

REQUEST FOR CHANGE OF COMPLIANCE PLAN

Note: This form is not for changes to a current subcontractor's contract amount if the change is both less than 5% of the current subcontractor's contract amount and less than \$25,000. A change this minor will be documented instead on the subcontractor participation form submitted with the next application for payment. This provision is intended to accommodate the typical margin of error in quantities that is inherent in construction projects. This provision is not intended to allow contractors to self-perform work intended for subcontractors or to unlawfully substitute subcontractors.

Date: September 23, 2016	Contract No.: MA SA# 130000005
Solicitation No.: CLMP122	Project Name: Comprehensive Land Development Code Revision
Prime Contractor/Consultant: Opticos Design, Inc.	

Proposed Change:

Subcontractor/Subconsultant Level:

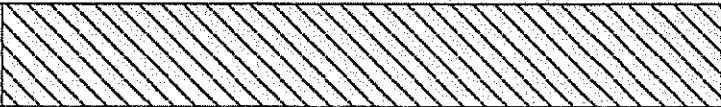

Name of Subconsultant/Subcontractor: Health and Community Strategies, Inc. aka Ann Kitchen Consulting		
Vendor Code: V00000911296	Ethnic/Gender Code: NO = Non Certified	City of Austin Certified: <input type="text" value="NON"/>
Contact Person: Mark Yznaga	Phone No.: (512) 657-4762	
Proposed Change (\$):	Change (%):	
Commodity Code & Brief Description of Work: 91827; Public Information Services and Community Engagement		
Reason for Requesting Change: (Attach supporting documentation as necessary): This firm now has connections to the mayor and city council and, therefore was removed from the team to prevent any resulting conflict of interest.		

Note: If the request is a substitution, complete information for the firm being removed in the space above and sub being added below.

Subcontractor/Subconsultant Level:

Name of Subconsultant/Subcontractor:		
Vendor Code:	Ethnic/Gender Code:	City of Austin Certified: <input type="text"/>
Contact Person:	Phone No.:	
Proposed Change (\$):	Change (%):	
Commodity Code & Brief Description of Work:		
Reason for Requesting Change: (Attach supporting documentation as necessary):		
Add Another Change		Delete Change


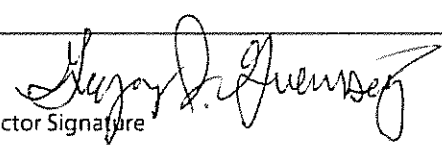

I certify that the information included in this Request for Change of Compliance Plan is true and complete to the best of my knowledge and belief.

Karen Parolek Prime Consultant/Contractor Printed Name	
 Prime Consultant/Contractor Signature	Sep 23, 2016 Date

** This section for City of Austin use only **

If all of the following requirements are met, the SMBR Department Director's prior written approval is on file with the Public Works and Purchasing Directors, and is automatic. Project Manager should sign the form and send a copy directly to SMBR:

- ☒ Change is for an existing certified subcontractor/subconsultant already listed in the Compliance Plan.
- ☐ Change is within the existing scope being performed by the subcontractor/subconsultant.
- ☐ Change is an increase in the contract amount for the subcontractor/subconsultant.

Jorge E. Rousselin Project Manager Printed Name		Good Faith Effort? (explain in Comments field)	
 Project Manager Signature		September 26, 2016 Date:	
Project Manager Comments: Change is to remove firm that no longer has scoped work.			
Division Manager Signature		Date:	
Division Manager Comments:			
 Division Manager Signature		September 26, 2016 Date:	
Division Manager Comments:			
SMBR Representative Signature		Date: 7.29.16	
SMBR Representative Comments:  9-29-14			
I approve the requested change.		I disapprove the requested change.	
Director, SMBR	Date:	Director, SMBR	Date:
SMBR Director Comments:			

REQUEST FOR CHANGE OF COMPLIANCE PLAN

Request for Change of Compliance Plan forms must follow the requirements as outlined in the City's MBE/WBE Procurement Program Ordinance Section 2-9(A-D)-23 and Section 11 of the Program Rules.

