the design vessel to be utilized.

(4) Test Pile Program

The Consultant shall provide contract documents, project management and oversight for a Test Pile Program for the new pier to include procurement, driving and load testing of the piles. All findings and conclusions shall be documented in a final report to the Owner upon completion of the program.

(5) Pier Design

The Consultant shall provide a complete design of the new pier structure. The new pier shall accommodate the use of all existing container cranes and equipment, as well as any identified future equipment. The pier shall be designed for the normal operations of the development and must transition at the south end to match the existing McDuffie Dock 3 top of concrete elevation and allow pedestrian and vehicle traffic to traverse. The pier shall include a curved crane rail system that is continuous with the existing container terminal rail system such that all cranes can traverse the full length. The existing pier cable trench and included crane infrastructure shall be investigated and modified in the design as required to facilitate the continuous crane rail system.

(6) Life Cycle Analysis

The detailed design shall include a life cycle analysis of the existing, to-remain portions of the pier as well as the proposed portions of the pier. The desired life of the new pier structure is 100 years. The detailed design shall incorporate the findings of the life cycle analysis to reach the desired lifespan.

(7) Retaining Wall Design

The pier design shall include the design of a new retaining wall as necessary.



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(8) Fender System Design

Design of a fender system to accommodate the design vessel shall be included in the detailed design for the new pier.

(9) Container Yard Design

The base project shall include a full design of the new yard area adjacent to the new and existing pier. The movement of vehicles and equipment between the existing yard, new yard, existing pier, and new pier shall be seamless. The yard design shall include, but is not limited to, foundation design; civil, grading and drainage design; fiber optic, electrical and lighting design; utility design; pavement and striping design; and fencing in accordance with all applicable industry and regulatory standards. The design shall account for the expected current operations (reach stackers) and the future potential operations (gantry cranes) of the facility.

(10) Alternative Yard Design

The Consultant may be requested to provide alternative yard designs.

(11) Design Documentation Manual

All parts of the detailed design shall be documented with design criteria, calculations, coordination, etc. All design documentation shall be compiled into a Design Documentation Manual to be submitted with the plans and specifications at each submittal.

(12) Load Publishing

The design documents shall clearly note on the cover sheet all loading criteria applicable in each component in the development.

(13) Specifications

The detailed design shall include providing all specifications necessary for the bid and construction of the project.

(14) Cost Estimation

The Consultant shall provide quantity take-offs in order to provide a cost estimate at each phase as well as for bidding purposes.



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A.7. Construction Document and Drawings Preparation

The Consultant shall prepare all construction documents and drawings necessary for the bid and construction process. ASPA shall provide Divisions I through IV of the standard specification manual for the Consultant's use. Issued for Construction CAD files shall be provided.

A.8. Design Review Meetings

Upon completion of each phase submittal (preliminary, 30%, 60%, 90%, 100%) drawings and construction documents, the Consultant shall hold a design review meeting. The Consultant shall present an overview of the project design followed by a discussion of concerns or clarifications to be addressed in the design.

A.9. Bid Support Services

The Consultant shall support all activities during the bid phase, including but not limited to: 1) providing all bid documents, 2) scheduling and conducting pre-bid meetings and site visits with prospective bidders, 3) answering requests for information through addenda, and 4) bid reviews and award recommendations.

A.10. Construction Support Services

The Consultant shall provide post-bid construction support services.

(1) *Project Management and Coordination*

The Consultant shall perform project management and coordination services for the duration of the construction phase. A pre-construction meeting with the selected contractor shall be conducted by the Consultant.

(2) *Shop Drawing and Submittal Review*

The Consultant shall review all construction submittals and shop drawings for the project. The review shall verify the submittal complies with the construction documents. A Submittal Log shall be maintained that tracks the status of individual drawings and submittals and the professional that has reviewed it. Submittals shall be processed and returned within 10 calendar days after receipt to avoid project delays.

(3) *Inspections*

The Consultant shall provide full-time, on-site observation during construction to verify construction deliverables are in accordance with the construction documents. The on-site inspector(s) shall document all construction activities in a daily log. The log shall also include the weather.

(4) *Material Testing*

The Consultant shall be responsible for the testing of materials to verify conformance with the construction documents. The frequency of testing shall be as specified in the



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construction documents. Materials to be tested include, but are not limited to: structural welds, concrete characteristics and soil compaction. All reports and certifications shall be included in the Construction Manual. The Consultant may require the Contractor to provide the required testing in lieu of self-performance.

(5) *Field Engineering*

Supplemental engineering services shall be provided on an as-needed basis. Any field changes shall be reviewed and approved by a licensed professional engineer in the State of Alabama and documented on the as-built drawings.

(6) *Invoice Concurrence/Quantity Verification*

Prior to any payment being made, the Consultant shall concur with the invoice and the in-place quantities listed therein.

A.11. Post Construction Support

The Consultant shall provide post construction support to include but not be limited to the following areas:

(1) As-Builts

The Consultant shall provide a set of as-built drawings documenting the final as-built conditions on the site. Final deliverables shall include PDF and CAD files.

(2) Construction Manual

Upon construction completion, the Consultant shall provide an electronic PDF construction manual with all necessary construction information, to include but not limited to: correspondence regarding field changes, material testing reports, daily reports, technician certifications, as-built drawings, warranties, submittals, test pile reports, etc.



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A.12. Deliverables/Schedule

Progress Submittals to the Owner Include 15 working days review time (unless otherwise noted). All intermittent progress submittals shall be digital only. The 100% IFB submittal shall include one (1) 11x17 hardcopy in addition to the digital PDF.

(1) Project Initiation – 30 days after NTP

- a. Project Management Plan
- b. QA/QC Plan

(2) Additional Site Studies – 60 days after NTP

- a. Investigation of Underground Obstructions
- b. Surveys
- c. Geotechnical Report

(3) Preliminary Layout & Demolition Package – 90 days after NTP

(4) 30% Detailed Design – 120 days after NTP

(5) 60% Detailed Design – 180 days after NTP

(6) 90% Detailed Design – 240 days after NTP

(7) Final Drawings and Construction Documents – 270 days after NTP

Final Electronic Copies to Include CAD Drawings.

(8) Dredging Package – 270 days after NTP

Construction schedule will be contingent upon completion of NEPA.



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**APPENDIX B
REFERENCE DOCUMENTS**

May 2024

ALABAMA STATE PORT AUTHORITY **INSURANCE REQUIREMENTS FOR CONTRACT WORK**

INDEMNIFICATION

The Contractor shall assume all liability for and shall indemnify and save harmless the State of Alabama and the Alabama State Port Authority, and its officers and employees from all damages and liability for injury to any person or persons, and injury to or destruction of property, including the loss of use thereof, by reason of an accident or occurrence arising from operations under the contract, whether such operations are performed by himself or by any subcontractor or by anyone directly or indirectly employed by either of them occurring on or about the premises, or the ways and means adjacent during the term of the contract, or any extension thereof, and shall also assume the liability for injury and/or damages to adjacent or neighboring property by reason of work done under the contract.

INSURANCE REQUIREMENTS

The Contractor shall not commence work under the contract until he has obtained all insurance required under the following paragraphs and until such insurance has been approved by Alabama State Port Authority, nor shall the Contractor allow any subcontractor to commence work until all similar applicable insurance has been obtained by the subcontractor or the Contractor has provided coverage for the subcontractor. The Contractor shall provide, at his expense, insurance in accordance with the following:

General Requirements (applicable to all policies)

All policies of insurance must be written with companies acceptable to Alabama state port authority. The Contractor shall furnish to Alabama state port authority certificates of insurance, signed by the licensed agent, evidencing required coverages. Alabama state port authority reserves the right to require certified copies of any and all policies. Each policy of insurance shall provide, either in body of the policy or by endorsement, that such policy cannot be substantially altered or cancelled without thirty (30) days' written notice to Alabama state port authority and to the insured. **Except for Workers Compensation, said policies will identify Alabama State Port Authority, its officers, officials, agents, servants and employees as Primary and Non-contributory Additional Insureds in connection with work performed for, on behalf of, or on the property of Alabama state port authority.**

Commercial General Liability

The Contractor shall take out and maintain during the life of the contract Commercial General Liability insurance, including Blanket Contractual and Completed Operations coverages, in an amount not less than \$5,000,000 for any one occurrence for bodily injury, including death, and property damage liability.

Business Automobile Liability

The Contractor shall take out and maintain during the life of the contract Business Automobile Liability insurance covering any auto in an amount not less than \$1,000,000 for any one occurrence for bodily injury, including death, and property damage liability.

Workers Compensation

The Contractor shall take out and maintain during the life of the contract Workers Compensation and Employers Liability insurance providing coverage under the Alabama Workers Compensation Act in an amount not less than that required by Alabama law. Where applicable, Contractor shall take out and maintain during the life of the contract insurance providing coverage as required by Federal statute, including but not limited to U.S. Longshoremen and Harborworkers' Compensation Act (USL&H), Jones Act, and Railroad Federal Employers Liability Act (FELA).

Professional Liability

The Contractor shall take out and maintain during the life of the contract Professional Liability insurance including design with limits not less than \$3,000,000 per occurrence

State of _____

County of _____

CERTIFICATE OF COMPLIANCE WITH THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535, as amended by Act 2012-491)

DATE: _____

RE Contract/Grant/Incentive (describe by number or subject):

_____ by and between
_____ (Contractor/Grantee) and
_____ (State Agency, Department or Public Entity)

The undersigned hereby certifies to the State of Alabama as follows:

1. The undersigned holds the position of _____ with the Contractor/Grantee named above, and is authorized to provide representations set out in this Certificate as the official and binding act of that entity, and has knowledge of the provisions of THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535 of the Alabama Legislature, as amended by Act 2012-491) which is described herein as "the Act".
2. Using the following definitions from Section 3 of the Act, select and initial either (a) or (b), below, to describe the Contractor/Grantee's business structure.

BUSINESS ENTITY. Any person or group of persons employing one or more persons performing or engaging in any activity, enterprise, profession, or occupation for gain, benefit, advantage, or livelihood, whether for profit or not for profit. "Business entity" shall include, but not be limited to the following:

a. Self-employed individuals, business entities filing articles of incorporation, partnerships, limited partnerships, limited liability companies, foreign corporations, foreign limited partnerships, foreign limited liability companies authorized to transact business in this state, business trusts, and any business entity that registers with the Secretary of State.

b. Any business entity that possesses a business license, permit, certificate, approval, registration, charter, or similar form of authorization issued by the state, any business entity that is exempt by law from obtaining such a business license and any business entity that is operating unlawfully without a business license.

EMPLOYER. Any person, firm, corporation, partnership, joint stock association, agent, manager, representative, foreman, or other person having control or custody of any employment, place of employment, or of any employee, including any person or entity employing any person for hire within the State of Alabama, including a public employer. This term shall not include the occupant of a household contracting with another person to perform casual domestic labor within the household.

- ____ (a) The Contractor/Grantee is a business entity or employer as those terms are defined in Section 3 of the Act.
 ____ (b) The Contractor/Grantee is not a business entity or employer as those terms are defined in Section 3 of the Act.

3. As of the date of this Certificate, Contractor/Grantee does not knowingly employ an unauthorized alien within the State of Alabama and hereafter it will not knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama;
4. Contractor/Grantee is enrolled in E-Verify unless it is not eligible to enroll because of the rules of that program or other factors beyond its control.

Certified this _____ day of _____ 20 _____

Name of Contractor/Grantee/Recipient

By: _____

Its _____

The above Certification was signed in my presence by the person whose name appears above, on

this _____ day of _____ 20 _____.

WITNESS: _____

Printed Name of Witness

Acknowledgement of Addenda

THIS PAGE MUST BE COMPLETED INCLUDED WITH YOUR PROPOSAL

By signature below I verify that I have received _____ number of addenda issued for this RFP.

SUBMITTING FIRM:

FIRM NAME: _____

SIGNATURE OF PRINCIPAL: _____

PRINTED NAME: _____

DATE: _____



FY2023 Community Project Funding

Grant Contract Provisions

Compliance with Federal Law, Regulations and Executive Orders

This is an acknowledgement that HUD financial assistance will be used to fund all or a portion of the contract. The contractor will comply with all applicable Federal law, regulations, executive orders, HUD policies, procedures, and directives.

Nondiscrimination

In accordance with Title VI of the Civil Rights Act, as amended, 42 U.S.C. § 2000d, section 303 of the Age Discrimination Act of 1975, and as amended, 42 U.S.C. § 6102, section 202 of the Americans with Disabilities Act of 1990, 42 U.S.C. § 12132, the Contractor agrees that it will not discriminate against any employee or applicant for employment because of race, color, creed, national origin, sex, age, or disability. In addition, the Contractor agrees to comply with applicable Federal implementing regulations and other implementing requirements HUD may issue.

Equal Employment Opportunity

The following equal employment opportunity requirements apply to the underlying contract:

(a) Race, Color, Creed, National Origin, Sex - In accordance with Title VII of the Civil Rights Act, as amended, 42 U.S.C. § 2000e, the Contractor agrees to comply with all applicable equal employment opportunity requirements of U.S. Department of Labor (U.S. DOL) regulations, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," 41 C.F.R. Parts 60 et seq ., (which implement Executive Order No. 11246, "Equal Employment Opportunity," as amended by Executive Order No. 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," 42 U.S.C. § 2000e note), and with any applicable Federal statutes, executive orders, regulations, and Federal policies that may in the future affect construction activities undertaken in the course of the Project. The Contractor agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, creed, national origin, sex, or age. Such action shall include, but not be limited to, the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination; rates of pay or other forms

of compensation; and selection for training, including apprenticeship. In addition, the Contractor agrees to comply with any implementing requirements HUD may issue.

(b) Age - In accordance with section 4 of the Age Discrimination in Employment Act of 1967, as amended, 29 U.S.C. § § 623, the Contractor agrees to refrain from discrimination against present and prospective employees for reason of age. In addition, the Contractor agrees to comply with any implementing requirements HUD may issue.

(c) Disabilities - In accordance with section 102 of the Americans with Disabilities Act, as amended, 42 U.S.C. § 12112, the Contractor agrees that it will comply with the requirements of U.S. Equal Employment Opportunity Commission, "Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act," 29 C.F.R. Part 1630, pertaining to employment of persons with disabilities. In addition, the Contractor agrees to comply with any implementing requirements HUD may issue.

The Contractor also agrees to include these requirements in each subcontract financed in whole or in part with Federal assistance provided by HUD, modified only if necessary to identify the affected parties.

Suspension and Debarment 2 CFR 200.214

This contract is a covered transaction for purposes of 2 C.F.R. pt. 180 and 2 C.F.R. pt. 3000. As such, the contractor is required to verify that none of the contractor's principals (defined at 2 C.F.R. § 180.995) or its affiliates (defined at 2 C.F.R. § 180.905) are excluded (defined at 2 C.F.R. § 180.940) or disqualified (defined at 2 C.F.R. § 180.935).

The contractor must comply with 2 C.F.R. pt. 180, subpart C and 2 C.F.R. pt. 3000, subpart C, and must include a requirement to comply with these regulations in any lower tier covered transaction it enters into.

This certification is a material representation of fact relied upon by Alabama State Port Authority. If it is later determined that the contractor did not comply with 2 C.F.R. pt. 180, subpart C and 2 C.F.R. pt. 3000, subpart C, in addition to remedies available Alabama State Port Authority, the Federal Government may pursue available remedies, including but not limited to suspension and/or debarment.

The bidder or proposer agrees to comply with the requirements of 2 C.F.R. pt. 180, subpart C and 2 C.F.R. pt. 3000, subpart C while this offer is valid and throughout the period of any contract that may arise from this offer. The bidder or proposer further agrees to include a provision requiring such compliance in its lower tier covered transactions.

Lobbying *(Any project over \$100,000)*

No federal funds under this agreement may be used to influence or attempt to influence an officer or employee of any agency, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the awarding of any federal contract, continuation, renewal, amendments other than federal appropriated funds.

Drug Free Workplace

During the performance of this contract, the contractor agrees to (i) provide a drug-free workplace for the contractor's employees; (ii) post in conspicuous places, available to employees and applicants for employment, a statement notifying employees that the unlawful manufacture, sale, distribution,

dispensation, possession, or use of a controlled substance or marijuana is prohibited in the contractor's workplace and specifying the actions that will be taken against employees for violations of such prohibition; (iii) state in all solicitations or advertisements for employees placed by or on behalf of the contractor that the contractor maintains a drug-free workplace; and (iv) include the provisions of the foregoing clauses in every subcontract or purchase order of over \$10,000, so that the provisions will be binding upon each subcontractor or vendor.

For the purposes of this section, "drug-free workplace" means a site for the performance of work done in connection with a specific contract awarded to a contractor in accordance with this chapter, the employees of whom are prohibited from engaging in the unlawful manufacture, sale, distribution, dispensation, possession or use of any controlled substance or marijuana during the performance of the contract.

Trafficking in persons 2 CFR Part 175

This contract is covered by 2 CFR Part 175. A person who is an employee, agent, consultant, officer, or elected or appointed official of the recipient or subrecipient may not—

- i. Engage in severe forms of trafficking in persons during the period of time that the award is in effect;
- ii. Procure a commercial sex act during the period of time that the award is in effect; or
- iii. Use forced labor in the performance of the award or subawards under the award.

HUD, as the Federal awarding agency, may unilaterally terminate this award, without penalty.

