



## Request for Qualifications and Experience (RFQ)

### Progressive Design Build Services for Manchester Creek Wastewater Treatment Plant Upgrades and Expansion Rock Hill, South Carolina

**Return Submittal No Later Than: Wednesday, November 30, 2016 @ 2:00 pm, local time.**

Posting: October 31, 2016

**Delivery:** One (1) original, seven (7) copies and one (1) electronic copy delivered in a sealed envelope and marked "Statement of Qualifications – Progressive Design Build Services for Manchester Creek Wastewater Treatment Plant Upgrades and Expansion. PUR803"

**Return Submittal To:**

Tracy Smith  
Procurement, Warehouse and Fleet  
Maintenance Manager  
General Services  
City of Rock Hill  
PO Box 11706  
757 South Anderson Road (27930)  
Rock Hill, SC 29731-1706  
[Tracy.Smith@cityofrockhill.com](mailto:Tracy.Smith@cityofrockhill.com)

**Send Questions/Clarifications for RFQ To:**

Tracy Smith  
Purchasing, Warehouse and Fleet Maintenance  
Manager  
[tracy.smith@cityofrockhill.com](mailto:tracy.smith@cityofrockhill.com)  
\*Please submit questions by November 16,  
2016

**Addenda Location:**

[www.cityofrockhill.com](http://www.cityofrockhill.com)

**Receipt Confirmation:** Entities that are interested in submitting a statement of qualifications must complete and return the Receipt Confirmation Form (Appendix B) no later than Friday, November 11, 2016.

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## Summary

The City of Rock Hill (the City), South Carolina, invites statements of interest, qualifications and experience for the opportunity to plan, design, engineer, permit, construct, equip, and commission proposed improvements to the City's Manchester Creek Wastewater Treatment Plant (WWTP) using a progressive design-build (PDB) process. Responses to this RFQ will be evaluated to identify a short list of

applicants with the requisite experience, qualifications, and resources to complete the project successfully within an agreed guaranteed maximum price (GMP) and construction schedule in accordance with project requirements specified by the City. This project is estimated to cost \$130 million.

## **Project Background**

The City provides wastewater services to approximately 32,000 residential, commercial, and wholesale customers in Rock Hill and the surrounding area. The wastewater is collected through the City's network of outfalls and conveyed to the City's WWTP on Manchester Creek. The WWTP has a rated capacity of 20 million gallons per day (MGD) based on maximum month average daily flow, and experiences annual average daily flows between 10 and 11 MGD.

The area is seeing growth in residential, commercial, and industrial flows and projects that this trend will continue into the future. Based on recent studies, an expansion in treatment capacity is anticipated to be required within the 20-year planning period of the study. Furthermore, more stringent effluent limits for total nitrogen (TN), total phosphorus (TP) and ammonia-nitrogen (NH<sub>3</sub>-N) are anticipated in the near future, which would require improvement to the WWTP's existing processes.

## **Statement of Work**

Two studies were recently completed related to treatment efficiency and treatment capacity. The results of these studies indicated that upgrades are needed to the existing facilities at Manchester WWTP to improve performance and efficiencies. Furthermore, the studies indicated that it is most advantageous to the City to construct additional treatment capacity at the current Manchester WWTP. Results of these studies indicate that the capacity at the WWTP should be increased to 26 MGD and additional nutrient removal be implemented. Future projects recommended include increasing treatment capacity to 30 MGD and to convert the WWTP to 3-stage BNR to further increase nutrient removal. The proposed improvements to the WWTP will be designed to allow later conversion to the 5-stage BNR for future regulatory compliance and expansion to 30 MGD. Ultimate site design considerations should allow for 50 MGD of on-site treatment capacity. These reports will be made available during the request for proposal (RFP) process for the entities short-listed in the RFQ process.

Based on the results of these studies, the City is moving forward with a two-step process to select a PDB entity to collaborate on a successful implementation of necessary improvements. It is the intent of the City to have a full design of upgrades and improvements as recommended in the studies and to successfully meet the requirements of a new National Discharge Elimination system (NPDES) permit that will be secured from the South Carolina Department of Health and Environmental Control (SCDHEC) by the PDB entity for the project. The PDB entity will be responsible for phasing the construction of the work such that it falls into the City's funding plan provided herein. It is anticipated that the PDB entity will also assist the City to obtain funding through the State Revolving Fund (SRF) in order to optimize the funding potential of the overall project.