Date: 9/21/17	Contract No.: SA130000005
Solicitation No.: CLMP122	Project Name: Code Next - Comprehensive Land Development Code Revision
Prime Contractor/Consultant: Opticos Design	

Proposed Change: ☐ Addition ☒ Deletion ☐ Substitution (*sub removed*) ☐ Contract Change

Subcontractor/Subconsultant Level: ☐ 1st Tier ☐ 2nd Tier ☐ 3rd Tier

Note: If the request is a substitution, complete information for the firm being removed in the space above and sub being added below.

Name of Subconsultant/Subcontractor: Cultural Strategies Inc.		
Vendor Code: VS0000024713	Ethnic/Gender Code: <input type="checkbox"/> AA <input type="checkbox"/> HIS <input type="checkbox"/> A/NA <input checked="" type="checkbox"/> WBE <input type="checkbox"/> M <input type="checkbox"/> F <input type="checkbox"/> Non-Minority	City of Austin Certified: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Contact Person: Sebastian Puente	Phone No.: 512-510-4971	
Email Address: spuente@cultural-strategies.com	Fax No.:	
Subcontractor's Original Amount (\$): 72,500	Proposed Change +/- (\$): 0	Change(%): 0
Commodity Code & Brief Description of Work: 91827; Public Information Services and Community Engagement		
Reason for Requesting Change: (Attach supporting documentation as necessary): Sub-consultant has resigned from the project.		

Proposed Change: ☐ Addition ☒ Deletion ☐ Substitution (*sub added*) ☐ Contract Change

Subcontractor/Subconsultant Level: ☐ 1st Tier ☐ 2nd Tier ☐ 3rd Tier

Name of Subconsultant/Subcontractor: Civic Collaboration		
Vendor Code:	Ethnic/Gender Code: <input type="checkbox"/> AA <input type="checkbox"/> HIS <input type="checkbox"/> A/NA <input checked="" type="checkbox"/> WBE <input type="checkbox"/> M <input type="checkbox"/> F <input type="checkbox"/> Non-Minority	City of Austin Certified: <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Contact Person: Diane Miller	Phone No.: 512-971-3033	
Email Address: dmiller@civiccollaboration.com	Fax No.:	
Subcontractor's Original Amount (\$): 21,090	Proposed Change +/- (\$): 0	Change(%): 0
Commodity Code & Brief Description of Work: 91827; Public Information Services and Community Engagement		
Reason for Requesting Change: (Attach supporting documentation as necessary): Sub-consultant has resigned from the project.		

NOTE: Primes must submit a copy of your documentation regarding notice of changes to the subcontractor/subconsultant with this form.

☒ I certify that the information included in this Request for Change of Compliance Plan is true and complete to the best of my knowledge and belief.

Prime Printed Name: Megan Jennings		
Contact phone number: 510-558-6957	Email Address: megan.jennings@opticosdesign.com	
Prime Signature: Megan Jennings	Date: 9/21/17	

Please indicate the type of changes:

- ☒ Change is for an existing certified subcontractor/subconsultant already listed in the Compliance Plan.
- ☐ Change is within the existing scope being performed by the subcontractor/subconsultant.
- ☐ Change is for a new scope to be performed by the subcontractor/subconsultant. Good faith effort documents attached.
- ☐ Change is an increase or decrease in the contract amount for the subcontractor/subconsultant as result of COA change order or amendment.

PROJECT MANAGER

Project Manager Signature required for all RFC submissions

Is this request a result of a COA change order? ☐ YES ☒ NO If yes, submit a copy of the change order with this RFC form to SMBR.

Did the prime submit Good Faith Effort documentation? ☒ YES ☐ NO If no, prime must submit with this RFC form prior to submitting to SMBR.

If this RFC is based on change order or amendment reviewed by the Change Control Committee, was it approved? ☐ Yes ☒ No Date: _____

Project Manager Comments: Approved

Jorge E.

Digitally signed by Jorge E.
Rousselin
Date: 2017.09.22 11:21:18 -0500

Project Manager Signature: Rousselin

Date: _____

Project Manager Supervisor/ Division Manager/Designee Signature

Required only for RFC's related to deletions/reductions of scopes greater than 25% and escalated issues.

Division Manager Comments: _____

Division Manager/Designee Signature: _____

Date: _____

SMALL & MINORITY BUSINESS RESOURCES

Business Development Counselor (BDC) signature required for all RFC submissions

☒ This RFC has been recommended for approval. ☐ This RFC has not been recommended for approval.