Conflict of Interest

i. In the procurement of property or services by recipients and subrecipients, the conflict-of-interest rules in 2 CFR 200.317 and 2 CFR 200.318(c) shall apply. In all cases not governed by 2 CFR 200.317 and 2 CFR 200.318(c), recipients and subrecipients must follow the requirements contained in paragraphs ii-v below.

ii. General prohibition. No person who is an employee, agent, consultant, officer, or elected or appointed official of the recipient or subrecipient and who exercises or has exercised any functions or responsibilities with respect to assisted activities, or who is in a position to participate in a decision making process or gain inside information with regard to such activities, may obtain a financial interest or benefit from the activity, or have a financial interest in any contract, subcontract, or agreement with respect thereto, or the proceeds thereunder, either for himself or herself or for those with whom he or she has immediate family or business ties, during his or her tenure or for one year thereafter. Immediate family ties include (whether by blood, marriage or adoption) the spouse, parent (including a stepparent), child (including a stepchild), brother, sister (including a stepbrother or stepsister), grandparent, grandchild, and in-laws of a covered person.

iii. Exceptions. HUD may grant an exception to the general prohibition in paragraph (ii) upon the recipient's written request and satisfaction of the threshold requirements in paragraph (iv), if HUD determines the exception will further the Federal purpose of the award and the effective and efficient administration of the recipient's program or project, taking into account the cumulative effects of the factors in paragraph (v).

iv. Threshold requirements for exceptions. HUD will consider an exception only after the recipient has provided the following documentation:

- a. A disclosure of the nature of the conflict, accompanied by an assurance that there has been public disclosure of the conflict and a description of how the public disclosure was made; and

- b. An opinion of the recipient's attorney that the interest for which the exception is sought would not violate state or local law.
- v. Factors to be considered for exceptions. In determining whether to grant a requested exception after the recipient has satisfactorily met the threshold requirements in paragraph (iii), HUD will consider the cumulative effect of the following factors, where applicable:
 - a. Whether the exception would provide a significant cost benefit or an essential degree of expertise to the program or project that would otherwise not be available;
 - b. Whether an opportunity was provided for open competitive bidding or negotiation;
 - c. Whether the person affected is a member of a group or class of low- or moderate-income persons intended to be the beneficiaries of the assisted activity, and the exception will permit such person to receive generally the same interests or benefits as are being made available or provided to the group or class;
 - d. Whether the affected person has withdrawn from his or her functions or responsibilities, or the decision-making process with respect to the specific assisted activity in question;
 - e. Whether the interest or benefit was present before the affected person was in a position as described in paragraph (ii);
 - f. Whether undue hardship will result either to the recipient or the person affected when weighed against the public interest served by avoiding the prohibited conflict; and
 - g. Any other relevant considerations.

Contract Work Hours and Safety Standards *(Contracts awarded by recipients in excess of \$2000 for construction contracts and in excess of \$2500 for other contracts that involve the employment of mechanics or laborers)*

1. **Overtime requirements** - No Contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek.
2. **Violation; liability for unpaid wages; liquidated damages** - In the event of any violation of the clause set forth in paragraph (1) of this section the Contractor and any subcontractor responsible therefor shall be liable for the unpaid wages. In addition, such Contractor and subcontractor shall be liable to the United States for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph (1) of this section, in the sum of \$10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in paragraph (1) of this section.
3. **Withholding for unpaid wages and liquidated damages** - The ASPA shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the Contractor or subcontractor under any such contract or any other Federal contract with the same Contractor, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same Contractor, such sums as may be determined to be necessary to

satisfy any liabilities of such Contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph (2) of this section.

4. **Subcontracts** - The Contractor or subcontractor shall insert in any subcontracts the clauses set forth in paragraphs (1) through (4) of this section and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The Contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in paragraphs (1) through (4) of this section.

Clean Air *(Contracts of amounts in excess of \$100,000)*

The Contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Clean Air Act, as amended, 42 U.S.C. §§ 7401 . The Contractor agrees to report each violation to the Purchaser and understands and agrees that the Purchaser will, in turn, report each violation as required to assure notification to MARAD and the appropriate EPA Regional Office.

The Contractor also agrees to include these requirements in each subcontract exceeding \$100,000 financed in whole or in part with Federal assistance provided by HUD.

Clean Water *(Contracts of amounts in excess of \$100,000)*

The Contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Federal Water Pollution Control Act, as amended, 33 U.S.C. 1251 et . The Contractor agrees to report each violation to the Purchaser and understands and agrees that the Purchaser will, in turn, report each violation as required to assure notification to HUD and the appropriate EPA Regional Office.

The Contractor also agrees to include these requirements in each subcontract exceeding \$100,000 financed in whole or in part with Federal assistance provided by HUD.

Copeland "Anti-Kickback" Act *(Contracts in excess of \$2,000 for construction or repair)*

The Contractor shall comply with the requirements of 29 CFR part 3, which are incorporated by reference in this contract. The Act provides that each contractor or subrecipient shall be prohibited from inducing, by any means, any person employed in the construction, completion, or repair of public work, to give up any part of the compensation to which he is otherwise entitled. The recipient shall report all suspected or reported violations to HUD.

Section 3 HUD Act of 1968

The work to be performed under this contract is subject to the requirements of Section 3 of the Housing and Urban Development Act of 1968, as amended by the Housing and Community Development Act of 1992 (Section 3). The purpose of Section 3, 24 CFR Part 75, is to ensure that employment and other economic opportunities generated by HUD assistance or HUD-assisted projects covered by Section 3, shall, to the greatest extent feasible, be directed to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing.



U.S Department of Housing and Urban Development
FY2023 Community Project Funding
Grant Forms

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER
RESPONSIBILITY MATTERS--PRIMARY COVERED TRANSACTIONS**

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
 - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
 - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification;
 - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Signature / Authorized Certifying Official

Typed Name & Title

Applicant / Organization

Date Signed

49 CFR PART 20--CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

(To be submitted with each bid or offer exceeding \$100,000)

The undersigned [Contractor] certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for making lobbying contacts to an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form--LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions [as amended by "Government wide Guidance for New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96). Note: Language in paragraph (2) herein has been modified in accordance with Section 10 of the Lobbying Disclosure Act of 1995 (P.L. 104-65, to be codified at 2 U.S.C. 1601, *et seq.*)]

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31, U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

[Note: Pursuant to 31 U.S.C. § 1352(c)(1)-(2)(A), any person who makes a prohibited expenditure or fails to file or amend a required certification or disclosure form shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure or failure.]

The Contractor, _____, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Contractor understands and agrees that the provisions of 31 U.S.C. A 3801, *et seq.*, apply to this certification and disclosure, if any.

_____ Signature of Contractor's Authorized Official

_____ Name and Title of Contractor's Authorized Official

_____ Date

AFFIDAVIT AND CERTIFICATE OF COMPLIANCE

FORM FOR SECTIONS 9 (a) and (b) BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT; CODE OF ALABAMA, SECTIONS 31-13-9 (a) and (b) AFFIDAVIT FOR BUSINESS ENTITY/EMPLOYER /CONTRACTOR

(To be completed as a condition for the award of any contract, grant, or incentive by the State of Alabama, any political subdivision thereof, or any state-funded entity to a business entity or employer that employs one or more employees)

State of _____

County of _____

Before me, a notary public, personally appeared _____ (print name) who, being duly sworn, says as follows:

As a condition for the award of any contract, grant, or incentive by the State of Alabama, any political subdivision thereof, or any state-funded entity to a business entity or employer that employs one or more employees, I hereby attest that in my capacity as

_____ (state position) for _____ (state business entity/employer/contractor name) that said business entity/employer/contractor shall not knowingly employ, hire for employment, or continue to employ an unauthorized alien.

I further attest that said business entity/employer/contractor is enrolled in the E-Verify program.

(ATTACH DOCUMENTATION ESTABLISHING THAT BUSINESS ENTITY/EMPLOYER/CONTRACTOR IS ENROLLED IN THE E-VERIFY PROGRAM)

_____.Signature of Affiant

Sworn to and subscribed before me this ____ day of _____, _____.

I certify that the affiant is known (or made known) to me to be the identical party he or she claims to be.

_____.Signature and Seal of Notary Public



Alabama State Port Authority
Request for Proposals

REQUEST FOR PROPOSALS



PORT OF MOBILE
ALABAMA PORT AUTHORITY

PROFESSIONAL SERVICE CONTRACT

**CHOCTAW POINT - MARINE TERMINAL
DEVELOPMENT**

**PROJECT MANAGEMENT, DESIGN AND
CONSTRUCTION MANAGEMENT**

RFP #: ASPA-TS-2024-01

**APPENDIX C
STANDARD PROFESSIONAL SERVICES AGREEMENT**

May 2024



Alabama State Port Authority
Construction & Design Professional Services Agreement

Project Name CHOCTAW POINT - MARINE TERMINAL DEVELOPMENT

Project # 11411 **Task #** 01

**STANDARD FORM OF AGREEMENT
BETWEEN OWNER AND ENGINEER
FOR
PROFESSIONAL SERVICES**

Copyright ©1996 National Society of Professional Engineers
1420 King Street, Alexandria, VA 22314

American Consulting Engineers Council
1015 15th Street N.W., Washington, DC 20005

American Society of Civil Engineers
345 East 47th Street, New York, NY 10017



Alabama State Port Authority
Construction & Design Professional Services Agreement

Project Name CHOCTAW POINT - MARINE TERMINAL DEVELOPMENT

Project # 11411 **Task #** 01

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Alabama State Port Authority
Construction & Design Professional Services Agreement

Project Name CHOCTAW POINT - MARINE TERMINAL DEVELOPMENT

Project # 11411 **Task #** 01

THIS IS AN AGREEMENT effective as of [REDACTED], [REDACTED] (“Effective Date”)

between

The Alabama State Port Authority (“OWNER”)

and

[REDACTED] (“ENGINEER”).

OWNER intends to [REDACTED] (“Project”).

OWNER and ENGINEER in consideration of their mutual covenants as set forth herein agree as follows:



ARTICLE 1 - SERVICES OF ENGINEER

1.01 Scope

- A. ENGINEER shall provide the Basic and Additional Services set forth herein and in Exhibit A.
- B. Upon this Agreement becoming effective, ENGINEER is authorized to begin Basic Services as set forth in Exhibit A.
- C. If authorized by OWNER, ENGINEER shall furnish Resident Project Representative(s) with duties, responsibilities and limitations of authority as set forth in Exhibit D.

ARTICLE 2 - OWNER'S RESPONSIBILITIES

2.01 General

- A. OWNER shall have the responsibilities set forth herein and in Exhibit B.

ARTICLE 3 - TIMES FOR RENDERING SERVICES

3.01 General

- A. ENGINEER's services and compensation under this Agreement have been agreed to in anticipation of the orderly and continuous progress of the Project through completion. Unless specific periods of time or specific dates for providing services are specified in this Agreement, ENGINEER's obligation to render services hereunder will be for a period which may reasonably be required for the completion of said services.
- B. If in this Agreement specific periods of time for rendering services are set forth or specific dates by which services are to be completed are provided, and if such periods of time or dates are changed through no fault of ENGINEER, the rates and amounts of compensation provided for herein shall be subject to equitable adjustment. If OWNER has requested changes in the scope, extent, or character of the Project, the time of performance of ENGINEER's services shall be adjusted equitably.
- C. For purposes of this Agreement, the term "day" means a calendar day of 24 hours.

3.02 Suspension

- A. If OWNER fails to give prompt written authorization to proceed with any phase of services after completion of the immediately preceding phase, or if ENGINEER's services are delayed through no fault of ENGINEER, ENGINEER may, after giving seven days written notice to OWNER, suspend services under this Agreement.
- B. If ENGINEER's services are delayed or suspended in whole or in part by OWNER, or if ENGINEER's services are extended by Contractor's actions or inactions for more than 90 days through no fault of ENGINEER, ENGINEER shall be entitled to equitable adjustment of rates and amounts of compensation provided for elsewhere in this Agreement to reflect, reasonable costs incurred by ENGINEER in connection with, among other things, such delay or suspension and reactivation and the fact that the time for performance under this Agreement has been revised.

ARTICLE 4 - PAYMENTS TO ENGINEER

4.01 Methods of Payment for Services and Reimbursable Expenses of ENGINEER

- A. *For Basic Services.* OWNER shall pay ENGINEER for Basic Services performed or furnished under Exhibit A, Part 1, as set forth in Exhibit C.
- B. *For Additional Services.* OWNER shall pay ENGINEER for Additional Services performed or furnished under Exhibit A, Part 2, as set forth in Exhibit C.
- C. *For Reimbursable Expenses.* In addition to payments provided for in paragraphs 4.01.A and 4.01.B, OWNER shall pay ENGINEER for Reimbursable Expenses incurred by ENGINEER and ENGINEER's Consultants as set forth in Exhibit C.

4.02 Other Provisions Concerning Payments

- A. *Preparation of Invoices.* Invoices will be prepared in accordance with ENGINEER's standard invoicing practices and will be submitted to OWNER by ENGINEER, unless otherwise agreed. The amount billed in each invoice will be calculated as set forth in Exhibit C.
- B. *Payment of Invoices.* Invoices are due and payable within 30 days of receipt. If OWNER fails to make any payment due ENGINEER for services and expenses within 30 days after receipt of ENGINEER's invoice therefore, the amounts due ENGINEER will be increased at the rate of 1.0% per month (or the maximum rate of interest permitted by law, if less) from said thirtieth day. In addition, ENGINEER may, after giving seven days written notice to OWNER, suspend services under this Agreement until ENGINEER has been paid in full all amounts due for services, expenses, and other related charges. Payments will be credited first to interest and then to principal.



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- C. *Disputed Invoices.* In the event of a disputed or contested invoice, only that portion so contested may be withheld from payment, and the undisputed portion will be paid.
- D. *Payments Upon Termination.*
 - 1. In the event of any termination under paragraph 6.06, ENGINEER will be entitled to invoice OWNER and will be paid in accordance with Exhibit C for all services performed or furnished and all Reimbursable Expenses incurred through the effective date of termination.
 - 2. In the event of termination by OWNER for convenience or by ENGINEER for cause, ENGINEER, in addition to invoicing for those items identified in subparagraph 4.02.D.1, shall be entitled to invoice OWNER and shall be paid a reasonable amount for services and expenses directly attributable to termination, both before and after the effective date of termination, such as reassignment of personnel, costs of terminating contracts with ENGINEER's Consultants, and other related close-out costs, using methods and rates for Additional Services as set forth in Exhibit C.
- E. *Records of ENGINEER's Costs.* Records of ENGINEER's costs pertinent to ENGINEER's compensation under this Agreement shall be kept in accordance with generally accepted accounting practices. To the extent necessary to verify ENGINEER's charges and upon OWNER's timely request, copies of such records will be made available to OWNER at cost.
- F. *Legislative Actions.* In the event of legislative actions after the Effective Date of the Agreement by any level of government that impose taxes, fees, or costs on ENGINEER's services or other costs in connection with this Project or compensation therefor, such new taxes, fees, or costs shall be invoiced to and paid by OWNER as a Reimbursable Expense to which a Factor of 1.0 shall be applied. Should such taxes, fees, or costs be imposed, they shall be in addition to ENGINEER's estimated total compensation.

ARTICLE 5 - OPINIONS OF COST

5.01 Opinions of Probable Construction Cost

- A. ENGINEER's opinions of probable Construction Cost provided for herein are to be made on the basis of ENGINEER's experience and qualifications and represent ENGINEER's best judgment as an experienced and qualified professional generally familiar with the industry. However, since ENGINEER has no control over the cost of labor, materials, equipment, or services furnished by others, or over the Contractor's methods of determining prices, or over competitive bidding or market conditions, ENGINEER cannot and does not guarantee that proposals, bids, or actual Construction Cost will not vary from opinions of probable Construction Cost prepared by ENGINEER. If OWNER wishes greater assurance as to probable Construction Cost, OWNER shall employ an independent cost estimator as provided in Exhibit B.

5.02 Designing to Construction Cost Limit

- A. If a Construction Cost limit is established between OWNER and ENGINEER, such Construction Cost limit and a statement of ENGINEER's rights and responsibilities with respect thereto will be specifically set forth in Exhibit F, "Construction Cost Limit," to this Agreement.

5.03 Opinions of Total Project Costs

- A. ENGINEER assumes no responsibility for the accuracy of opinions of Total Project Costs.

ARTICLE 6 - GENERAL CONSIDERATIONS

6.01 Standards of Performance

- A. The standard of care for all professional engineering and related services performed or furnished by ENGINEER under this Agreement will be the care and skill ordinarily used by members of ENGINEER's profession practicing under similar circumstances at the same time and in the same locality. ENGINEER makes no warranties, express or implied, under this Agreement or otherwise, in connection with ENGINEER's services.
- B. ENGINEER shall be responsible for the technical accuracy of its services and documents resulting therefrom, and OWNER shall not be responsible for discovering deficiencies therein. ENGINEER shall correct such deficiencies without additional compensation except to the extent such action is directly attributable to deficiencies in OWNER-furnished information.
- C. ENGINEER shall perform or furnish professional engineering and related services in all phases of the Project to which this Agreement applies. ENGINEER shall serve as OWNER's prime professional for the Project. ENGINEER may employ such ENGINEER's Consultants as ENGINEER deems necessary to assist in the performance or furnishing of the services. ENGINEER shall not be required to employ any ENGINEER's Consultant unacceptable to ENGINEER.



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- D. ENGINEER and OWNER shall comply with applicable Laws or Regulations and OWNER-mandated standards. This Agreement is based on these requirements as of its Effective Date. Changes to these requirements after the Effective Date of this Agreement may be the basis for modifications to OWNER's responsibilities or to ENGINEER's scope of services, times of performance, or compensation.
- E. OWNER shall be responsible for, and ENGINEER may rely upon, the accuracy and completeness of all requirements, programs, instructions, reports, data, and other information furnished by OWNER to ENGINEER pursuant to this Agreement. ENGINEER may use such requirements, reports, data, and information in performing or furnishing services under this Agreement.
- F. OWNER shall make decisions and carry out its other responsibilities in a timely manner and shall bear all costs incident thereto so as not to delay the services of ENGINEER.
- G. Prior to the commencement of the Construction Phase, OWNER shall notify ENGINEER of any variations from the language indicated in Exhibit E, "Notice of Acceptability of Work," or of any other notice or certification that ENGINEER will be requested to provide to OWNER or third parties in connection with the Project. OWNER and ENGINEER shall reach agreement on the terms of any such requested notice or certification, and OWNER shall authorize such Additional Services as are necessary to enable ENGINEER to provide the notices or certifications requested.
- H. ENGINEER shall not be required to sign any documents, no matter by whom requested, that would result in the ENGINEER's having to certify, guarantee, or warrant the existence of conditions whose existence the ENGINEER cannot ascertain. OWNER agrees not to make resolution of any dispute with the ENGINEER or payment of any amount due to the ENGINEER in any way contingent upon the ENGINEER's signing any such certification.
- I. During the Construction Phase, ENGINEER shall not supervise, direct, or have control over Contractor's work, nor shall ENGINEER have authority over or responsibility for the means, methods, techniques, sequences, or procedures of construction selected by Contractor, for safety precautions and programs incident to the Contractor's work in progress, nor for any failure of Contractor to comply with Laws and Regulations applicable to Contractor's furnishing and performing the Work.
- J. ENGINEER neither guarantees the performance of any Contractor nor assumes responsibility for any Contractor's failure to furnish and perform the Work in accordance with the Contract Documents.
- K. ENGINEER shall not be responsible for the acts or omissions of any Contractor(s), subcontractor or supplier, or of any of the Contractor's agents or employees or any other persons (except ENGINEER's own employees) at the Site or otherwise furnishing or performing any of the Contractor's work; or for any decision made on interpretations or clarifications of the Contract Documents given by OWNER without consultation and advice of ENGINEER.
- L. The General Conditions for any construction contract documents prepared hereunder are to be the Standard General Conditions used by the OWNER.