## **Scope of Work**

Based on the recent studies, the overall work to be completed has been divided into multiple categories – improvement components, expansion components, and maintenance components. The maintenance

improvements will be completed under separate contracts that will be issued by the City and will not be completed as a part of the proposed project, unless approved by the City for improved logistics or operations for the upgrades and expansion. It will be up to each PDB entity to provide a phasing plan to incorporate the improvements in a logical manner in 3 phases that allows continuous operations of the existing WWTP, meets the financial constraints set by the City, and ensures compliance throughout construction with all applicable permits and regulations issued by SCDHEC for the WWTP during the duration of the contract. The phasing plan will be subject to the review and approval by the Owner.

A brief description of the anticipated major work components, which are subject to change, includes the following:

#### Improvement Components

- Installation of piping and redirecting the wastewater flows under Red River Road
- Construction of new influent pump station and coarse screening
- Construction of new preliminary treatment facilities (fine screening and grit removal)
- Construction of new flow equalization
- Construction of a new single access road to the facility and site landscaping
- Construction of a new septage receiving station
- Construction of additional office space/renovated office space to meet the current and proposed staffing needs
- Installation of new SCADA system
- Conversion electric/communications system from overhead to underground

#### Expansion Components

- Construction of new aeration basins
- Construction of new blower building
- Construction of new secondary clarifiers with RAS/WAS pumping
- Construction of new deep bed effluent filters
- Chemical feed improvements
- Solids dewatering
- Miscellaneous improvements (i.e. sitework, piping, grading, electrical, control, etc.)

#### Maintenance Components

##### *Near-Term (0-3 years)*

- Final clarifiers – mechanical replacement
- Final clarifiers – effluent covers
- Primary sludge building #1 repairs, excludes pumps
- Primary sludge building #2 repairs, excludes pumps
- Hot box repairs
- Return sludge pump stations
- Dewatering building

##### *Mid-Term (3-5 years)*

- Primary clarifiers
- Sludge silo and inclined conveyor
- Sludge shed
- Chemical feed building
- Digesters and headhouse building improvements

- Maintenance building
- Administration building

*Long-Term (5-10 years)*

- Return sludge pumps (all pumps except 2C)
- Chlorine contact tanks
- Froth spray pumps (all pumps except #1)

The PDB entity will be responsible for conducting all surveys and investigations, completing all designs, acquiring all permits, conducting bid phase services, and constructing all components necessary to complete the scope of work outlined.

## **Approach**

The City anticipates using a two-step process to selecting a PDB entity for the project. The first step will be the RFQ process in which PDB entities will submit qualifications based on the criteria set forth herein. A Selection Committee will review the submittal packages, and may conduct interviews to short-list PDB entities to move forward with the second step in the evaluation process. For the second step in the process, PDB entities will respond to a RFP regarding the project. Proposals will be evaluated and interviews conducted with the short-listed teams. A final evaluation will be performed to select one PDB entity in which to execute an agreement.

The City anticipates using the engineering consulting firm of Wiedeman and Singleton as the owner representative; however at this time, the roles and responsibilities of Wiedeman and Singleton have not been fully defined. It is anticipated that the PDB entity will work collaboratively with both the City and Wiedeman and Singleton to complete the scope of work described in this RFQ.

## **Project Delivery Methodology and Deliverables**

The expansion and improvements to the Manchester WWTP will follow a PDB approach. The following is an outline of deliverables anticipated to be required during the RFP process. This list may differ in the final RFP issued.

- A 15% conceptual design of all components listed in the scope of work. At a minimum, this will include the following deliverables: process flow diagram for all main process systems, process design criteria for all main process improvements, site plans, preliminary equipment lists, anticipated effluent nutrient target limits and an estimate of annual operating costs of the proposed conceptual design. The conceptual will be based on information provided in the RFP, use of record drawings, historical electrical billing data/chemical usage and assessments during site visits.
- A budgetary estimate of the capital costs to construct all components listed in the scope of work, including ancillary work (i.e. paving, grading, electrical, etc.) for a complete overall project cost. The estimate will be based on the 15% conceptual design and will be a Class 4 estimate as defined by the American Association of Cost Engineers (AACE). The budgetary estimate should be divided into phases in accordance with the phasing plan proposed by the PDB entity.
- A budgetary estimate of life-cycle costs to operate and maintain the overall project
- A phasing plan of the work to coincide with the City's proposed funding plan, while keeping the facility in operation and in compliance with SCDHEC requirements