Did a violation occur as a result of this RFC? ☐ Yes ☒ No

☐ Addition Sub ☐ Addition Scope ☒ Deletion Sub ☐ Deletion Scope

☐ Substitution Sub ☐ Substitution Scope ☐ Changes > 25% ☐ Changes < 25%

SMBR BDC Comments: Deleting two certified sub-consultants that elected to be removed from the contract.

Approved Goal: MBE _____ % AA 2.10 % HIS 9.00 % A/NA 4.90 % WBE 15.80 % DBE _____ %

Participation after RFC: MBE _____ % AA 2.10 % HIS 9.00 % A/NA 4.90 % WBE 14.25 % DBE _____ %

SMBR BDC Signature: _____

Date: _____

Senior Business Development Counselor

Authorized approval for additions and change orders less than 25% and no violation occurrence.

☒ I approve the recommended change. ☐ I disapprove the recommended change.

Cassidy

Digitally signed by Cassidy Villegan
DN: cn=Cassidy Villegan, o=City of Austin,
ou=SMBR Compliance Division,
email=cassidy.villegan@cityofaustin.com, c=US
Date: 2017.09.25 13:24:43 -0500

SMBR Senior BDC Signature: Villegan

Date: 9-27-17

Director/Designee Signature

Required for RFC's related to all substitutions, deletions/reductions of scopes greater than 25%, escalated issues and violation occurrences.

☒ I approve the recommended change. ☐ I disapprove the recommended change.

SMBR Director/Designee Comments: _____

SMBR Director/Designee Signature: _____

Date: 9-27-17

CONTRACT AWARDING AUTHORITY

Modification to the MBE/WBE Compliance Plan approved in the above RFC is hereby made a part of the contract as authorized by the signature below.

Comments: _____

Signature: _____

Date: _____

If all of the following requirements are met, the SMBR Department Director's prior written approval is on file with the Public Works, Purchasing, Capital Contracting Office, and SMBR departments. Project Manager should sign the form, obtain required signature prior to sending a copy directly to SMBR.

September 28, 2017

Megan Jennings
Opticos Design Inc.
2100 Milvia Street, Suite 125
Berkeley, CA 94704

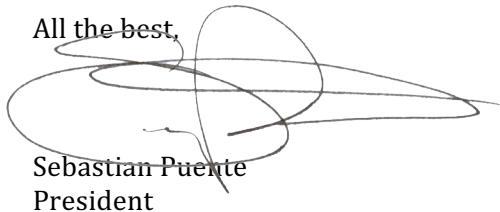
RE: Letter of Resignation

Megan,

This letter is to confirm our firm's resignation from the City of Austin Land Development Code Rewrite Project (CodeNEXT) upon the completion of currently contracted Phase 4 work (SA10). We will not be participating in any contract amendments going forward.

Please let me know if you any questions.

All the best,



Sebastian Puente
President



September 25, 2017

Mrs. Karen Parolek
Principal
Opticos Design, Inc.
2100 Milvia Street, Suite 125
Berkeley, CA 94704

Re: City of Austin Land Development Code Project

Dear Karen:

Civic Collaboration is resigning from the City of Austin CodeNEXT project after completion of Phase 4 work (SA 10) and will not be participating in any contract amendments going forward.

Please do not hesitate to call if you have any questions.

Sincerely,

A handwritten signature in black ink that reads 'Diane Miller'.

Diane Miller
President
Civic Collaboration LLC

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Date: November 4, 2015	Contract No.: MA SA130000005
Solicitation No.: CLMP122	Project Name: Comprehensive Land Development Code Revision for the City of Austin
Prime Contractor/Consultant: Opticos Design, Inc.	

Proposed Change: Subcontractor/Subconsultant Level:

Name of Subconsultant/Subcontractor: Kimley-Horn & Associates Inc		
Vendor Code: KIM7074000	Ethnic/Gender Code: NO = Non Certified	City of Austin Certified: <input type="text" value="NON"/>
Contact Person: Jeff Whitacre	Phone No.: (817) 339-2254	
Proposed Change (\$): \$198,990.00	Change (%): 9%	
Commodity Code & Brief Description of Work: 92533 Traffic and Transportation engineering		
Reason for Requesting Change: (Attach supporting documentation as necessary): Additional work, Austin Thoroughfare Plan, requested by the City of Austin		


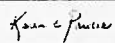
Note: If the request is a substitution, complete information for the firm being removed in the space above and sub being added below.