6.02 Authorized Project Representatives

- A. Contemporaneous with the execution of this Agreement, ENGINEER and OWNER shall designate specific individuals to act as ENGINEER's and OWNER's representatives with respect to the services to be performed or furnished by ENGINEER and responsibilities of OWNER under this Agreement. Such individuals shall have authority to transmit instructions, receive information, and render decisions relative to the Project on behalf of each respective party.

6.03 Design without Construction Phase Services

- A. Should OWNER provide Construction Phase services with either OWNER's representatives or a third party, ENGINEER's Basic Services under this Agreement will be considered to be completed upon completion of the Final Design Phase or Bidding or Negotiating Phase as outlined in Exhibit A.
- B. It is understood and agreed that if ENGINEER's Basic Services under this Agreement do not include Project observation, or review of the Contractor's performance, or any other Construction Phase services, and that such services will be provided by OWNER, then OWNER assumes all responsibility for interpretation of the Contract Documents and for construction observation or review and waives any claims against the ENGINEER that may be in any way connected thereto.

6.04 Use of Documents

- A. All Documents are instruments of service in respect to this Project.
- B. Copies of OWNER-furnished data that may be relied upon by ENGINEER are limited to the printed copies (also known as hard copies) that are delivered to the ENGINEER pursuant to Exhibit B. Files in electronic media format of text, data, graphics, or of other types that are furnished by OWNER to ENGINEER are only for convenience of ENGINEER. Any conclusion or information obtained or derived from such electronic files will be at the user's sole risk.



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- C. Copies of Documents that may be relied upon by OWNER are limited to the printed copies (also known as hard copies) that are signed or sealed by the ENGINEER. Files in electronic media format of text, data, graphics, or of other types that are furnished by ENGINEER to OWNER are only for convenience of OWNER. Any conclusion or information obtained or derived from such electronic files will be at the user's sole risk.
- D. Because data stored in electronic media format can deteriorate or be modified inadvertently or otherwise without authorization of the data's creator, the party receiving electronic files agrees that it will perform acceptance tests or procedures within 60 days, after which the receiving party shall be deemed to have accepted the data thus transferred. Any errors detected within the 60-day acceptance period will be corrected by the party delivering the electronic files. ENGINEER shall not be responsible to maintain documents stored in electronic media format after acceptance by OWNER.
- E. When transferring documents in electronic media format, ENGINEER makes no representations as to long term compatibility, usability, or readability of documents resulting from the use of software application packages, operating systems, or computer hardware differing from those used by ENGINEER at the beginning of this Project.
- F. OWNER may make and retain copies of Documents for information and reference in connection with use on the Project by OWNER. Such Documents are not intended or represented to be suitable for reuse by OWNER or others on extensions of the Project or on any other project. Any such reuse or modification without written verification or adaptation by ENGINEER, as appropriate for the specific purpose intended, will be at OWNER's sole risk and without liability or legal exposure to ENGINEER or to ENGINEER's Consultants. To the extent permitted by law, OWNER shall indemnify and hold harmless ENGINEER and ENGINEER's Consultants from all claims, damages, losses, and expenses, including attorneys' fees arising out of or resulting therefrom.
- G. If there is a discrepancy between the electronic files and the hard copies, the hard copies govern.
- H. Any verification or adaptation of the Documents for extensions of the Project or for any other project will entitle ENGINEER to further compensation at rates to be agreed upon by OWNER and ENGINEER.

6.05 Insurance

- A. ENGINEER shall procure and maintain insurance as set forth in Exhibit F, "Insurance."
- B. OWNER shall require Contractor to purchase and maintain general liability and other insurance as specified in the Contract Documents and to cause ENGINEER to be listed as additional insureds with respect to such liability and other insurance purchased and maintained by Contractor for the Project
- C. ENGINEER shall each deliver to the OWNER certificates of insurance evidencing the coverages indicated in Exhibit F. Such certificates shall be furnished prior to commencement of ENGINEER's services and at renewals thereafter during the life of the Agreement.

6.06 Termination

- A. The obligation to provide further services under this Agreement may be terminated:
 - 1. *For cause*,
 - a. By either party upon 30 days written notice in the event of substantial failure by the other party to perform in accordance with the terms hereof through no fault of the terminating party.
 - b. By ENGINEER:
 - 1) upon seven days written notice if ENGINEER believes that ENGINEER is being requested by OWNER to furnish or perform services contrary to ENGINEER's responsibilities as a licensed professional; or
 - 2) upon seven days written notice if the ENGINEER's services for the Project are delayed or suspended for more than 90 days for reasons beyond ENGINEER's control.
 - 3) ENGINEER shall have no liability to OWNER on account of such termination.
 - c. Notwithstanding the foregoing, this Agreement will not terminate as a result of such substantial failure if the party receiving such notice begins, within seven days of receipt of such notice, to correct its failure to perform and proceeds diligently to cure such failure within no more than 30 days of receipt thereof; provided, however, that if and to the extent such substantial failure cannot be reasonably cured within such 30 day period, and if such party has diligently attempted to cure the same and thereafter continues diligently to cure the same, then the cure period provided for herein shall extend up to, but in no case more than, 60 days after the date of receipt of the notice.
 - 2. *For convenience*,
 - a. By OWNER effective upon the receipt of notice by ENGINEER.



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- B. The terminating party under paragraphs 6.06.A.1 or 6.06.A.2 may set the effective date of termination at a time up to 30 days later than otherwise provided to allow ENGINEER to demobilize personnel and equipment from the Site, to complete tasks whose value would otherwise be lost, to prepare notes as to the status of completed and uncompleted tasks, and to assemble Project materials in orderly files.

6.07 Controlling Law

- A. This Agreement is to be governed by the law of the state in which the Project is located.

6.08 Successors, Assigns, and Beneficiaries

- A. OWNER and ENGINEER each is hereby bound and the partners, successors, executors, administrators and legal representatives of OWNER and ENGINEER (and to the extent permitted by paragraph 6.08.B the assigns of OWNER and ENGINEER) are hereby bound to the other party to this Agreement and to the partners, successors, executors, administrators, and legal representatives (and said assigns) of such other party, in respect of all covenants, agreements, and obligations of this Agreement.
- B. Neither OWNER nor ENGINEER may assign, sublet, or transfer any rights under or interest (including, but without limitation, moneys that are due or may become due) in this Agreement without the written consent of the other, except to the extent that any assignment, subletting, or transfer is mandated or restricted by law. Unless specifically stated to the contrary in any written consent to an assignment, no assignment will release or discharge the assignor from any duty or responsibility under this Agreement.
- C. Unless expressly provided otherwise in this Agreement:
 - 1. Nothing in this Agreement shall be construed to create, impose, or give rise to any duty owed by OWNER or ENGINEER to any Contractor, Contractor's subcontractor, supplier, other individual or entity, or to any surety for or employee of any of them.
 - 2. All duties and responsibilities undertaken pursuant to this Agreement will be for the sole and exclusive benefit of OWNER and ENGINEER and not for the benefit of any other party. The OWNER agrees that the substance of the provisions of this paragraph 6.08.C shall appear in the Contract Documents.

6.09 Dispute Resolution

- A. OWNER and ENGINEER agree to negotiate all disputes between them in good faith for a period of 30 days from the date of notice prior to exercising their rights under Exhibit G or other provisions of this Agreement, or under law. In the absence of such an agreement, the parties may exercise their rights under law.
- B. If and to the extent that OWNER and ENGINEER have agreed on a method and procedure for resolving disputes between them arising out of or relating to this Agreement, such dispute resolution method and procedure is set forth in Exhibit G, "Dispute Resolution."

6.10 Hazardous Environmental Condition

- A. OWNER represents to Engineer that to the best of its knowledge a Hazardous Environmental Condition does not exist.
- B. OWNER has disclosed to the best of its knowledge to ENGINEER the existence of all Asbestos, PCB's, Petroleum, Hazardous Waste, or Radioactive Material located at or near the Site, including type, quantity, and location.
- C. If a Hazardous Environmental Condition is encountered or alleged, ENGINEER shall have the obligation to notify OWNER and, to the extent of applicable Laws and Regulations, appropriate governmental officials.
- D. It is acknowledged by both parties that ENGINEER's scope of services does not include any services related to a Hazardous Environmental Condition. In the event ENGINEER or any other party encounters a Hazardous Environmental Condition, ENGINEER may, at its option and without liability for consequential or any other damages, suspend performance of services on the portion of the Project affected thereby until OWNER: (i) retains appropriate specialist consultant(s) or contractor(s) to identify and, as appropriate, abate, remediate, or remove the Hazardous Environmental Condition; and (ii) warrants that the Site is in full compliance with applicable Laws and Regulations.
- E. OWNER acknowledges that ENGINEER is performing professional services for OWNER and that ENGINEER is not and shall not be required to become an "arranger," "operator," "generator," or "transporter" of hazardous substances, as defined in the Comprehensive Environmental Response, Compensation, and Liability Act of 1990 (CERCLA), which are or may be encountered at or near the Site in connection with ENGINEER's activities under this Agreement.
- F. If ENGINEER's services under this Agreement cannot be performed because of a Hazardous Environmental Condition, the existence of the condition shall justify ENGINEER's terminating this Agreement for cause on 30 days notice.

6.11 Allocation of Risks

- A. Indemnification



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1. To the fullest extent permitted by law, ENGINEER shall indemnify and hold harmless OWNER, OWNER's officers, directors, partners, and employees from and against any and all costs, losses, and damages (including but not limited to all fees and charges of engineers, architects, attorneys, and other professionals, and all court or arbitration or other dispute resolution costs) caused solely by the negligent acts or omissions of ENGINEER or ENGINEER's officers, directors, partners, employees, in the performance and furnishing of ENGINEER's services under this Agreement.
2. To the fullest extent permitted by law, OWNER shall indemnify and hold harmless ENGINEER, ENGINEER's officers, directors, partners, employees, and ENGINEER's Consultants from and against any and all costs, losses, and damages (including but not limited to all fees and charges of engineers, architects, attorneys, and other professionals, and all court or arbitration or other dispute resolution costs) caused solely by the negligent acts or omissions of OWNER or OWNER's officers, directors, partners, employees with respect to this Agreement or the Project.
3. To the fullest extent permitted by law, ENGINEER's total liability to OWNER and anyone claiming by, through, or under OWNER for any cost, loss, or damages caused in part by the negligence of ENGINEER and in part by the negligence of OWNER or any other negligent entity or individual, shall not exceed the percentage share that ENGINEER's negligence bears to the total negligence of OWNER, ENGINEER, and all other negligent entities and individuals.

6.12 Notices

- A. Any notice required under this Agreement will be in writing, addressed to the appropriate party at its address on the signature page and given personally, or by registered or certified mail postage prepaid, or by a commercial courier service. All notices shall be effective upon the date of receipt.

6.13 Survival

- A. All express representations, indemnifications, or limitations of liability included in this Agreement will survive its completion or termination for any reason.

6.14 Severability

- A. Any provision or part of the Agreement held to be void or unenforceable under any Laws or Regulations shall be deemed stricken, and all remaining provisions shall continue to be valid and binding upon OWNER and ENGINEER, who agree that the Agreement shall be reformed to replace such stricken provision or part thereof with a valid and enforceable provision that comes as close as possible to expressing the intention of the stricken provision.

6.15 Waiver

- A. Non-enforcement of any provision by either party shall not constitute a waiver of that provision, nor shall it affect the enforceability of that provision or of the remainder of this Agreement.

6.16 Headings

- A. The headings used in this Agreement are for general reference only and do not have special significance.

ARTICLE 7 - DEFINITIONS

7.01 Defined Terms

- A. Wherever used in this Agreement (including the Exhibits hereto) and printed with initial or all capital letters, the terms listed below have the meanings indicated, which are applicable to both the singular and plural thereof:
 1. *Addenda*--Written or graphic instruments issued prior to the opening of Bids which clarify, correct, or change the Bidding Documents.
 2. *Additional Services*--The services to be performed for or furnished to OWNER by ENGINEER in accordance with Exhibit A, Part 2 of this Agreement.
 3. *Agreement*--This "Standard Form of Agreement between OWNER and ENGINEER for Professional Services," including those Exhibits listed in Article 8 hereof.
 4. *Application for Payment*--The form acceptable to ENGINEER which is to be used by Contractor in requesting progress or final payments for the completion of its Work and which is to be accompanied by such supporting documentation as is required by the Contract Documents.
 5. *Asbestos*--Any material that contains more than one percent asbestos and is friable or is releasing asbestos fibers into the air above current action levels established by the United States Occupational Safety and Health Administration.



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6. *Basic Services*--The services to be performed for or furnished to OWNER by ENGINEER in accordance with Exhibit A, Part 1, of this Agreement.
7. *Bid*--The offer or proposal of the bidder submitted on the prescribed form setting forth the prices for the Work to be performed.
8. *Bidding Documents*--The advertisement or invitation to Bid, instructions to bidders, the Bid form and attachments, the Bid bond, if any, the proposed Contract Documents, and all Addenda, if any.
9. *Change Order*--A document recommended by ENGINEER, which is signed by Contractor and OWNER to authorize an addition, deletion, or revision in the Work, or an adjustment in the Contract Price or the Contract Times, issued on or after the Effective Date of the Construction Agreement.
10. *Construction Agreement*--The written instrument which is evidence of the agreement, contained in the Contract Documents, between OWNER and Contractor covering the Work.
11. *Construction Contract*--The entire and integrated written agreement between the OWNER and Contractor concerning the Work.
12. *Construction Cost*--The cost to OWNER of those portions of the entire Project designed or specified by ENGINEER. Construction Cost does not include costs of services of ENGINEER or other design professionals and consultants, cost of land, rights-of-way, or compensation for damages to properties, or OWNER's costs for legal, accounting, insurance counseling or auditing services, or interest and financing charges incurred in connection with the Project, or the cost of other services to be provided by others to OWNER pursuant to Exhibit B of this Agreement. Construction Cost is one of the items comprising Total Project Costs.
13. *Contract Documents*--Documents that establish the rights and obligations of the parties engaged in construction and include the Construction Agreement between OWNER and Contractor, Addenda (which pertain to the Contract Documents), Contractor's Bid (including documentation accompanying the Bid and any post-Bid documentation submitted prior to the notice of award) when attached as an exhibit to the Construction Agreement, the notice to proceed, the bonds, appropriate certifications, the General Conditions, the Supplementary Conditions, the Specifications and the Drawings as the same are more specifically identified in the Construction Agreement, together with all Written Amendments, Change Orders, Work Change Directives, Field Orders, and ENGINEER's written interpretations and clarifications issued on or after the Effective Date of the Construction Agreement. Approved Shop Drawings and the reports and drawings of subsurface and physical conditions are not Contract Documents.
14. *Contract Price*--The moneys payable by OWNER to Contractor for completion of the Work in accordance with the Contract Documents and as stated in the Construction Agreement.
15. *Contract Times*--The numbers of days or the dates stated in the Construction Agreement to: (i) achieve Substantial Completion, and (ii) complete the Work so that it is ready for final payment as evidenced by ENGINEER's written recommendation of final payment.
16. *Contractor*--An individual or entity with whom OWNER enters into a Construction Agreement.
17. *Correction Period*--The time after Substantial Completion during which Contractor must correct, at no cost to OWNER, any Defective Work, normally one year after the date of Substantial Completion or such longer period of time as may be prescribed by Laws or Regulations or by the terms of any applicable special guarantee or specific provision of the Contract Documents.
18. *Defective*--An adjective which, when modifying the word Work, refers to Work that is unsatisfactory, faulty, or deficient, in that it does not conform to the Contract Documents, or does not meet the requirements of any inspection, reference standard, test, or approval referred to in the Contract Documents, or has been damaged prior to ENGINEER's recommendation of final payment.
19. *Documents*--Data, reports, Drawings, Specifications, Record Drawings, and other deliverables, whether in printed or electronic media format, provided or furnished in appropriate phases by ENGINEER to OWNER pursuant to this Agreement.
20. *Drawings*--That part of the Contract Documents prepared or approved by ENGINEER which graphically shows the scope, extent, and character of the Work to be performed by Contractor. Shop Drawings are not Drawings as so defined.



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21. *Effective Date of the Construction Agreement*--The date indicated in the Construction Agreement on which it becomes effective, but if no such date is indicated, it means the date on which the Construction Agreement is signed and delivered by the last of the two parties to sign and deliver.
22. *Effective Date of the Agreement*--The date indicated in this Agreement on which it becomes effective, but if no such date is indicated, it means the date on which the Agreement is signed and delivered by the last of the two parties to sign and deliver.
23. *ENGINEER's Consultants*--Individuals or entities having a contract with ENGINEER to furnish services with respect to this Project as ENGINEER's independent professional associates, consultants, subcontractors, or vendors. The term ENGINEER includes ENGINEER's Consultants.
24. *Field Order*--A written order issued by ENGINEER which directs minor changes in the Work but which does not involve a change in the Contract Price or the Contract Times.
25. *General Conditions*--That part of the Contract Documents which sets forth terms, conditions, and procedures that govern the Work to be performed or furnished by Contractor with respect to the Project.
26. *Hazardous Environmental Condition*--The presence at the Site of Asbestos, PCB's, Petroleum, Hazardous Waste, or Radioactive Materials in such quantities or circumstances that may present a substantial danger to persons or property exposed thereto in connection with the Work.
27. *Hazardous Waste*--The term Hazardous Waste shall have the meaning provided in Section 1004 of the Solid Waste Disposal Act (42 USC Section 6903) as amended from time to time.
28. *Laws and Regulations; Laws or Regulations*--Any and all applicable laws, rules, regulations, ordinances, codes, standards, and orders of any and all governmental bodies, agencies, authorities, and courts having jurisdiction.
29. *PCB's*--Polychlorinated biphenyls.
30. *Petroleum*--Petroleum, including crude oil or any fraction thereof which is liquid at standard conditions of temperature and pressure (60 degrees Fahrenheit and 14.7 pounds per square inch absolute), such as oil, petroleum, fuel oil, oil sludge, oil refuse, gasoline, kerosene, and oil mixed with other non-Hazardous Waste and crude oils.
31. *Radioactive Materials*--Source, special nuclear, or byproduct material as defined by the Atomic Energy Act of 1954 (42 USC Section 2011 et seq.) as amended from time to time.
32. *Record Drawings*--The Drawings as issued for construction on which the ENGINEER, upon completion of the Work, has shown changes due to Addenda or Change Orders and other information which ENGINEER considers significant based on record documents furnished by Contractor to ENGINEER and which were annotated by Contractor to show changes made during construction.
33. *Reimbursable Expenses*--The expenses incurred directly by ENGINEER in connection with the performing or furnishing of Basic and Additional Services for the Project for which OWNER shall pay ENGINEER as indicated in Exhibit C.
34. *Resident Project Representative*--The authorized representative of ENGINEER, if any, assigned to assist ENGINEER at the Site during the Construction Phase. The Resident Project Representative will be ENGINEER's agent or employee and under ENGINEER's supervision. As used herein, the term Resident Project Representative includes any assistants of Resident Project Representative agreed to by OWNER. The duties and responsibilities of the Resident Project Representative are as set forth in Exhibit D.
35. *Samples*--Physical examples of materials, equipment, or workmanship that are representative of some portion of the Work and which establish the standards by which such portion of the Work will be judged.
36. *Shop Drawings*--All drawings, diagrams, illustrations, schedules, and other data or information which are specifically prepared or assembled by or for Contractor and submitted by Contractor to ENGINEER to illustrate some portion of the Work.
37. *Site*--Lands or areas indicated in the Contract Documents as being furnished by OWNER upon which the Work is to be performed, rights-of-way and easements for access thereto, and such other lands furnished by OWNER which are designated for use of Contractor.
38. *Specifications*--That part of the Contract Documents consisting of written technical descriptions of materials, equipment, systems, standards, and workmanship as applied to the Work and certain administrative details applicable thereto.



- 39. *Substantial Completion*--The time at which the Work (or a specified part thereof) has progressed to the point where, in the opinion of ENGINEER, the Work (or a specified part thereof) is sufficiently complete, in accordance with the Contract Documents, so that the Work (or a specified part thereof) can be utilized for the purposes for which it is intended. The terms "substantially complete" and "substantially completed" as applied to all or part of the Work refer to Substantial Completion thereof.
- 40. *Supplementary Conditions*--That part of the Contract Documents which amends or supplements the General Conditions.
- 41. *Total Project Costs*--The sum of the Construction Cost, allowances for contingencies, the total costs of services of ENGINEER or other design professionals and consultants, cost of land, rights-of-way, or compensation for damages to properties, or OWNER's costs for legal, accounting, insurance counseling or auditing services, or interest and financing charges incurred in connection with the Project, or the cost of other services to be provided by others to OWNER pursuant to Exhibit B of this Agreement.
- 42. *Work*--The entire completed construction or the various separately identifiable parts thereof required to be provided under the Contract Documents with respect to this Project. Work includes and is the result of performing or furnishing labor, services, and documentation necessary to produce such construction and furnishing, installing, and incorporating all materials and all equipment into such construction, all as required by the Contract Documents.
- 43. *Work Change Directive*--A written directive to Contractor issued on or after the Effective Date of the Construction Agreement and signed by OWNER upon recommendation of the ENGINEER, ordering an addition, deletion, or revision in the Work, or responding to differing or unforeseen subsurface or physical conditions under which the Work is to be performed or to emergencies. A Work Change Directive will not change the Contract Price or the Contract Times but is evidence that the parties expect that the change directed or documented by a Work Change Directive will be incorporated in a subsequently issued Change Order following negotiations by the parties as to its effect, if any, on the Contract Price or Contract Times.
- 44. *Written Amendment*--A written amendment of the Contract Documents signed by OWNER and Contractor on or after the Effective Date of the Construction Agreement and normally dealing with the non-engineering or non-technical rather than strictly construction-related aspects of the Contract Documents.

ARTICLE 8 - EXHIBITS AND SPECIAL PROVISIONS

8.01 Exhibits Included

- A. Exhibit A, "ENGINEER's Services," consisting of [redacted] pages AND attachment 1.
- B. Exhibit B, "OWNER's Responsibilities," consisting of [redacted] pages.
- C. Exhibit C, "Payments to Engineer for Services and Reimbursable Expenses," consisting of [redacted] pages and Attachment 1.
- D. Exhibit D, "Duties, Responsibilities, and Limitations of Authority of Resident Project Representative," consisting of [redacted] pages.
- E. Exhibit E, "Notice of Acceptability of Work," consisting of [redacted] pages.
- F. Exhibit F, "Insurance," consisting of 2 pages.
- G. Exhibit G, "Dispute Resolution," consisting of [redacted] pages.
- H. Exhibit H, "Disadvantaged Business Enterprise (DBE) Utilization", consisting of 2 pages.

8.02 Total Agreement

This Agreement (consisting of pages 1 to [redacted] inclusive, together with the Exhibits identified above) constitutes the entire agreement between OWNER and ENGINEER and supersedes all prior written or oral understandings. This Agreement may only be amended, supplemented, modified, or canceled by a duly executed written instrument.



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Standard Form of Agreement Between Owner and Engineer for Professional Services

IN WITNESS WHEREOF, the parties hereto have executed this Agreement, the Effective Date of which is indicated on page 1.

Alabama State Port Authority

Accepted by:

John C. Driscoll
Director & CEO

Date

Signature
Date

Address for giving notices:
Attention: **Douglas C. Otto, Jr., P.E.**
PO Box 1588
Mobile, AL 36633-1588

Printed Name

Title

Tax Identification Number

Designated Representative (paragraph 6.02.A)

Designated Representative (paragraph 6.02.A)

Name

Name

Title

Title

Phone Number

Fax Number

Phone Number

Fax Number

e-mail Address

e-mail Address



Alabama State Port Authority

Standard Form of Agreement Between Owner and Engineer for Professional Services

This is **EXHIBIT A**, consisting of _____ pages, referred to in and part of the **Agreement between OWNER and ENGINEER for Professional Services** dated _____, _____.

Initial:
OWNER _____
ENGINEER _____

ENGINEER's Services

Article 1 of the Agreement is amended and supplemented to include the following agreement of the parties. ENGINEER shall provide Basic and Additional Services as set forth below.

PART 1 -- BASIC SERVICES

A1.01 Study and Report Phase

A. ENGINEER shall:

1. Consult with OWNER to define and clarify OWNER's requirements for the Project and available data.
2. Advise OWNER as to the necessity of OWNER's providing data or services of the types described in Exhibit B which are not part of ENGINEER's Basic Services, and assist OWNER in obtaining such data and services.
3. Identify, consult with, and analyze requirements of governmental authorities having jurisdiction to approve the portions of the Project designed or specified by ENGINEER, including but not limited to mitigating measures identified in the environmental assessment.
4. Identify and evaluate _____ alternate solutions available to OWNER and, after consultation with OWNER, recommend to OWNER those solutions which in ENGINEER's judgment meet OWNER's requirements for the Project.
5. Prepare a report (the "Report") which will, as appropriate, contain schematic layouts, sketches and conceptual design criteria with appropriate exhibits to indicate the agreed-to requirements, considerations involved, and those alternate solutions available to OWNER which ENGINEER recommends. This Report will be accompanied by ENGINEER's opinion of Total Project Costs for each solution which is so recommended for the Project with each component separately itemized, including the following, which will be separately itemized: opinion of probable Construction Cost, allowances for contingencies and for the estimated total costs of design, professional, and related services provided by ENGINEER and, on the basis of information furnished by OWNER, allowances for other items and services included within the definition of Total Project Costs.
6. Perform or provide the following additional Study and Report Phase tasks or deliverables:
7. Furnish _____ review copies of the Report to OWNER within ____ days of authorization to begin services and review it with OWNER.
8. Revise the Report in response to OWNER's and other parties' comments, as appropriate, and furnish _____ final copies of the revised Report to the OWNER within ____ days after completion of reviewing it with OWNER.

B. ENGINEER's services under the Study and Report Phase will be considered complete on the date when the final copies of the revised Report have been delivered to OWNER.



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A1.02 Preliminary Design Phase

- A. After acceptance by OWNER of the Report, selection by OWNER of a recommended solution and indication of any specific modifications or changes in the scope, extent, character, or design requirements of the Project desired by OWNER, and upon written authorization from OWNER, ENGINEER shall:
1. On the basis of the above acceptance, selection, and authorization, prepare Preliminary Design Phase documents consisting of final design criteria, preliminary drawings, outline specifications and written descriptions of the Project.
 2. Provide necessary field surveys and topographic and utility mapping for design purposes. Utility mapping will be based upon information obtained from utility owners.
 3. Advise OWNER if additional reports, data, information, or services of the types described in Exhibit B are necessary and assist OWNER in obtaining such reports, data, information, or services.
 4. Based on the information contained in the Preliminary Design Phase documents, submit a revised opinion of probable Construction Cost and any adjustments to Total Project Costs known to ENGINEER, which will be itemized as provided in paragraph A1.01.A.5.
 5. Perform or provide the following additional Preliminary Design Phase tasks or deliverables:
 6. Furnish the Preliminary Design Phase documents to and review them with OWNER.
 7. Submit to OWNER ___ final copies of the Preliminary Design Phase documents and revised opinion of probable Construction Cost within ___ days after authorization to proceed with this phase.
- B. ENGINEER's services under the Preliminary Design Phase will be considered complete on the date when final copies of the Preliminary Design Phase documents have been delivered to OWNER.

A1.03 Final Design Phase

- A. After acceptance by OWNER of the Preliminary Design Phase documents and revised opinion of probable Construction Cost as determined in the Preliminary Design Phase, but subject to any OWNER-directed modifications or changes in the scope, extent, character, or design requirements of or for the Project, and upon written authorization from OWNER, ENGINEER shall:
1. On the basis of the above acceptance, direction, and authorization, prepare final Drawings indicating the scope, extent, and character of the Work to be performed and furnished by Contractor. Specifications will be prepared, where appropriate, in general conformance with the 16-division format of the Construction Specifications Institute.
 2. Provide technical criteria, written descriptions, and design data for OWNER's use in filing applications for permits from or approvals of governmental authorities having jurisdiction to review or approve the final design of the Project and assist OWNER in consultations with appropriate authorities.
 3. Advise OWNER of any adjustments to the opinion of probable Construction Cost and any adjustments to Total Project Costs known to ENGINEER, itemized as provided in paragraph A1.01.A.5.
 4. Perform or provide the following additional Final Design Phase tasks or deliverables:
 5. Prepare and furnish Bidding Documents for review and approval by OWNER, its legal counsel, and other advisors, as appropriate, and assist OWNER in the preparation of other related documents.
 6. Submit ___ final copies of the Bidding Documents and a revised opinion of probable Construction Cost to OWNER within ___ days after authorization to proceed with this phase.
- B. In the event that the Work designed or specified by ENGINEER is to be performed or furnished under more than one prime contract, or if ENGINEER's services are to be separately sequenced with the work of one or more prime Contractors (such as in the case of fast-tracking), OWNER and ENGINEER shall, prior to commencement of the Final Design Phase, develop a schedule for performance of ENGINEER's services during the Final Design, Bidding or Negotiating, Construction, and Post-Construction Phases in order to sequence and coordinate properly such services as are applicable to the work under such separate prime contracts. This schedule is to be prepared and included in or become an amendment to Exhibit A whether or not the work under such contracts is to proceed concurrently.
- C. The number of prime contracts for Work designed or specified by ENGINEER upon which the ENGINEER's compensation has been established under this Agreement is _____.



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- D. ENGINEER's services under the Final Design Phase will be considered complete on the date when the submittals required by paragraph A1.03.A.6 have been delivered to OWNER.

A1.04 Bidding or Negotiating Phase

- A. After acceptance by OWNER of the Bidding Documents and the most recent opinion of probable Construction Cost as determined in the Final Design Phase, and upon written authorization by OWNER to proceed, ENGINEER shall:
1. Assist OWNER in advertising for and obtaining bids or negotiating proposals for the Work and, where applicable, maintain a record of prospective bidders to whom Bidding Documents have been issued, attend pre-Bid conferences, if any, and receive and process Contractor deposits or charges for the Bidding Documents.
 2. Issue Addenda as appropriate to clarify, correct, or change the Bidding Documents.
 3. Consult with OWNER as to the acceptability of subcontractors, suppliers, and other individuals and entities proposed by Contractor for those portions of the Work as to which such acceptability is required by the Bidding Documents.
 4. Perform or provide the following additional Bidding or Negotiating Phase tasks or deliverables:
 5. Attend the Bid opening, prepare Bid tabulation sheets, and assist OWNER in evaluating Bids or proposals and in assembling and awarding contracts for the Work.
- B. The Bidding or Negotiating Phase will be considered complete upon commencement of the Construction Phase or upon cessation of negotiations with prospective Contractors.

A1.05 Construction Phase

- A. Upon successful completion of the Bidding and Negotiating Phase, and upon written authorization from OWNER, ENGINEER shall:
1. *General Administration of Construction Contract.* Consult with OWNER and act as OWNER's representative as provided in the General Conditions. The extent and limitations of the duties, responsibilities and authority of ENGINEER as assigned in said General Conditions shall not be modified, except as ENGINEER may otherwise agree in writing. All of OWNER's instructions to Contractor will be issued through ENGINEER, who shall have authority to act on behalf of OWNER in dealings with Contractor to the extent provided in this Agreement and said General Conditions except as otherwise provided in writing.
 2. *Resident Project Representative (RPR).* Provide the services of an RPR at the Site to assist the ENGINEER and to provide more extensive observation of Contractor's work. Duties, responsibilities, and authority of the RPR are as set forth in Exhibit D. The furnishing of such RPR's services will not extend ENGINEER's responsibilities or authority beyond the specific limits set forth elsewhere in this Agreement.
 3. *Selecting Independent Testing Laboratory.* Assist OWNER in the selection of an independent testing laboratory to perform the services identified in paragraph B2.01.0.
 4. *Pre-Construction Conference.* Participate in a Pre-Construction Conference prior to commencement of Work at the Site.
 5. *Baselines and Benchmarks.* As appropriate, establish baselines and benchmarks for locating the Work which in ENGINEER's judgment are necessary to enable Contractor to proceed.
 6. *Visits to Site and Observation of Construction.* In connection with observations of Contractor's work in progress while it is in progress:
 - a) Make visits to the Site at intervals appropriate to the various stages of construction, as ENGINEER deems necessary, in order to observe as an experienced and qualified design professional the progress and quality of the Work. Such visits and observations by ENGINEER, and the Resident Project Representative, if any, are not intended to be exhaustive or to extend to every aspect of Contractor's work in progress or to involve detailed inspections of Contractor's work in progress beyond the responsibilities specifically assigned to ENGINEER in this Agreement and the Contract Documents, but rather are to be limited to spot checking, selective sampling, and similar methods of general observation of the Work based on ENGINEER's exercise of professional judgment as assisted by the Resident Project Representative, if any. Based on information obtained during such



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visits and such observations, ENGINEER will determine in general if Contractor's work is proceeding in accordance with the Contract Documents, and ENGINEER shall keep OWNER informed of the progress of the Work.