Subcontractor/Subconsultant Level:

Name of Subconsultant/Subcontractor: Civic Collaboration		
Vendor Code: VS0000037487	Ethnic/Gender Code: FW = Female Anglo	City of Austin Certified: <input type="text" value="yes"/>
Contact Person: Diane Miller	Phone No.: (512) 971-3033	
Proposed Change (\$): \$10,115.00	Change (%): 0%	
Commodity Code & Brief Description of Work: 91827; Public Information Services and Community Engagement		
Reason for Requesting Change: (Attach supporting documentation as necessary): Additional work, Austin Thoroughfare Plan, requested by the City of Austin		

Add Another Change		Delete Change	
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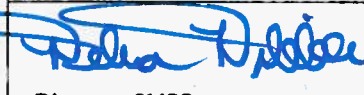
I certify that the information included in this Request for Change of Compliance Plan is true and complete to the best of my knowledge and belief.

Karen E. Parolek Prime Consultant/Contractor Printed Name	
 Prime Consultant/Contractor Signature	Dec 7, 2015 Date

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- ☐ Change is for an existing certified subcontractor/subconsultant already listed in the Compliance Plan.
- ☐ Change is within the existing scope being performed by the subcontractor/subconsultant.
- ☐ Change is an increase in the contract amount for the subcontractor/subconsultant.

James D. Robertson Project Manager Printed Name		Good Faith Effort? (explain in Comments field)	
James D. Robertson Project Manager Signature		Dec 10, 2015 Date:	
Project Manager Comments:			
James D. Robertson Division Manager Signature		Dec 10, 2015 Date:	
Division Manager Comments:			
Gregory I. Guernsey Department Director Signature		Dec 10, 2015 Date:	
Department Director Comments:			
 SMBR Representative Signature		Date: 12.22.15	
SMBR Representative Comments: Increasing existing scopes for existing subcontractors			
I approve the requested change.		I disapprove the requested change.	
 Director, SMBR	12/22/15 Date:	Director, SMBR	Date:
SMBR Director Comments:			

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Date: September 23, 2016	Contract No.: MA SA# 130000005
Solicitation No.: CLMP122	Project Name: Comprehensive Land Development Code Revision
Prime Contractor/Consultant: Opticos Design, Inc.	

Proposed Change: Addition

Subcontractor/Subconsultant Level:

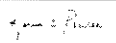
Name of Subconsultant/Subcontractor: Heather Venhaus/Regenerative Environmental Design		
Vendor Code: V00000936080	Ethnic/Gender Code:	City of Austin Certified:
Contact Person: Heather Venhaus	Phone No.: (512) 619-5464	
Proposed Change (\$): \$30,600.00	Change (%): 1%	
Commodity Code & Brief Description of Work: 91843; Environmental Consulting (Incl. Sustainability, 92600; Environmental and Ecological Services, 92640; Ecological Services		
Reason for Requesting Change: (Attach supporting documentation as necessary): Sub is an Austin based expert on ecological services and green infrastructure and was recommended by planning staff to complete new scope items under task 3.7 Functional Green		

Note: If the request is a substitution, complete information for the firm being removed in the space above and sub being added below.

Subcontractor/Subconsultant Level:

Name of Subconsultant/Subcontractor: Jacklyn Amy Belaire		
Vendor Code: V00000935521	Ethnic/Gender Code: NO = Non Certified	City of Austin Certified: no
Contact Person: Jacklyn Amy Belaire	Phone No.: (512) 327-7622	
Proposed Change (\$): \$17,685.00	Change (%): 0%	
Commodity Code & Brief Description of Work: 91843; Environmental Consulting (Incl. Sustainability, 92600; Environmental and Ecological Services, 92640; Ecological Services		
Reason for Requesting Change: (Attach supporting documentation as necessary): Sub is an Austin based expert on ecological services and green infrastructure and provides supportive services to Heather Venhaus		
Add Another Change		Delete Change

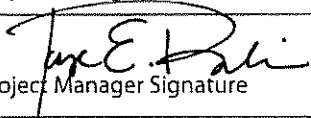

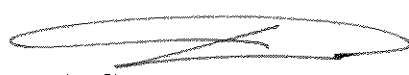

I certify that the information included in this Request for Change of Compliance Plan is true and complete to the best of my knowledge and belief.