- b) The purpose of ENGINEER's visits to, and representation by the Resident Project Representative, if any, at the Site, will be to enable ENGINEER to better carry out the duties and responsibilities assigned to and undertaken by ENGINEER during the Construction Phase, and, in addition, by the exercise of ENGINEER's efforts as an experienced and qualified design professional, to provide for OWNER a greater degree of confidence that the completed Work will conform in general to the Contract Documents and that the integrity of the design concept of the completed Project as a functioning whole as indicated in the Contract Documents has been implemented and preserved by Contractor. ENGINEER shall not, during such visits or as a result of such observations of Contractor's work in progress, supervise, direct, or have control over Contractor's work, nor shall ENGINEER have authority over or responsibility for the means, methods, techniques, sequences, or procedures of construction selected by Contractor, for safety precautions and programs incident to Contractor's work, or for any failure of Contractor to comply with Laws and Regulations applicable to Contractor's furnishing and performing the Work. Accordingly, ENGINEER neither guarantees the performance of any Contractor nor assumes responsibility for any Contractor's failure to furnish and perform its work in accordance with the Contract Documents.
7. *Defective Work.* Recommend to OWNER that Contractor's work be disapproved and rejected while it is in progress if, on the basis of such observations, ENGINEER believes that such work will not produce a completed Project that conforms generally to the Contract Documents or that it will prejudice the integrity of the design concept of the completed Project as a functioning whole as indicated in the Contract Documents.
8. *Clarifications and Interpretations; Field Orders.* Issue necessary clarifications and interpretations of the Contract Documents as appropriate to the orderly completion of Contractor's work. Such clarifications and interpretations will be consistent with the intent of and reasonably inferable from the Contract Documents. ENGINEER may issue Field Orders authorizing minor variations from the requirements of the Contract Documents.
9. *Change Orders and Work Change Directives.* Recommend Change Orders and Work Change Directives to OWNER, as appropriate, and prepare Change Orders and Work Change Directives as required.
10. *Shop Drawings and Samples.* Review and approve or take other appropriate action in respect to Shop Drawings and Samples and other data which Contractor is required to submit, but only for conformance with the information given in the Contract Documents and compatibility with the design concept of the completed Project as a functioning whole as indicated in the Contract Documents. Such reviews and approvals or other action will not extend to means, methods, techniques, sequences, or procedures of construction or to safety precautions and programs incident thereto. ENGINEER has an obligation to meet any Contractor's submittal schedule that has earlier been acceptable to ENGINEER.
11. *Substitutes and "or-equal."* Evaluate and determine the acceptability of substitute or "or-equal" materials and equipment proposed by Contractor, but subject to the provisions of paragraph A2.02.A.2 of this Exhibit A.
12. *Inspections and Tests.* Require such special inspections or tests of Contractor's work as deemed reasonably necessary, and receive and review all certificates of inspections, tests, and approvals required by Laws and Regulations or the Contract Documents. ENGINEER's review of such certificates will be for the purpose of determining that the results certified indicate compliance with the Contract Documents and will not constitute an independent evaluation that the content or procedures of such inspections, tests, or approvals comply with the requirements of the Contract Documents. ENGINEER shall be entitled to rely on the results of such tests.
13. *Disagreements between OWNER and Contractor.* Render formal written decisions on all claims of OWNER and Contractor relating to the acceptability of Contractor's work or the interpretation of the requirements of the Contract Documents pertaining to the execution and progress of Contractor's work. In rendering such decisions, ENGINEER shall be fair and not show partiality to OWNER or Contractor and shall not be liable in connection with any decision rendered in good faith in such capacity.
14. *Applications for Payment.* Based on ENGINEER's observations as an experienced and qualified design professional and on review of Applications for Payment and accompanying supporting documentation:



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- a) Determine the amounts that ENGINEER recommends Contractor be paid. Such recommendations of payment will be in writing and will constitute ENGINEER's representation to OWNER, based on such observations and review, that, to the best of ENGINEER's knowledge, information and belief, Contractor's work has progressed to the point indicated, the quality of such work is generally in accordance with the Contract Documents (subject to an evaluation of the Work as a functioning whole prior to or upon Substantial Completion, to the results of any subsequent tests called for in the Contract Documents and to any other qualifications stated in the recommendation), and the conditions precedent to Contractor's being entitled to such payment appear to have been fulfilled in so far as it is ENGINEER's responsibility to observe Contractor's work. In the case of unit price work, ENGINEER's recommendations of payment will include final determinations of quantities and classifications of Contractor's work (subject to any subsequent adjustments allowed by the Contract Documents). The responsibilities of ENGINEER contained in paragraph A1.05.A.6.a are expressly subject to the limitations set forth in paragraph A1.05.A.6.b and other expressed or general limitations in this Agreement and elsewhere.
 - b) By recommending any payment, ENGINEER shall not thereby be deemed to have represented that observations made by ENGINEER to check the quality or quantity of Contractor's work as it is performed and furnished have been exhaustive, extended to every aspect of Contractor's work in progress, or involved detailed inspections of the Work beyond the responsibilities specifically assigned to ENGINEER in this Agreement and the Contract Documents. Neither ENGINEER's review of Contractor's work for the purposes of recommending payments nor ENGINEER's recommendation of any payment including final payment will impose on ENGINEER responsibility to supervise, direct, or control Contractor's work in progress or for the means, methods, techniques, sequences, or procedures of construction or safety precautions or programs incident thereto, or Contractor's compliance with Laws and Regulations applicable to Contractor's furnishing and performing the Work. It will also not impose responsibility on ENGINEER to make any examination to ascertain how or for what purposes Contractor has used the moneys paid on account of the Contract Price, or to determine that title to any portion of the work in progress, materials, or equipment has passed to OWNER free and clear of any liens, claims, security interests, or encumbrances, or that there may not be other matters at issue between OWNER and Contractor that might affect the amount that should be paid.
15. *Contractor's Completion Documents.*
- a) Receive and review maintenance and operating instructions, schedules, and guarantees.
 - b) Receive bonds, certificates, or other evidence of insurance not previously submitted and required by the Contract Documents, certificates of inspection, tests and approvals, Shop Drawings, Samples and other data approved as provided under paragraph A1.05.A.10, and the annotated record documents which are to be assembled by Contractor in accordance with the Contract Documents to obtain final payment. The extent of such ENGINEER's review will be limited as provided in paragraph A1.05.A.10.
 - c) ENGINEER shall transmit these documents to OWNER.
16. *Substantial Completion.* Promptly after notice from Contractor that Contractor considers the entire Work ready for its intended use, in company with OWNER and Contractor, conduct an inspection to determine if the Work is Substantially Complete. If after considering any objections of OWNER, ENGINEER considers the Work Substantially Complete, ENGINEER shall deliver a certificate of Substantial Completion to OWNER and Contractor.
17. *Additional Tasks.* Perform or provide the following additional Construction Phase tasks or deliverables:
18. *Final Notice of Acceptability of the Work.* Conduct a final inspection to determine if the completed Work of Contractor is acceptable so that ENGINEER may recommend, in writing, final payment to Contractor. Accompanying the recommendation for final payment, ENGINEER shall also provide a notice in the form attached hereto as Exhibit E (the "Notice of Acceptability of Work") that the Work is acceptable (subject to the provisions of paragraph A1.05.A.14.b) to the best of ENGINEER's knowledge, information, and belief and based on the extent of the services provided by ENGINEER under this Agreement.
- B. *Duration of Construction Phase.* The Construction Phase will commence with the execution of the first Construction Agreement for the Project or any part thereof and will terminate upon written recommendation by ENGINEER for final payment to Contractors. If the Project involves more than one prime contract as indicated



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in paragraph A1.03.C, Construction Phase services may be rendered at different times in respect to the separate contracts.

- C. *Limitation of Responsibilities.* ENGINEER shall not be responsible for the acts or omissions of any Contractor, or of any of their subcontractors, suppliers, or of any other individual or entity performing or furnishing any of the Work. ENGINEER shall not be responsible for failure of any Contractor to perform or furnish the Work in accordance with the Contract Documents.

A1.06 Post-Construction Phase

- A. Upon written authorization from OWNER, ENGINEER, during the Post-Construction Phase, shall:
1. Provide assistance in connection with the testing and adjusting of Project equipment or systems.
 2. Assist OWNER in training OWNER's staff to operate and maintain Project, equipment, and systems.
 3. Assist OWNER in developing procedures for control of the operation and maintenance of, and record keeping for Project equipment and systems.
 4. Together with OWNER, visit the Project to observe any apparent defects in the Work, assist OWNER in consultations and discussions with Contractor concerning correction of any such defects, and make recommendations as to replacement or correction of Defective Work, if present.
 5. Perform or provide the following additional Post-Construction Phase tasks or deliverables:
 6. In company with OWNER or OWNER's representative, provide an inspection of the Project within one month before the end of the Correction Period to ascertain whether any portion of the Work is subject to correction.
- B. The Post-Construction Phase services may commence during the Construction Phase and, if not otherwise modified in this Exhibit A, will terminate at the end of the Correction Period.

PART 2 -- ADDITIONAL SERVICES

A2.01 Additional Services Requiring OWNER's Authorization in Advance

- A. If authorized in writing by OWNER, ENGINEER shall furnish or obtain from others Additional Services of the types listed below. These services will be paid for by OWNER as indicated in Article 4 of the Agreement.
1. Preparation of applications and supporting documents (in addition to those furnished under Basic Services) for private or governmental grants, loans or advances in connection with the Project; preparation or review of environmental assessments and impact statements; review and evaluation of the effects on the design requirements for the Project of any such statements and documents prepared by others; and assistance in obtaining approvals of authorities having jurisdiction over the anticipated environmental impact of the Project.
 2. Services to make measured drawings of or to investigate existing conditions or facilities, or to verify the accuracy of drawings or other information furnished by OWNER.
 3. Services resulting from significant changes in the scope, extent, or character of the portions of the Project designed or specified by ENGINEER or its design requirements including, but not limited to, changes in size, complexity, OWNER's schedule, character of construction, or method of financing; and revising previously accepted studies, reports, Drawings, Specifications, or Contract Documents when such revisions are required by changes in Laws and Regulations enacted subsequent to the Effective Date of this Agreement or are due to any other causes beyond ENGINEER's control.
 4. Services resulting from OWNER's request to evaluate additional Study and Report Phase alternative solutions beyond those identified in paragraph A1.01.A.4.
 5. Services required as a result of OWNER's providing incomplete or incorrect Project information with respect to Exhibit B.
 6. Providing renderings or models for OWNER's use.
 7. Undertaking investigations and studies including, but not limited to, detailed consideration of operations, maintenance, and overhead expenses; the preparation of feasibility studies, cash flow and economic evaluations, rate schedules, and appraisals; assistance in obtaining financing for the Project; evaluating processes available for licensing, and assisting OWNER in obtaining process licensing; detailed quantity



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- surveys of materials, equipment, and labor; and audits or inventories required in connection with construction performed by OWNER.
8. Furnishing services of ENGINEER's Consultants for other than Basic Services.
 9. Services attributable to more prime construction contracts than specified in paragraph A1.03.C.
 10. Services during out-of-town travel required of ENGINEER other than for visits to the Site or OWNER's office.
 11. Preparing for, coordinating with, participating in and responding to structured independent review processes, including, but not limited to, construction management, cost estimating, project peer review, value engineering, and constructability review requested by OWNER; and performing or furnishing services required to revise studies, reports, Drawings, Specifications, or other Bidding Documents as a result of such review processes.
 12. Preparing additional Bidding Documents or Contract Documents for alternate bids or prices requested by OWNER for the Work or a portion thereof.
 13. Determining the acceptability of substitute materials and equipment proposed during the Bidding or Negotiating Phase when substitution prior to the award of contracts is allowed by the Bidding Documents.
 14. Assistance in connection with Bid protests, rebidding, or renegotiating contracts for construction, materials, equipment, or services.
 15. Providing construction surveys and staking to enable Contractor to perform its work other than as required under paragraph A1.05.A.5, and any type of property surveys or related engineering services needed for the transfer of interests in real property; and providing other special field surveys.
 16. Providing Construction Phase services beyond the Contract Times set forth in Exhibit C.
 17. Providing assistance in resolving any Hazardous Environmental Condition in compliance with current Laws and Regulations.
 18. Preparing and furnishing to OWNER Record Drawings showing appropriate record information based on Project annotated record documents received from Contractor.
 19. Preparation of operation and maintenance manuals.
 20. Preparing to serve or serving as a consultant or witness for OWNER in any litigation, arbitration or other dispute resolution process related to the Project.
 21. Providing more extensive services required to enable ENGINEER to issue notices or certifications requested by OWNER under paragraph 6.01.G of the Agreement.
 22. Other services performed or furnished by ENGINEER not otherwise provided for in this Agreement.

A2.02 Required Additional Services

- A. ENGINEER shall perform or furnish, without requesting or receiving specific advance authorization from OWNER, the Additional Services of the types listed below. ENGINEER shall advise OWNER in writing promptly after starting any such Additional Services.
 1. Services in connection with Work Change Directives and Change Orders to reflect changes requested by OWNER so as to make the compensation commensurate with the extent of the Additional Services rendered.
 2. Services in making revisions to Drawings and Specifications occasioned by the acceptance of substitute materials or equipment other than "or-equal" items; and services after the award of the Construction Agreement in evaluating and determining the acceptability of a substitution which is found to be inappropriate for the Project or an excessive number of substitutions.
 3. Services resulting from significant delays, changes, or price increases occurring as a direct or indirect result of materials, equipment, or energy shortages.
 4. Additional or extended services during construction made necessary by (1) emergencies or acts of God endangering the Work, (2) an occurrence of a Hazardous Environmental Condition, (3) Work damaged by fire or other cause during construction, (4) a significant amount of defective, neglected, or delayed work by



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- Contractor, (5) acceleration of the progress schedule involving services beyond normal working hours, or (6) default by Contractor.
5. Services (other than Basic Services during the Post-Construction Phase) in connection with any partial utilization of any part of the Work by OWNER prior to Substantial Completion.
 6. Evaluating an unreasonable claim or an excessive number of claims submitted by Contractor or others in connection with the Work.



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This is **EXHIBIT B**, consisting of _____ pages, referred to in and part of the **Agreement between OWNER and ENGINEER for Professional Services** dated _____,

Initial:
OWNER _____
ENGINEER _____

OWNER's Responsibilities

Article 2 of the Agreement is amended and supplemented to include the following agreement of the parties.

B2.01 In addition to other responsibilities of OWNER as set forth in this Agreement, OWNER shall:

- A. Provide ENGINEER with all criteria and full information as to OWNER's requirements for the Project, including design objectives and constraints, space, capacity and performance requirements, flexibility, and expandability, and any budgetary limitations; and furnish copies of all design and construction standards which OWNER will require to be included in the Drawings and Specifications; and furnish copies of OWNER's standard forms, conditions, and related documents for ENGINEER to include in the Bidding Documents, when applicable.
- B. Furnish to ENGINEER any other available information pertinent to the Project including reports and data relative to previous designs, or investigation at or adjacent to the Site.
- C. Following ENGINEER's assessment of initially-available Project information and data and upon ENGINEER's request, furnish or otherwise make available such additional Project related information and data as is reasonably required to enable ENGINEER to complete its Basic and Additional Services. Such additional information or data would generally include the following:
 1. Property descriptions.
 2. Zoning, deed, and other land use restrictions.
 3. Property, boundary, easement, right-of-way, and other special surveys or data, including establishing relevant reference points.
 4. Explorations and tests of subsurface conditions at or contiguous to the Site, drawings of physical conditions in or relating to existing surface or subsurface structures at or contiguous to the Site, or hydrographic surveys, with appropriate professional interpretation thereof.
 5. Environmental assessments, audits, investigations and impact statements, and other relevant environmental or cultural studies as to the Project, the Site, and adjacent areas.
 6. Data or consultations as required for the Project but not otherwise identified in the Agreement or the Exhibits thereto.
- D. Give prompt written notice to ENGINEER whenever OWNER observes or otherwise becomes aware of a Hazardous Environmental Condition or of any other development that affects the scope or time of performance of ENGINEER's services, or any defect or nonconformance in ENGINEER's services or in the work of any Contractor.
- E. Authorize ENGINEER to provide Additional Services as set forth in Part 2 of Exhibit A of the Agreement as required.
- F. Arrange for safe access to and make all provisions for ENGINEER to enter upon public and private property as required for ENGINEER to perform services under the Agreement.
- G. Examine all alternate solutions, studies, reports, sketches, Drawings, Specifications, proposals, and other documents presented by ENGINEER (including obtaining advice of an attorney, insurance counselor, and other advisors or consultants as OWNER deems appropriate with respect to such examination) and render in writing timely decisions pertaining thereto.
- H. Provide reviews, approvals, and permits from all governmental authorities having jurisdiction to approve all phases of the Project designed or specified by ENGINEER and such reviews, approvals, and consents from others as may be necessary for completion of each phase of the Project.
- I. Provide, as required for the Project:



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1. Accounting, bond and financial advisory, independent cost estimating, and insurance counseling services.
 2. Legal services with regard to issues pertaining to the Project as OWNER requires, Contractor raises, or ENGINEER reasonably requests.
 3. Such auditing services as OWNER requires to ascertain how or for what purpose Contractor has used the moneys paid.
 4. Placement and payment for advertisement for Bids in appropriate publications.
- J. Advise ENGINEER of the identity and scope of services of any independent consultants employed by OWNER to perform or furnish services in regard to the Project, including, but not limited to, cost estimating, project peer review, value engineering, and constructibility review.
- K. Furnish to ENGINEER data as to OWNER's anticipated costs for services to be provided by others for OWNER so that ENGINEER may make the necessary calculations to develop and periodically adjust ENGINEER's opinion of Total Project Costs.
- L. If OWNER designates a construction manager or an individual or entity other than, or in addition to, ENGINEER to represent OWNER at the Site, define and set forth as an attachment to this Exhibit B the duties, responsibilities, and limitations of authority of such other party and the relation thereof to the duties, responsibilities, and authority of ENGINEER.
- M. If more than one prime contract is to be awarded for the Work designed or specified by ENGINEER, designate a person or entity to have authority and responsibility for coordinating the activities among the various prime Contractors, and define and set forth the duties, responsibilities, and limitations of authority of such individual or entity and the relation thereof to the duties, responsibilities, and authority of ENGINEER as an attachment to this Exhibit B that is to be mutually agreed upon and made a part of this Agreement before such services begin.
- N. Attend the pre-bid conference, bid opening, pre-construction conferences, construction progress and other job related meetings, and Substantial Completion and final payment inspections.
- O. Provide the services of an independent testing laboratory to perform all inspections, tests, and approvals of Samples, materials, and equipment required by the Contract Documents, or to evaluate the performance of materials, equipment, and facilities of OWNER, prior to their incorporation into the Work with appropriate professional interpretation thereof.
- P. Provide inspection or monitoring services by an individual or entity other than ENGINEER (and disclose the identity of such individual or entity to ENGINEER) as OWNER determines necessary to verify:
1. That Contractor is complying with any Laws and Regulations applicable to Contractor's performing and furnishing the Work.
 2. That Contractor is taking all necessary precautions for safety of persons or property and complying with any special provisions of the Contract Documents applicable to safety.
- Q. Provide ENGINEER with the findings and reports generated by the entities providing services pursuant to paragraphs B2.01.O and P.
- R. Perform or provide the following additional services:

[Redacted]



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This is **EXHIBIT C**, consisting of _____ pages, referred to in and part of the **Agreement between OWNER and ENGINEER for Professional Services** dated _____,

Initial:
OWNER _____
ENGINEER _____

Payments to ENGINEER for Services and Reimbursable Expenses

Article 4 of the Agreement is amended and supplemented to include the following agreement of the parties:

ARTICLE 4 -- PAYMENTS TO THE ENGINEER

C4.01 For Basic Services Having A Determined Scope --Lump Sum Method of Payment

A. OWNER shall pay ENGINEER for Basic Services set forth in Exhibit A, except for services of ENGINEER's Resident Project Representative and Post-Construction Phase services, if any, as follows:

1. A Lump Sum amount of \$ _____ based on the following assumed distribution of compensation:
 - a) Study and Report Phase \$ _____
 - b) Preliminary Design Phase \$ _____
 - c) Final Design Phase \$ _____
 - d) Bidding and Negotiating Phase \$ _____
 - e) Construction Phase \$ _____
2. ENGINEER may alter the distribution of compensation between individual phases noted herein to be consistent with services actually rendered, but shall not exceed the total Lump Sum amount unless approved in writing by the OWNER.
3. The Lump Sum includes compensation for ENGINEER's services and services of ENGINEER's Consultants, if any. Appropriate amounts have been incorporated in the Lump Sum to account for labor, overhead, profit, and Reimbursable Expenses.
4. The portion of the Lump Sum amount billed for ENGINEER's services will be based upon ENGINEER's estimate of the proportion of the total services actually completed during the billing period to the Lump Sum.
5. The Lump Sum is conditioned on Contract Times to complete the Work not exceeding _____ months. Should the Contract Times to complete the Work be extended beyond this period, the total compensation to ENGINEER shall be appropriately adjusted.
6. If more prime contracts are awarded for Work designed or specified by ENGINEER for this Project than identified in Exhibit A, the ENGINEER shall be compensated an additional amount equal to \$ _____ for all Basic Services for each prime contract added.



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Standard Form of Agreement Between Owner and Engineer for Professional Services

SUGGESTED FORMAT
(for use with 1910-1, 1996 Edition)

This is **EXHIBIT C**, consisting of _____ pages, referred to in and part of the **Agreement between OWNER and ENGINEER for Professional Services** dated _____.

Initial:
OWNER _____
ENGINEER _____

Payments to ENGINEER for Services and Reimbursable Expenses

Article 4 of the Agreement is amended and supplemented to include the following agreement of the parties:

ARTICLE 4 -- PAYMENTS TO THE ENGINEER --

C4.01 For Basic Services Having A Determined Scope -- Standard Hourly Rates Method of Payment

- A. OWNER shall pay ENGINEER for Basic Services set forth in Exhibit A, except for services of ENGINEER's Resident Project Representative and Post-Construction Phase services, if any, as follows:
 - 1. An amount equal to the cumulative hours charged to the Project by each class of ENGINEER's employees times Standard Hourly Rates for each applicable billing class for all services performed on the Project, plus Reimbursable Expenses and ENGINEER's Consultant's charges, if any.
 - 2. ENGINEER's Reimbursable Expenses Schedule and Standard Hourly Rates are attached to this Exhibit C as Appendices 1 and 2.
 - 3. The total compensation for services under paragraph C4.01 is estimated to be \$ _____ based on the following assumed distribution of compensation:
 - a) Study and Report Phase \$ _____
 - b) Preliminary Design Phase \$ _____
 - c) Final Design Phase \$ _____
 - d) Construction Phase \$ _____
 - 4. ENGINEER may alter the distribution of compensation between individual phases of the work noted herein to be consistent with services actually rendered, but shall not exceed the total estimated compensation amount unless approved in writing by OWNER.
 - 5. The total estimated compensation for ENGINEER's services included in the breakdown by phases as noted in paragraph 4.01.A.3 incorporates all labor, overhead, profit, Reimbursable Expenses and ENGINEER's Consultant's charges.
 - 6. The amounts billed for ENGINEER's services under paragraph C4.01 will be based on the cumulative hours charged to the Project during the billing period by each class of ENGINEER's employees times Standard Hourly Rates for each applicable billing class, plus Reimbursable Expenses and ENGINEER's Consultant's charges.
 - 7. The Standard Hourly Rates and Reimbursable Expenses Schedule will be adjusted annually (as of _____) to reflect equitable changes in the compensation payable to ENGINEER.
 - 8. The Standard Hourly Rates Method of Payment is conditioned on Contract Times to complete the Work not exceeding _____ months. Should the Contract Times to complete the Work be extended beyond this period, the total compensation to ENGINEER shall be appropriately adjusted.
 - 9. If more prime contracts are awarded for Work designed or specified by ENGINEER for this Project than identified in Exhibit A, the ENGINEER shall be compensated an additional amount equal to \$ _____ for all Basic Services for each prime contract added.



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Standard Form of Agreement Between Owner and Engineer for Professional Services

SUGGESTED FORMAT
(for use with 1910-1, 1996 Edition)

This is **EXHIBIT C**, consisting of _____ pages, referred to in and part of the **Agreement between OWNER and ENGINEER for Professional Services** dated _____, _____.

Initial:
OWNER _____
ENGINEER _____

Payments to ENGINEER for Services and Reimbursable Expenses

Article 4 of the Agreement is amended and supplemented to include the following agreement of the parties:

ARTICLE 4 -- PAYMENTS TO THE ENGINEER --

C4.01 For Basic Services Having A Determined Scope -- Percentage of Construction Cost Method of Payment

- A. OWNER shall pay ENGINEER for Basic Services set forth in Exhibit A, except for services of ENGINEER's Resident Project Representative and Post-Construction Phase services, if any, as follows:
 - 1. General. An amount equal to _____ percent of the Construction Cost. This amount includes compensation for ENGINEER's Services and services of ENGINEER's Consultants, if any. The percentage of Construction Cost noted herein accounts for labor, overhead, profit, and Reimbursable Expenses. The total compensation for services under paragraph C4.01 is estimated to be \$ _____.
 - 2. As a basis for payment to ENGINEER, Construction Cost will be based on one or more of the following determinations with precedence in the order listed for Work designed or specified by ENGINEER:
 - a) For Work designed or specified and incorporated in the completed Project, the actual final cost of the work performed by Contractor and paid by OWNER.
 - b) For Work designed or specified but not constructed, the lowest bona fide Bid received from a qualified bidder for such Work; or, if the Work is not Bid, the lowest bona fide negotiated proposal for such Work.
 - c) For Work designed or specified but not constructed upon which no such Bid or proposal is received, ENGINEER's most recent opinion of probable Construction Cost.
 - d) Labor furnished by OWNER for the Project will be included in the Construction Cost at current market rates including a reasonable allowance for overhead and profit. Materials and equipment furnished by OWNER will be included at current market prices.
 - e) No deduction is to be made from ENGINEER's compensation on account of any penalty, liquidated damages, or other amounts withheld from payments to Contractor(s).
 - 3. Progress payments:
 - a) The portion of the amounts billed for ENGINEER's services which is on account of the Percentage of Construction Cost will be based upon ENGINEER's estimate of the proportion of the total services actually completed during the billing period to the Percentage of Construction Cost.
 - b) Upon conclusion of each phase of Basic Services, OWNER shall pay such additional amount, if any, as may be necessary to bring total compensation paid during such phase on account of the percentage of Construction Cost to the following estimated percentages of total compensation payable on account of the percentage of Construction Cost for all phases of Basic Services:



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Study and Report Phase	_____ %
Preliminary Design Phase	_____ %
Final Design Phase	_____ %
Bidding or Negotiating Phase	_____ %
Construction Phase	_____ %
	100%

- c) ENGINEER may alter the distribution of compensation between individual phases of the work noted herein but shall not exceed the total percent fee unless approved in writing by the OWNER.
4. ENGINEER's estimated total compensation is conditioned on Contract Times to complete the Work not exceeding _____ months. Should the Contract Times to complete the Work be extended beyond this period, the total compensation to ENGINEER shall be appropriately adjusted.
5. If more prime contracts are awarded for Work designed or specified by ENGINEER for the Project than identified in Exhibit A, ENGINEER shall be compensated an additional amount equal to _____ percent of the Construction Cost for all Basic Services for each prime contract added.



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Standard Form of Agreement Between Owner and Engineer for Professional Services

SUGGESTED FORMAT
(for use with 1910-1, 1996 Edition)

This is **EXHIBIT C**, consisting of _____ pages, referred to in and part of the **Agreement between OWNER and ENGINEER for Professional Services** dated _____
_____, _____.

Initial:
OWNER _____
ENGINEER _____

Payments to ENGINEER for Services and Reimbursable Expenses

Article 4 of the Agreement is amended and supplemented to include the following agreement of the parties:

ARTICLE 4 -- PAYMENTS TO THE ENGINEER

C4.01 For Basic Services Having A Determined Scope -- Direct Labor Costs Times a Factor Method of Payment

- A. OWNER shall pay ENGINEER for Basic Services set forth in Exhibit A, except for services of ENGINEER's Resident Project Representative and Post-Construction Phase services, if any, as follows:
 1. An amount equal to ENGINEER's Direct Labor Costs times a Factor of _____ for the services of ENGINEER's employees engaged on the Project, plus Reimbursable Expenses, estimated to be \$ _____, and ENGINEER's Consultant's charges, if any, estimated to be \$ _____.
 2. ENGINEER's Reimbursable Expenses Schedule is attached to this Exhibit C as Appendix 1.
 3. The total compensation for services under paragraph C4.01 is estimated to be \$ _____ based on the following assumed distribution of compensation:
 - a) Study and Report Phase \$ _____
 - b) Preliminary Design Phase \$ _____
 - c) Final Design Phase \$ _____
 - d) Construction Phase \$ _____
 4. ENGINEER may alter the distribution of compensation between individual phases of the work noted herein to be consistent with services actually rendered, but shall not exceed the total compensation amount unless approved in writing by OWNER.
 5. The total estimated compensation for ENGINEER'S services included in the breakdown by phases as noted in paragraph 4.01.A.3, incorporates all labor, overhead, profit, Reimbursable Expenses, and ENGINEER's Consultant's charges.
 6. If more prime contracts are awarded for Work designed or specified by ENGINEER for this Project than identified in Exhibit A, the ENGINEER shall be compensated an additional amount equal to \$ _____ for all Basic Services for each prime contract added.
 7. The portion of the amounts billed for ENGINEER's services which are related to services rendered on a Direct Labor Costs times a Factor basis will be billed based on the applicable Direct Labor Costs for the cumulative hours charged to the Project by ENGINEER's principals and employees multiplied by the above-designated Factor, plus Reimbursable Expenses and ENGINEER's Consultant's charges incurred during the billing period.
 8. The estimated total compensation is conditioned on Contract Times to complete the Work not exceeding _____ months. Should the Contract Times to complete the Work be extended beyond this period, total compensation to ENGINEER shall be appropriately adjusted.
 9. Direct Labor Costs means salaries and wages paid to employees but does not include payroll related costs or benefits.



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10. The Direct Labor Costs and the Factor applied to Direct Labor Costs will be adjusted annually (as of _____) to reflect equitable changes to the compensation payable to ENGINEER.



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Standard Form of Agreement Between Owner and Engineer for Professional Services

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This is **EXHIBIT C**, consisting of _____ pages, referred to in and part of the **Agreement between OWNER and ENGINEER for Professional Services** dated _____.

Initial:
OWNER _____
ENGINEER _____

Payments to ENGINEER for Services and Reimbursable Expenses

Article 4 of the Agreement is amended and supplemented to include the following agreement of the parties:

ARTICLE 4 -- PAYMENTS TO THE ENGINEER

C4.01 For Basic Services Having A Determined Scope -- Direct Labor Costs Plus Overhead Plus a Fixed Fee Method of Payment

- A. OWNER shall pay ENGINEER for Basic Services set forth in Exhibit A, except for services of ENGINEER's Resident Project Representative and Post-Construction Phase services, if any, as follows:
 - 1. An amount equal to ENGINEER's Direct Labor Costs plus overhead for the services of ENGINEER's employees engaged directly on the Project, plus Reimbursable Expenses estimated to be \$ _____, plus ENGINEER's Consultant's charges, if any, estimated to be \$ _____, plus a fixed fee of \$ _____.
 - 2. ENGINEER's Reimbursable Expenses Schedule is attached to this Exhibit C as Appendix 1.
 - 3. The total compensation for services under paragraph C4.01 is estimated to be \$ _____ based on the following assumed distribution of compensation:
 - a) Study and Report Phase \$ _____
 - b) Preliminary Design Phase \$ _____
 - c) Final Design Phase \$ _____
 - d) Construction Phase \$ _____
 - 4. ENGINEER may alter the distribution of compensation between individual phases of the work noted herein to be consistent with services actually rendered, but shall not exceed the total compensation amount unless approved in writing by OWNER.
 - 5. The total estimated compensation for ENGINEER'S services, included in the breakdown by phases as noted in paragraph 4.01.A.3, incorporates all labor, overhead, profit, Reimbursable Expenses, and ENGINEER's Consultant's charges.
 - 6. If more prime contracts are awarded for Work designed or specified by ENGINEER for this Project than identified in Exhibit A, the ENGINEER shall be compensated an additional amount equal to \$ _____ for all Basic Services for each prime contract added.
 - 7. The portion of the amounts billed for ENGINEER's services will be based on the applicable Direct Labor Costs for the cumulative hours charged to the Project during the billing period by ENGINEER's employees plus overhead, Reimbursable Expenses, ENGINEER's Consultant's charges and the proportionate portion of the fixed fee.
 - 8. The estimated total compensation is conditioned on Contract Times to complete the Work not exceeding _____ months. Should the Contract Times to complete the Work be extended beyond this period, the total compensation to ENGINEER shall be appropriately adjusted.
 - 9. Direct Labor Costs means salaries and wages paid to employees but does not include payroll-related costs or benefits.



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10. Overhead includes the cost of customary and statutory benefits including, but not limited to, social security contributions, unemployment, excise and payroll taxes, workers' compensation, health and retirement benefits, bonuses, sick leave, vacation, and holiday pay applicable thereto; the cost of general and administrative overhead which includes salaries and wages of employees engaged in business operations not directly chargeable to projects, plus non-Project operating costs, including but not limited to, business taxes, legal, rent, utilities, office supplies, insurance, and other operating costs. Overhead shall be computed as percentage of Direct Labor Costs. Fixed fee is the lump sum amount paid to ENGINEER by OWNER as margin or profit and will only be adjusted by an amendment to this agreement.
11. Direct Labor Costs and Overhead applied to Direct Labor Costs will be adjusted annually (as of _____) to reflect equitable changes in the compensation payable to ENGINEER.



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SUGGESTED FORMAT
(for use with 1910-1, 1996 Edition)

This is **EXHIBIT C**, consisting of _____ pages, referred to in and part of the **Agreement between OWNER and ENGINEER for Professional Services** dated _____.

Initial:
OWNER _____
ENGINEER _____

Payments to ENGINEER for Services and Reimbursable Expenses

Article 4 of the Agreement is amended and supplemented to include the following agreement of the parties:

ARTICLE 4 -- PAYMENTS TO THE ENGINEER

C4.01 For Basic Services Having A Determined Scope -- Salary Costs Times a Factor Method of Payment

- A. OWNER shall pay ENGINEER for Basic Services set forth in Exhibit A, except for services of ENGINEER's Resident Project Representative, and Post-Construction Phase services, if any, as follows:
 - 1. An amount equal to ENGINEER's Salary Costs times a Factor of _____ for all Basic Services by principals and employees engaged directly on the Project, plus Reimbursable Expenses, estimated to be \$ _____, and ENGINEER's Consultant's charges, if any, estimated to be \$ _____.
 - 2. ENGINEER's Reimbursable Expenses Schedule is attached to this Exhibit C as Appendix 1.
 - 3. The total compensation for services under paragraph C4.01 is estimated to be \$ _____ based on the following assumed distribution of compensation:
 - a) Study and Report Phase \$ _____
 - b) Preliminary Design Phase \$ _____
 - c) Final Design Phase \$ _____
 - d) Construction Phase \$ _____
 - 4. ENGINEER may alter the distribution of compensation between individual phases of the work noted herein to be consistent with services actually rendered, but shall not exceed the total compensation amount unless approved in writing by OWNER.
 - 5. The total compensation for ENGINEER'S services, included in the breakdown by phases as noted in paragraph 4.01.A.3, incorporates all labor, overhead, profit, Reimbursable Expenses, and ENGINEER'S Consultant's charges.
 - 6. If more prime contracts are awarded for Work designed or specified by ENGINEER for this Project than identified in Exhibit A, the Engineer shall be compensated an additional amount equal to \$ _____ for all Basic Services for each prime contract added.
 - 7. The portion of the amounts billed for ENGINEER's services will be based on the applicable Salary Costs for the cumulative hours charged to the Project incurred during the billing period by ENGINEER's principals and employees multiplied by the above designated factor, plus Reimbursable Expenses and ENGINEER's Consultant's charges.
 - 8. The estimated total compensation is conditioned on Contract Times to complete the Work not exceeding _____ months. Should the Contract Times to complete the Work be extended beyond this period, payments to ENGINEER shall be appropriately adjusted.



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Standard Form of Agreement Between Owner and Engineer for Professional Services

9. Salary Costs means salaries and wages paid to ENGINEER's employees plus the cost of customary and statutory benefits including, but not limited to, social security contributions, unemployment, excise and payroll taxes, workers' compensation, health and retirement benefits, bonuses, sick leave, vacation, and holiday pay applicable thereto.
10. The Salary Costs and the Factor applied to Salary Costs will be adjusted annually (as of _____) to reflect equitable changes in the compensation payable to ENGINEER.



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SUGGESTED FORMAT
(for use with 1910-1, 1996 Edition)

C4.02 For Basic Services Having An Undetermined Scope -- Standard Hourly Rates Method of Payment

- A. OWNER shall pay ENGINEER for Basic Services having an undetermined scope as follows:
1. Resident Project Representative Services. For services of ENGINEER's Resident Project Representative, if any, under paragraph A1.05A.2.a of Exhibit A, an amount equal to the cumulative hours charged to the Project by each class of ENGINEER's employees times Standard Hourly Rates for each applicable billing class for all Resident Project Representative services performed on the Project, plus Reimbursable Expenses and ENGINEER's Consultant's charges, if any. The total compensation under this paragraph is estimated to be \$_____ based upon Contract Times as set forth in paragraph C4.01.
 2. Post-Construction Phase Services. For Post-Construction Phase services under paragraph A1.06 of Exhibit A, an amount equal to the cumulative hours charged to the Project by each class of ENGINEER's employees times Standard Hourly Rates for each applicable billing class for all services performed on the Project, plus Reimbursable Expenses and ENGINEER's Consultant's charges, if any. The total compensation under this paragraph is estimated to be \$_____.