Karen Parolek Prime Consultant/Contractor Printed Name	
 Prime Consultant/Contractor Signature	Sep 23, 2016 Date

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- ☒ Change is an increase in the contract amount for the subcontractor/subconsultant.

Jorge E. Rousselin Project Manager Printed Name		Good Faith Effort? (explain in Comments field) yes	
 Project Manager Signature		September 26, 2016 Date:	
Project Manager Comments: Firm is in process of certification, commenced on June 10, 2016.			
Division Manager Signature		Date:	
Division Manager Comments:			
 Department Director Signature		September 26, 2016 Date:	
Department Director Comments:			
 SMBR Representative Signature		Date: 9-29-16	
SMBR Representative Comments:			
I approve the requested change.		I disapprove the requested change.	
 Director, SMBR	9-29-16 Date:	Director, SMBR	Date:
SMBR Director Comments:			

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Date: September 23, 2016	Contract No.: MA SA# 130000005
Solicitation No.: CLMP122	Project Name: Comprehensive Land Development Code Revision
Prime Contractor/Consultant: Opticos Design, Inc.	

Proposed Change: Subcontractor/Subconsultant Level:


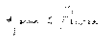
Name of Subconsultant/Subcontractor: Heather Venhaus/Regenerative Environmental Design		
Vendor Code: V00000936080	Ethnic/Gender Code:	City of Austin Certified: <input type="text"/>
Contact Person: Heather Venhaus	Phone No.: (512) 619-5464	
Proposed Change (\$): \$30,600.00	Change (%): 1%	
Commodity Code & Brief Description of Work: 91843; Environmental Consulting (Incl. Sustainability, 92600; Environmental and Ecological Services, 92640; Ecological Services		
Reason for Requesting Change: (Attach supporting documentation as necessary): Sub is an Austin based expert on ecological services and green infrastructure and was recommended by planning staff to complete new scope items under task 3.7 Functional Green		

Note: If the request is a substitution, complete information for the firm being removed in the space above and sub being added below.

Subcontractor/Subconsultant Level:

Name of Subconsultant/Subcontractor: Jacklyn Amy Belaire		
Vendor Code: V00000935521	Ethnic/Gender Code: NO = Non Certified	City of Austin Certified: <input type="text" value="no"/>
Contact Person: Jacklyn Amy Belaire	Phone No.: (512) 327-7622	
Proposed Change (\$): \$17,685.00	Change (%): 0%	
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Reason for Requesting Change: (Attach supporting documentation as necessary): Sub is an Austin based expert on ecological services and green infrastructure and provides supportive services to Heather Venhaus		
Add Another Change		Delete Change

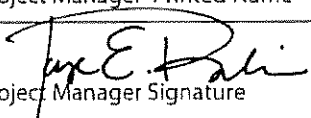
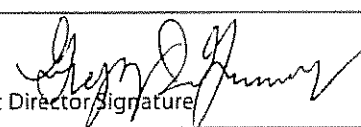
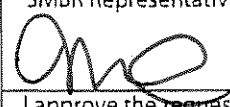


I certify that the information included in this Request for Change of Compliance Plan is true and complete to the best of my knowledge and belief.

Karen Parolek Prime Consultant/Contractor Printed Name	
 Prime Consultant/Contractor Signature	Sep 23, 2016 Date

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- ☒ Change is an increase in the contract amount for the subcontractor/subconsultant.

Jorge E. Rousselin Project Manager Printed Name		Good Faith Effort? (explain in Comments field) yes	
 Project Manager Signature		September 26, 2016 Date:	
Project Manager Comments: Firm is in process of certification, commenced on June 10, 2016.			
Division Manager Signature		Date:	
Division Manager Comments:			
 Division Manager Signature		September 26, 2016 Date:	
Division Manager Comments:			
SMBR Representative Signature		Date: 9.29.16	
SMBR Representative Comments:  			
I approve the requested change.		I disapprove the requested change.	
 Director, SMBR	9.29.16 Date:	Director, SMBR	Date:
SMBR Director Comments:			