C4.03 For Additional Services

- A. OWNER shall pay ENGINEER for Additional Services as follows:
1. General. For services of ENGINEER's employees engaged directly on the Project pursuant to paragraph A2.01 or A2.02 of Exhibit A, except for services as a consultant or witness under paragraph A2.01.A.20, an amount equal to the cumulative hours charged to the Project by each class of ENGINEER's employees times Standard Hourly Rates for each applicable billing class for all Additional Services performed on the Project, plus Reimbursable Expenses and ENGINEER's Consultant's charges, if any.
 2. Serving as a Witness. For services performed by ENGINEER's employees as witnesses giving testimony in any litigation, arbitration, or other legal or administrative proceeding under paragraph A2.01.A.20, at the rate of \$_____ per day or any portion thereof (but compensation for time spent in preparing to testify in any such litigation, arbitration, or proceeding will be on the basis provided in paragraph C4.03.A.1). Compensation for ENGINEER's Consultants for such services will be on the basis provided in paragraph C4.06.

C4.04 For Reimbursable Expenses

- A. When not included in compensation for Basic Services under paragraph C4.01, OWNER shall pay ENGINEER for Reimbursable Expenses at the rates set forth in Appendix 1 to this Exhibit C.
- B. Reimbursable Expenses include the following categories: transportation and subsistence incidental thereto; obtaining bids or proposals from Contractor(s); providing and maintaining field office facilities including furnishings and utilities; subsistence and transportation of Resident Project Representative and their assistants; toll telephone calls and telegrams; reproduction of reports, Drawings, Specifications, Bidding Documents, and similar Project-related items in addition to those required under Exhibit A, and, if authorized in advance by OWNER, overtime work requiring higher than regular rates. In addition, if authorized in advance by OWNER, Reimbursable Expenses will also include expenses incurred for computer time and the use of other highly specialized equipment.
- C. The amounts payable to ENGINEER for Reimbursable Expenses will be the Project-related internal expenses actually incurred or allocated by ENGINEER, plus all invoiced external Reimbursable Expenses allocable to the Project, the latter multiplied by a Factor of _____.
- D. The Reimbursable Expenses Schedule will be adjusted annually (as of _____) to reflect equitable changes in the compensation payable to ENGINEER.

C4.05 Standard Hourly Rates



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Standard Form of Agreement Between Owner and Engineer for Professional Services

- A. Standard Hourly Rates are set forth in Appendix 2 to this Exhibit C and include salaries and wages paid to personnel in each billing class plus the cost of customary and statutory benefits, general and administrative overhead, non-project operating costs, and operating margin or profit.
- B. The Standard Hourly Rates will be adjusted annually (as of _____) to reflect equitable changes in the compensation payable to ENGINEER.

C4.06 For ENGINEER's Consultant's Charges

- A. Whenever compensation to ENGINEER herein is stated to include charges of ENGINEER's Consultants, those charges shall be the amounts billed by ENGINEER's Consultants to ENGINEER times a Factor of _____.

C4.07 Factors

- A. The external Reimbursable Expenses and ENGINEER's Consultant's Factors include ENGINEER's overhead and profit associated with ENGINEER's responsibility for the administration of such services and costs.

C4.08 Other Provisions Concerning Payment

- A. *Progress Payments.* The portion of the amounts billed for ENGINEER's services which are related to the services identified in paragraphs C4.02 and C4.03, will be during the billing period based on the cumulative hours charged to the Project by each class of ENGINEER's employees times the Standard Hourly Rate for each class plus Reimbursable Expenses and ENGINEER's Consultant's charges, if any.
- B. *Extended Contract Times.* Should the Contract Times to complete the Work be extended beyond the period identified in paragraph C4.01, payment for ENGINEER's services shall be continued based on the Standard Hourly Rates Method of Payment.
- C. *Estimated Compensation Amounts*
 - 1. ENGINEER's estimate of the amounts that will become payable for Basic Services are only estimates for planning purposes, are not binding on the parties, and are not the minimum or maximum amounts payable to ENGINEER under the Agreement.
 - 2. When estimated compensation amounts have been stated herein and it subsequently becomes apparent to ENGINEER that a compensation amount thus estimated will be exceeded, ENGINEER shall give OWNER written notice thereof. Promptly thereafter OWNER and ENGINEER shall review the matter of services remaining to be performed and compensation for such services. OWNER shall either agree to such compensation exceeding said estimated amount or OWNER and ENGINEER shall agree to a reduction in the remaining services to be rendered by ENGINEER, so that total compensation for such services will not exceed said estimated amount when such services are completed. If ENGINEER exceeds the estimated amount before OWNER and ENGINEER have agreed to an increase in the compensation due ENGINEER or a reduction in the remaining services, the ENGINEER shall be paid for all services rendered hereunder.



Alabama State Port Authority

Standard Form of Agreement Between Owner and Engineer for Professional Services

SUGGESTED FORMAT
(for use with 1910-1, 1996 Edition)

C4.02 For Basic Services Having An Undetermined Scope -- Direct Labor Costs Times a Factor Method of Payment

- A. OWNER shall pay ENGINEER for:
1. *Resident Project Representative Services.* For services of ENGINEER's Resident Project Representative, if any, under paragraph A1.05.A.2.a of Exhibit A of the Agreement, an amount equal to ENGINEER's Direct Labor Costs times a Factor of _____ for the services of ENGINEER's employees engaged directly in resident Project representation, plus Reimbursable Expenses and ENGINEER's Consultant's charges, if any. The total compensation under this paragraph is estimated to be \$ _____, based upon Contract Times as set forth in paragraph C4.01.
 2. *Post-Construction Phase Services.* For Post-Construction Phase services under paragraph A1.06 of Exhibit A, an amount equal to the ENGINEER's Direct Labor Costs times a Factor of _____ for the services of ENGINEER's employees engaged directly on the Project, plus Reimbursable Expenses and ENGINEER's Consultant's charges, if any in the Post-Construction Phase. The total compensation under this paragraph is estimated to be \$ _____.

C4.03 For Additional Services

- A. OWNER shall pay ENGINEER for Additional Services as follows:
1. *General.* For services of ENGINEER's employees engaged directly on the Project pursuant to paragraph A2.01 or A2.02 of Exhibit A of the Agreement, except for services as a consultant or witness under paragraph A2.01.A.20, an amount equal to ENGINEER's Direct Labor Costs times a Factor of _____, plus Reimbursable Expenses and ENGINEER's Consultant's charges, if any.
 2. *Serving as a Witness.* For services performed by ENGINEER's employees as witnesses giving testimony in any litigation, arbitration or other legal or administrative proceeding under paragraph A2.01.A.20, at the rate of \$ _____ per day or any portion thereof (but compensation for time spent in preparing to testify in any such litigation, arbitration or proceeding will be on the basis provided in paragraph C4.03.A.1). Compensation for ENGINEER's Consultants for such services will be on the basis provided in paragraph C4.05.

C4.04 For Reimbursable Expenses

- A. When not included in compensation for Basic Services under paragraph C4.01, OWNER shall pay ENGINEER for Reimbursable Expenses as the rate set forth in Appendix 1 of this Exhibit C.
- B. Reimbursable Expenses include the following categories: transportation and subsistence incidental thereto; obtaining bids or proposals from Contractor(s); providing and maintaining field office facilities including furnishings and utilities; subsistence and transportation of Resident Project Representative and their assistants; toll telephone calls and telegrams; reproduction of reports, Drawings, Specifications, Bidding Documents, and similar Project-related items in addition to those required under Exhibit A, and, if authorized in advance by OWNER, overtime work requiring higher than regular rates. In addition, if authorized in advance by OWNER, Reimbursable Expenses will also include expenses incurred for computer time and the use of other highly specialized equipment.
- C. The amounts payable to ENGINEER for Reimbursable Expenses will be the Project-related internal expenses actually incurred or allocated by ENGINEER, plus all invoiced external Reimbursable Expenses allocable to the Project, the latter multiplied by a Factor of _____.
- D. The Reimbursable Expenses Schedule will be adjusted annually (as of _____) to reflect equitable changes in the compensation payable to ENGINEER.

C4.05 For ENGINEER's Consultant's Charges



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Standard Form of Agreement Between Owner and Engineer for Professional Services

- A. Whenever compensation to ENGINEER herein is stated to include charges of ENGINEER's Consultants, those charges shall be the amounts billed by ENGINEER's Consultants to ENGINEER times a Factor of _____.

C4.06 Direct Labor Costs

- A. Direct Labor Costs means salaries and wages paid to ENGINEER's employees but does not include payroll related costs or benefits.
- B. The Direct Labor Costs and the Factor applied to Direct Labor Costs will be adjusted annually (as of _____) to reflect equitable changes in compensation payable to ENGINEER.

C4.07 Factors

- A. The Direct Labor Costs Factor includes the cost of customary and statutory benefits including, but not limited to, social security contributions, unemployment, excise and payroll taxes, workers' compensation, health and retirement benefits, bonuses, sick leave, vacation, and holiday pay applicable thereto; the cost of general and administrative overhead, which includes salaries and wages of principals and employees engaged in business operations not directly chargeable to projects, plus non-Project operating costs, including but not limited to, business taxes, legal, rent, utilities, office supplies, insurance, and other operating costs; plus operating margin or profit.
- B. External Reimbursable Expenses and ENGINEER's Consultant's Factors include ENGINEER's overhead and profit associated with ENGINEER's responsibility for the administration of such services and costs.

C4.08 Other Provisions Concerning Payment

- A. Progress Payments. The portion of the amounts billed for ENGINEER's services which are identified in paragraphs C4.02 and C4.03, will be based on the Direct Labor Costs for the cumulative hours charged to the Project during the billing period by all of ENGINEER's employees, times the Applicable Direct Labor Costs Factor, plus Reimbursable Expenses and ENGINEER's Consultant's charges, if any.
- B. Extended Contract Times. Should the Contract Times to complete the Work be extended beyond the period identified in paragraph C4.01, payment for ENGINEER's services on the basis of the Direct Labor Costs Times a Factor Method of Payment shall be continued.
- C. Estimated Compensation Amounts.
1. ENGINEER's estimate of the amounts that will become payable for Basic Services are only estimates for planning purposes, are not binding on the parties, and are not the minimum or maximum amounts payable to ENGINEER under the Agreement.
 2. When estimated compensation amounts have been stated herein and it subsequently becomes apparent to ENGINEER that a compensation amount thus estimated will be exceeded, ENGINEER shall give OWNER written notice thereof. Promptly thereafter OWNER and ENGINEER shall review the matter of services remaining to be performed and compensation for such services. OWNER shall either agree to such compensation exceeding said estimated amount or OWNER and ENGINEER shall agree to a reduction in the remaining services to be rendered by ENGINEER, so that total compensation for such services will not exceed said estimated amount when such services are completed. If ENGINEER exceeds the estimated amount before OWNER and ENGINEER have agreed to an increase in the compensation due ENGINEER or a reduction in the remaining services, the ENGINEER shall be paid for all services rendered hereunder.



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C4.02 For Basic Services Having An Undetermined Scope -- Salary Costs Times a Factor Method of Payment

- A. OWNER shall pay ENGINEER for:
1. *Resident Project Representative Services.* For services of ENGINEER's Resident Project Representative, if any, under paragraph A1.05.A.2.a of Exhibit A, an amount equal to the ENGINEER's Salary Costs times a Factor of _____ for services of ENGINEER's employees engaged directly in resident Project representation, plus Reimbursable Expenses and ENGINEER's Consultant's charges, if any. The total compensation under this paragraph is estimated to be \$ _____, based upon Contract Times as set forth in paragraph C4.01.
 2. *Post-Construction Phase Services.* For Post-Construction Phase services under paragraph A1.06 of Exhibit A, an amount equal to the ENGINEER's Salary Costs times a factor of _____ for services of ENGINEER's employees engaged directly on the Project, plus Reimbursable Expenses and ENGINEER's Consultant's charges, if any in the Post-Construction Phase. The total compensation under this paragraph is estimated to be \$ _____.

C4.03 For Additional Services

- A. OWNER shall pay ENGINEER for Additional Services as follows:
1. *General.* For services of ENGINEER's employees engaged directly on the Project pursuant to paragraph A2.01 or A2.02 of Exhibit A, except for services as a consultant or witness under paragraph A2.01.A.20, an amount equal to the cumulative hours charged to the Project by each ENGINEER's employees times the ENGINEER's applicable Salary Costs times a Factor of _____, plus Reimbursable Expenses and ENGINEER's Consultant's charges, if any.
 2. *Serving as a Witness.* For services performed by ENGINEER's employees as witnesses giving testimony in any litigation, arbitration, or other legal or administrative proceeding under paragraph A2.01.A.20, at the rate of \$ _____ per day or any portion thereof (but compensation for time spent in preparing to testify in any such litigation, arbitration, or proceeding will be on the basis provided in paragraph C4.03.A.1). Compensation for ENGINEER's Consultants for such services will be on the basis provided in paragraph C4.05.

C4.04 For Reimbursable Expenses

- A. When not included in compensation for Basic Services under paragraph C4.01, OWNER shall pay ENGINEER for Reimbursable Expense at the rate set forth in Appendix 1 of this Exhibit C.
- B. Reimbursable Expenses include the following categories: transportation and subsistence incidental thereto; obtaining bids or proposals from Contractor(s); providing and maintaining field office facilities including furnishings and utilities; subsistence and transportation of Resident Project Representative and their assistants; toll telephone calls and telegrams; reproduction of reports, Drawings, Specifications, Bidding Documents, and similar Project-related items in addition to those required under Exhibit A, and, if authorized in advance by OWNER, overtime work requiring higher than regular rates. In addition, if authorized in advance by OWNER, Reimbursable Expenses will also include expenses incurred for computer time and the use of other highly specialized equipment.
- C. The amounts payable to ENGINEER for Reimbursable Expenses will be the Project-related internal expenses actually incurred or allocated by ENGINEER, plus all invoiced external Reimbursable Expenses allocable to the Project, the latter multiplied by a Factor of _____.
- D. The Reimbursable Expenses Schedule will be adjusted annually (as of _____) to reflect equitable changes in the compensation payable to ENGINEER.

C4.05 For ENGINEER's Consultant's Charges

- A. Whenever compensation to ENGINEER herein is stated to include charges of ENGINEER's Consultants, those charges shall be the amounts billed by ENGINEER's Consultants to ENGINEER times a Factor of _____.



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C4.06 Salary Costs

- A. Salary Costs means salaries and wages paid to ENGINEER's employees plus the cost of customary and statutory benefits including, but not limited to, social security contributions, unemployment, excise and payroll taxes, workers' compensation, health and retirement benefits, bonuses, sick leave, vacation, and holiday pay applicable thereto.
- B. The Salary Costs and the Factor applied to Salary Costs will be adjusted annually (as of _____) to reflect equitable changes in the compensable payable to ENGINEER.

C4.07 Factors

- A. The Salary Costs Factor includes the cost of general and administrative overhead which includes salaries and wages of principals and employees engaged in business operations not directly chargeable to projects, plus non-Project operating costs, including but not limited to, business taxes, legal, rent, utilities, office supplies, insurance, and other operating costs; plus operating margin or profit.
- B. External Reimbursable Expenses and ENGINEER's Consultant's Factors include ENGINEER's overhead and profit associated with ENGINEER's responsibility for the administration of such services and costs.

C4.08 Other Provisions Concerning Payment

- A. *Preparation of Invoices.* The portion of the amounts billed for ENGINEER's services which are identified in paragraphs C4.02 and C4.03 will be based on the applicable Salary Costs for the cumulative hours charged to the Project during the billing period by all of ENGINEER's employees, times the Salary Costs factor, plus Reimbursable Expenses and ENGINEER's Consultant's charges incurred, if any.
- B. *Extended Contract Times.* Should the Contract Times to complete the Work be extended beyond the period identified in paragraph C4.01, payment for ENGINEER's services on the basis of the Salary Costs Times a Factor Method of Payment shall be continued.
- C. *Estimated Compensation Amounts*
 1. ENGINEER's estimate of the amounts that will become payable for Basic Services are only estimates for planning purposes, are not binding on the parties, and are not the minimum or maximum amounts payable to ENGINEER under the Agreement.
 2. When estimated compensation amounts have been stated herein and it subsequently becomes apparent to ENGINEER that a compensation amount thus estimated will be exceeded, ENGINEER shall give OWNER written notice thereof. Promptly thereafter OWNER and ENGINEER shall review the matter of services remaining to be performed and compensation for such services. OWNER shall either agree to such compensation exceeding said estimated amount or OWNER and ENGINEER shall agree to a reduction in the remaining services to be rendered by ENGINEER, so that total compensation for such services will not exceed said estimated amount when such services are completed. If ENGINEER exceeds the estimated amount before OWNER and ENGINEER have agreed to an increase in the compensation due ENGINEER or a reduction in the remaining services, the ENGINEER shall be paid for all services rendered hereunder.



Alabama State Port Authority

Standard Form of Agreement Between Owner and Engineer for Professional Services

This is **Appendix 1 to EXHIBIT C**, consisting of _____ pages, referred to in and part of the **Agreement between OWNER and ENGINEER for Professional Services** dated _____.

Initial:
OWNER _____
ENGINEER _____

Reimbursable Expenses Schedule

Current agreements for engineering services stipulate that the Reimbursable Expenses are subject to review and adjustment per Exhibit C. Reimbursable expenses for services performed on the date of the Agreement are:

FAX	\$ _____/page
8"x11" Copies/Impression	_____/page
Blue Print Copies	_____/sq. ft.
Reproducible Copies (Mylar)	_____/sq. ft.
Reproducible Copies (Paper)	_____/sq. ft.
Mileage (auto)	_____/mile
Field Truck Daily Charge	_____/day
Mileage (Field Truck)	_____/mile
Field Survey Equipment	_____/day
Confined Space Equipment	_____/day plus expenses
Resident Project Representative Equipment	_____/month
Computer CPU Charge	_____/hour
Personal Computer Charge	_____/hour
CAD Charge	_____/hour
CAE Terminal Charge	_____/hour
VCR and Monitor Charge	_____/day, \$ _____/week, or \$ _____/month
Video Camcorder	_____/day, plus \$ _____/tape
Electrical Meters Charge	_____/week, or \$ _____/month
Flow Meter Charge	_____/week, or \$ _____/month
Rain Gauge	_____/week, or \$ _____/month
Sampler Charge	_____/week, or \$ _____/month
Dissolved Oxygen Tester Charge	_____/week
Fluorometer	_____/week
Laboratory Pilot Testing Charge	_____/week, or \$ _____/month
Soil Gas Kit	_____/day
Submersible Pump	_____/day
Water Level Meter	_____/day, or \$ _____/month
Soil Sampling	_____/sample
Groundwater Sampling	_____/sample
Health and Safety Level D	_____/day
Health and Safety Level C	_____/day
Electronic Media Charge	_____/hour
Long Distance Phone Calls	at cost
Meals and Lodging	at cost



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Standard Form of Agreement Between Owner and Engineer for Professional Services

This is **Appendix 2 to EXHIBIT C**, consisting of _____ pages, referred to in and part of the **Agreement between OWNER and ENGINEER for Professional Services** dated _____.

Initial:
OWNER _____
ENGINEER _____

Standard Hourly Rates Schedule

Current agreements for engineering services stipulate that the standard hourly rates are subject to review and adjustment per Exhibit C. Hourly rates for services performed on the date of the Agreement are:

Billing Class 9	Senior Associate	\$_____ /hour
Billing Class 8	Staff Manager	_____ /hour
Billing Class 7	Professional VI	_____ /hour
Billing Class 6	Professional V	_____ /hour
Billing Class 5	Professional IV	_____ /hour
Billing Class 4	Professional III	_____ /hour
Billing Class 3	Professional II	_____ /hour
Billing Class 2	Technician II	_____ /hour
Billing Class 1	Technician I	_____ /hour
Principal		_____ /hour
Support Staff		_____ /hour



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Standard Form of Agreement Between Owner and Engineer for Professional Services

This is **EXHIBIT D**, consisting of _____ pages, referred to in and part of the **Agreement between OWNER and ENGINEER for Professional Services** dated _____, _____.

Initial:
OWNER _____
ENGINEER _____

Duties, Responsibilities, and Limitations of Authority of Resident Project Representative

Paragraph 1.01C of the Agreement is amended and supplemented to include the following agreement of the parties:

D6.02 Resident Project Representative

- A. ENGINEER shall furnish a Resident Project Representative ("RPR"), assistants, and other field staff to assist ENGINEER in observing progress and quality of the Work. The RPR, assistants, and other field staff under this Exhibit D may provide full time representation or may provide representation to a lesser degree.
- B. Through such additional observations of Contractor's work in progress and field checks of materials and equipment by the RPR and assistants, ENGINEER shall endeavor to provide further protection for OWNER against defects and deficiencies in the Work. However, ENGINEER shall not, during such visits or as a result of such observations of Contractor's work in progress, supervise, direct, or have control over the Contractor's Work nor shall ENGINEER have authority over or responsibility for the means, methods, techniques, sequences, or procedures selected by Contractor, for safety precautions and programs incident to the Contractor's work in progress, for any failure of Contractor to comply with Laws and Regulations applicable to Contractor's performing and furnishing the Work, or responsibility of construction for Contractor's failure to furnish and perform the Work in accordance with the Contract Documents. In addition, the specific limitations set forth in section A.1.05 of Exhibit A of the Agreement are applicable.
- C. The duties and responsibilities of the RPR are limited to those of ENGINEER in the Agreement with the OWNER and in the Contract Documents, and are further limited and described as follows:
 1. *General:* RPR is ENGINEER's agent at the Site, will act as directed by and under the supervision of ENGINEER, and will confer with ENGINEER regarding RPR's actions. RPR's dealings in matters pertaining to the Contractor's work in progress shall in general be with ENGINEER and Contractor, keeping OWNER advised as necessary. RPR's dealings with subcontractors shall only be through or with the full knowledge and approval of Contractor. RPR shall generally communicate with OWNER with the knowledge of and under the direction of ENGINEER.
 2. *Schedules:* Review the progress schedule, schedule of Shop Drawing and Sample submittals, and schedule of values prepared by Contractor and consult with ENGINEER concerning acceptability.
 3. *Conferences and Meetings:* Attend meetings with Contractor, such as preconstruction conferences, progress meetings, job conferences and other project-related meetings, and prepare and circulate copies of minutes thereof.
 4. *Liaison:*
 - a) Serve as ENGINEER's liaison with Contractor, working principally through Contractor's superintendent and assist in understanding the intent of the Contract Documents.
 - b) Assist ENGINEER in serving as OWNER's liaison with Contractor when Contractor's operations affect OWNER's on-Site operations.
 - c) Assist in obtaining from OWNER additional details or information, when required for proper execution of the Work.
 5. *Interpretation of Contract Documents:* Report to ENGINEER when clarifications and interpretations of the Contract Documents are needed and transmit to Contractor clarifications and interpretations as issued by ENGINEER.
 6. *Shop Drawings and Samples:*
 - a) Record date of receipt of Samples and approved Shop Drawings.



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- b) Receive Samples which are furnished at the Site by Contractor, and notify ENGINEER of availability of Samples for examination.
 - c) Advise ENGINEER and Contractor of the commencement of any portion of the Work requiring a Shop Drawing or Sample submittal for which RPR believes that the submittal has not been approved by ENGINEER.
7. *Modifications:* Consider and evaluate Contractor's suggestions for modifications in Drawings or Specifications and report with RPR's recommendations to ENGINEER. Transmit to Contractor in writing decisions as issued by ENGINEER.
8. *Review of Work and Rejection of Defective Work:*
- a) Conduct on-Site observations of Contractor's work in progress to assist ENGINEER in determining if the Work is in general proceeding in accordance with the Contract Documents.
 - b) Report to ENGINEER whenever RPR believes that any part of Contractor's work in progress will not produce a completed Project that conforms generally to the Contract Documents or will prejudice the integrity of the design concept of the completed Project as a functioning whole as indicated in the Contract Documents, or has been damaged, or does not meet the requirements of any inspection, test or approval required to be made; and advise ENGINEER of that part of work in progress that RPR believes it should be corrected or rejected or should be uncovered for observation, or requires special testing, inspection or approval.
9. *Inspections, Tests, and System Startups:*
- a) Consult with ENGINEER in advance of scheduled major inspections, tests, and systems startups of important phases of the Work.
 - b) Verify that tests, equipment, and systems start-ups and operating and maintenance training are conducted in the presence of appropriate OWNER's personnel, and that Contractor maintains adequate records thereof.
 - c) Observe, record, and report to ENGINEER appropriate details relative to the test procedures and systems startups.
 - d) Accompany visiting inspectors representing public or other agencies having jurisdiction over the Project, record the results of these inspections, and report to ENGINEER.
10. *Records:*
- a) Maintain at the Site orderly files for correspondence, reports of job conferences, reproductions of original Contract Documents including all Change Orders, Field Orders, Work Change Directives, Addenda, additional Drawings issued subsequent to the execution of the Contract, ENGINEER's clarifications and interpretations of the Contract Documents, progress reports, Shop Drawing and Sample submittals received from and delivered to Contractor, and other Project related documents.
 - b) Prepare a daily report or keep a diary or log book, recording Contractor's hours on the Site, weather conditions, data relative to questions of Change Orders, Field Orders, Work Change Directives, or changed conditions, Site visitors, daily activities, decisions, observations in general, and specific observations in more detail as in the case of observing test procedures; and send copies to ENGINEER.
 - c) Record names, addresses and telephone numbers of all Contractors, subcontractors, and major suppliers of materials and equipment.
 - d) Maintain records for use in preparing Project documentation.
 - e) Upon completion of the Work, furnish original set of all RPR Project documentation to ENGINEER.
11. *Reports:*
- a) Furnish to ENGINEER periodic reports as required of progress of the Work and of Contractor's compliance with the progress schedule and schedule of Shop Drawing and Sample submittals.
 - b) Draft and recommend to ENGINEER proposed Change Orders, Work Change Directives, and Field Orders. Obtain backup material from Contractor.



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- c) Furnish to ENGINEER and OWNER copies of all inspection, test, and system startup reports.
 - d) Report immediately to ENGINEER the occurrence of any Site accidents, any Hazardous Environmental Conditions, emergencies, or acts of God endangering the Work, and property damaged by fire or other causes.
12. *Payment Requests:* Review Applications for Payment with Contractor for compliance with the established procedure for their submission and forward with recommendations to ENGINEER, noting particularly the relationship of the payment requested to the schedule of values, Work completed, and materials and equipment delivered at the Site but not incorporated in the Work.
13. *Certificates, Operation and Maintenance Manuals:* During the course of the Work, verify that materials and equipment certificates, operation and maintenance manuals and other data required by the Specifications to be assembled and furnished by Contractor are applicable to the items actually installed and in accordance with the Contract Documents, and have these documents delivered to ENGINEER for review and forwarding to OWNER prior to payment for that part of the Work.
14. *Completion:*
- a) Before ENGINEER issues a Certificate of Substantial Completion, submit to Contractor a list of observed items requiring completion or correction.
 - b) Observe whether Contractor has arranged for inspections required by Laws and Regulations, including but not limited to those to be performed by public agencies having jurisdiction over the Work.
 - c) Participate in a final inspection in the company of ENGINEER, OWNER, and Contractor and prepare a final list of items to be completed or corrected.
 - d) Observe whether all items on final list have been completed or corrected and make recommendations to ENGINEER concerning acceptance and issuance of the Notice of Acceptability of the Work.
- D. Resident Project Representative shall not:
1. Authorize any deviation from the Contract Documents or substitution of materials or equipment (including "or-equal" items).
 2. Exceed limitations of ENGINEER's authority as set forth in the Agreement or the Contract Documents.
 3. Undertake any of the responsibilities of Contractor, subcontractors, suppliers, or Contractor's superintendent.
 4. Advise on, issue directions relative to or assume control over any aspect of the means, methods, techniques, sequences, or procedures of Contractor's work unless such advice or directions are specifically required by the Contract Documents.
 5. Advise on, issue directions regarding, or assume control over safety precautions and programs in connection with the activities or operations of OWNER or Contractor.
 6. Participate in specialized field or laboratory tests or inspections conducted off-site by others except as specifically authorized by ENGINEER.
 7. Accept Shop Drawing or Sample submittals from anyone other than Contractor.
 8. Authorize OWNER to occupy the Project in whole or in part.



Alabama State Port Authority

Standard Form of Agreement Between Owner and Engineer for Professional Services

This is **EXHIBIT E**, consisting of _____ pages, referred to in and part of the **Agreement between OWNER and ENGINEER for Professional Services** dated _____, _____.

Initial:
OWNER _____
ENGINEER _____

NOTICE OF ACCEPTABILITY OF WORK

PROJECT: _____

OWNER:

OWNER's Construction Contract Identification:

EFFECTIVE DATE OF THE CONSTRUCTION AGREEMENT:

CONSTRUCTION CONTRACT DATE:

ENGINEER:

To: OWNER

And To: CONTRACTOR

The undersigned hereby gives notice to the above OWNER and CONTRACTOR that the completed Work furnished and performed by CONTRACTOR under the above Contract is acceptable, expressly subject to the provisions of the related Contract Documents and the terms and conditions set forth on the reverse side hereof.

By: _____

Title: _____

Dated: _____, _____



Alabama State Port Authority

Standard Form of Agreement Between Owner and Engineer for Professional Services

(Reverse side of Notice)

CONDITIONS OF NOTICE OF ACCEPTABILITY OF WORK

The Notice of Acceptability of Work ("Notice") on the front side of this sheet is expressly made subject to the following terms and conditions to which all persons who receive said Notice and rely thereon agree:

1. Said Notice is given with the skill and care ordinarily used by members of the engineering profession practicing under similar conditions at the same time and in the same locality.
2. Said Notice reflects and is an expression of the professional judgment of ENGINEER.
3. Said Notice is given as to the best of ENGINEER's knowledge, information, and belief as of the date hereof.
4. Said Notice is based entirely on and expressly limited by the scope of services ENGINEER has been employed by OWNER to perform or furnish during construction of the Project (including observation of the CONTRACTOR's work) under ENGINEER's Agreement with OWNER and under the Construction Contract referenced on the reverse hereof, and applies only to facts that are within ENGINEER's knowledge or could reasonably have been ascertained by ENGINEER as a result of carrying out the responsibilities specifically assigned to ENGINEER under ENGINEER's Agreement with OWNER and the Construction Contract referenced on the reverse hereof.
5. Said Notice is not a guarantee or warranty of CONTRACTOR's performance under the Construction Contract referenced on the reverse hereof nor an assumption of responsibility for any failure of CONTRACTOR to furnish and perform the Work thereunder in accordance with the Contract Documents.



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Standard Form of Agreement Between Owner and Engineer for Professional Services

This is **EXHIBIT F**, consisting of _____ pages, referred to in and part of the **Agreement between OWNER and ENGINEER for Professional Services** dated _____,

Initial:

OWNER _____

ENGINEER _____

Insurance

Without limiting or diminishing the ENGINEER's liabilities under this AGREEMENT, the ENGINEER agrees to obtain and maintain, at its own cost and expense, insurance as required under the following paragraphs.

General Requirements

All policies of insurance must be written with companies acceptable to the ASPA. Original certificates of insurance, which are signed by the licensed agent and which provide evidence that the required coverages are current and in place, must be mailed to: Alabama State Port Authority, ATTN: Risk Manager, P.O. Box 1588, Mobile, AL 36633. Failure to provide current certificates within 10 days following policy expirations may render this Agreement null and void. The ASPA reserves the right to require complete, certified copies of any and all policies of insurance at any time.

The ENGINEER's insurance certificate shall include a provision that at least 30 days' notice will be given to the ASPA before limits and scope of coverage are materially altered or insurance protections is cancelled.

The ENGINEER's insurance policies shall include waiver of all rights of subrogation against the ASPA, its officers, officials, employees, volunteers and insurers for losses arising from the ENGINEER's performance under the Agreement.

The ENGINEER agrees that none of its Consultants/Subcontractors will be allowed to commence work on ASPA's property until (a) the Consultant/Subcontractor has obtained all applicable similar insurance, or (b) the ENGINEER has provided coverage for the Consultant/Subcontractor.

The ENGINEER may purchase an umbrella liability policy to provide the limits of coverage specified, so long as such umbrella provides coverage at least as broad as specified for the individual policy and the umbrella applies directly above the individual policy, without gap in limit of liability.

Except for Workers Comp/Employers Liability and Professional Liability, the ENGINEER's insurance policies shall include endorsements providing that the ASPA, its officers, employees, and volunteers are to be covered as primary and non-contributory additional insureds, with respect to liability arising from the ENGINEER's performance under the Agreement. Except for the proven negligence of the ASPA, the coverage shall contain no special limitation on the scope of protection afforded. All premiums and deductibles are the responsibility of the ENGINEER.

Required Limits and Types of Insurance

- Commercial General Liability - \$2,000,000, combined single limit, per occurrence, for bodily injury, including death, and property damage liability.
- Professional Liability - \$1,000,000 per claim, covering performance of work under the Agreement.
- Business Automobile Liability - \$1,000,000 each accident, for bodily injury, including death and property damage liability. Coverage must extend to "any auto".
- Workers Compensation and Employers Liability – Statutory. To provide coverage under the Alabama Workers Compensation Act in an amount not less than that required by Alabama law.
- Coverage as required by Federal Statutes, where applicable – Including but not limited to U.S. Longshoremen and Harbor Workers Act (USL&H), Jones Act. (USL&H Coverage is required.)
- Such other insurance or in such higher amounts as may be reasonably required or determined by ASPA from time to time.



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Standard Form of Agreement Between Owner and Engineer for Professional Services

This is **EXHIBIT G**, consisting of _____ pages, referred to in and part of the **Agreement between OWNER and ENGINEER for Professional Services** dated _____, _____.

Initial:

OWNER _____

ENGINEER _____

Dispute Resolution

Paragraph 6.09 of the Agreement is amended and supplemented to include the following agreement of the parties:

G6.09 Dispute Resolution

- A. OWNER and ENGINEER agree that they shall first submit any and all unsettled claims, counterclaims, disputes, and other matters in question between them arising out of or relating to this Agreement or the breach thereof ("Disputes") to mediation by a method mutually agreeable to the OWNER and ENGINEER.



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Standard Form of Agreement Between Owner and Engineer for Professional Services

This is **EXHIBIT H**, consisting of 2 pages, referred to in and part of the **Agreement between OWNER and ENGINEER for Professional Services** dated _____, _____.

Initial:
OWNER _____
ENGINEER _____

FORM 1: DISADVANTAGED BUSINESS ENTERPRISE (DBE) UTILIZATION

The undersigned bidder/offeror has satisfied the requirements of the bid specification in the following manner (please check the appropriate space):

_____ The bidder/offeror is committed to a minimum of _____ % DBE utilization on this contract.

Name of bidder/offeror's firm: _____

State Registration No. _____

By _____
(Signature) Title



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EXHIBIT H

FORM 2: LETTER OF INTENT

Name of bidder/offeror's firm: _____

Address: _____

City: _____ State: _____ Zip: _____

Name of DBE firm: _____

Address: _____

City: _____ State: _____ Zip: _____

Telephone: _____

Description of work to be performed by DBE firm:

The bidder/offeror is committed to utilizing the above-named DBE firm for the work described above. The estimated dollar value of this work is \$ _____ or _____%.

Affirmation

The above-named DBE firm affirms that it will perform the portion of the contract for the estimated dollar value or percentage as stated above.

By _____
(Signature) (Title)

If the bidder/offeror does not receive award of the prime contract, any and all representations in this Letter of Intent and Affirmation shall be null and void.

(Submit this page for each DBE subcontractor.)