- Lump sum fee for design services to develop 1) the 30% design for all proposed phases and 2) the guaranteed maximum price (GMP) and 60% design of Phase I

The following project deliverables are required of the selected PDB entity:

1. A 30% design and cost estimated for all phases necessary to complete the work
2. A 60% design with GMP for Phase I of the work
3. Construction documents for Phase I of the work (100% design)
4. A 60% design with GMP for Phase II of the work
5. Construction documents for Phase II of the work (100% design)
6. A 60% design with GMP for Phase III of the work
7. Construction documents for Phase III of the work (100% design)
8. Start-up plan
9. Operation and maintenance manuals

The 30% design will be of sufficient detail to allow the PDB entity to submit permits on behalf of the Owner to SCDHEC and will consist of technical memoranda for each discipline, preliminary equipment data sheets, process flow diagrams, preliminary piping and instrumentation diagrams, site plan including preliminary grading and drainage concepts, general arrangement layout drawings for major equipment, electrical single line diagrams, electrical room layouts, preliminary building plans and elevations, plant hydraulic profile, essentially complete engineering process and equipment lists, and other information as may be required to obtain the SCDHEC permits. The PDB entity will also be included in negotiations and coordination with SCDHEC to establish fair nutrient Total Maximum Daily Loadings (TMDLs) for phosphorus and nitrogen and to acquire low-interest funding through SRF. The design will provide enough information to establish a Class 3 cost estimate as defined by AACE.

The 60% design will be in sufficient detail to produce an accurate GMP and will consist of drawings and specifications. Equipment specifications will be provided in the form of data sheets, as much as practical. Specification sections will be provided for sections not amenable to data sheet presentation. Criteria for SRF qualifications on specific processes shall be met. When the design is approximately 60% complete, as mutually agreed by the Owner and the PDB entity, the PDB entity will submit a GMP proposal for the respective Phase of the project to the Owner and Owner's representative for approval. The Owner and the Owner's representative will review and comment on the GMP proposal, and the PDB entity will consider comments and update the GMP, as appropriate. If the GMP is accepted by the Owner, the updated GMP proposals will become an amendment to the agreement. If the PDB entity and the Owner cannot agree on the GMP for any phase of the project, at the Owner's option, the Owner may either end the agreement with the PDB entity or issue a change order to the agreement to pay the PDB entity to complete the design of the respective Phase to 100% and produce contract documents, including drawings and specifications, that will be used to solicit competitive bids in the open market.

The 100% design will be in sufficient detail to allow construction of all processes for a fully operational facility. It is understood that early construction packages and equipment pre-purchase may commence after the acceptance of the GMP and issuance of an amendment of the agreement for final design and construction. PDB entity will prepare all SRF-qualifying work and construct the project to meet SRF program requirements. During construction, the PDB entity will maintain as-built drawings and submit shop drawings for review. At the end of construction, as-built drawings (at a minimum, on Mylar and in AutoCAD), valve locations drawings (in AutoCAD format) and videos of all installed lines will be submitted to the Owner. The PDB entity will provide classroom training and field training for plant

operators and maintenance staff. The PDB entity will also provide operation and maintenance manuals and warranty documentation in electronic format (pdf) for equipment systems.

The Owner encourages innovation in design and construction and may consider a provision for shared savings in its agreement with the PDB entity. A draft of the agreement will be provided as an attachment to the RFP.

## Funding for Project

The City has prepared a bonding schedule to fund the work described herein. In addition, the work should be prepared such that SRF funds can be requested as an alternative to bonding the work. Below is a proposed funding plan for the project.

<b>Fiscal Year (July 1 – June 30)</b>	<b>Funds</b>
FY16-17	\$5,000,000
FY18-19	\$35,000,000
FY20-21	\$45,000,000
FY22-23	\$45,000,000
Subtotal	\$130,000,000

## Evaluation Criteria

The submittals received from this RFQ will be evaluated based on the contents of the submission, any written clarifications requested by the Selection Committee, and interviews, if desired. Points for evaluation will be based on the following criteria:

<b>Weight</b>	<b>Criteria</b>
20	<i>Project Management</i> – Demonstration of the ability to meet time and budget requirements on delivery of similar publicly owned water and wastewater treatment plant projects. Description of work load balancing for recent, current, and projected workload of the entity and the personnel proposed to work on this project.
25	<i>Prior Experience</i> – Presentation of experience with PDB projects of similar size, scope, use and complexity as herein required. Demonstration of ingenuity in project delivery approaches.
20	<i>Staff</i> – Descriptions of the skill, capability, and experience level of professional personnel, in personnel resumes and project descriptions. Appropriate qualifications, experience and capabilities of the management team assigned to this project, and evidence of prior successful projects are listed. Adequate amount of personnel assigned, or access to sufficient personnel with appropriate project experience to accelerate the project schedule, if necessary.
15	<i>References</i> – References provided by clients that would recommend the PDB entity for similar services. Notable comments provided from references and evidence of a good past-performance record with other clients.
20	<i>Local Experience and Proximity to the Work Location</i> – Descriptions of detailed ability to furnish the required services that best serve the needs of the Owner. In this category, the familiarity of the local area and the amount of business performed in the

	region is significant. Also the presence of local staff, including design professionals that will perform the work primarily near the site. The ability to obtain permits within South Carolina in a timely manner is also shown as evidence through prior projects.
<b>100</b>	<b>Total</b>

## SOQ Submittal Format

To facilitate review of your Statement of Qualifications by the City, it is requested that your submission conform to the following format, in exact order listed below:

1. **Coversheet:** List RFQ Statement and PUR number; date of submission; the name of the PDB entity; and the name, address and telephone number of a contact person for questions concerning the submittal.
2. **Letter of Interest:** (2 pages maximum) A letter must be submitted that states the interests of the PDB entity in this project and shall be signed by a person who will have contract authority over the project, indicating that the contents of the submittal are true and accurate. It shall summarize why the City should select this PDB entity. It shall also state that the PDB entity can meet the insurance and bonding requirements as listed herein and that it is the intent of the PDB entity to execute one agreement with the Owner that addresses terms for a GMP.
3. **PDB Entity:** The intent of this section is to characterize the PDB entity that will be used on this project and how the various team components will function together. Submittal should also include safety records and a description of the safety program. The following information must be provided:
  - Name the firm(s) and key team members that will form the PDB entity assigned to the project. Provide organizational charts to illustrate how the key team members, office locations, and firms will function together and the reporting structure.
  - Indicate whether this type of work has been performed with this team and indicate the relationship of the firms (i.e. joint venture, prime, etc.)
  - Name projects where the team has worked together previously and list owner contact information

OR

If subconsultants and subcontractors are not yet known, list the type of subconsultants and subcontractors. In an organizational chart, illustrate how each type of subcontractor or subconsultants fits into the team. If not named, the Owner retains the right to approve subcontractors and subconsultants.

4. **Personnel Experience:** This section details the experience of specific personnel that the PDB entity intends to use on this project. Professional profiles or resumes must be submitted (maximum 2 pages per person; maximum 24 pages total) and indicate the office location and area of residence for each individual, and details regarding education and training, experience, and major projects at a minimum. Individual's participation on reference projects should be identified on the individual's resume and included in the Section – Experience of the PDB Entity. Resumes should be organized in order of management personnel, design personnel and construction personnel as follows:
  - a. *Management Personnel*
    - i. Project principal-in-charge

- ii. PDB entity project manager (must have previous project management experience on a design-build project)
  - iii. Design manager
  - iv. Construction manager
  - v. Quality control manager
- b. Design
    - i. Design lead for each technical discipline
  - c. Construction
    - i. Construction superintendent
    - ii. Construction safety supervisor
    - iii. Lead estimator

Short-listed applicants shall retain key members of their team (PDB entity project manager, design manager, project principal-in-charge, and construction manager) from the RFQ stage to the RFP stage. Failure to do so may affect scoring during the RFP evaluation. After the RFP stage and selection of the PDB entity, changes in PDB entity key members will require written approval of the Owner.

5. **Experience of the PDB Entity:** The experience of the entity in designing and building WWTPs, and permitting with various regulatory authorities should be submitted. List 5 projects (limit 2 pages per project) completed in the past 10 years.
- a. All projects must be publicly owned wastewater or water treatment plant projects
  - b. At least one project must be a wastewater treatment plant
  - c. At least three projects must be progressive design build
  - d. At least one project must have a completed value of at least \$80M
  - e. At least one project must have a completed value of at least \$40M, but less than \$80M
  - f. At least three of the projects must be in the southeastern United States
  - g. At least one project must be located in South Carolina

For each of the projects, provide the following information

- Project name
  - Detailed description of the project, including delivery method used (construction manager at risk, PDB, fixed-price design build, or traditional design-bid-build) and list of major subconsultants and/or subcontractors)
  - Identify if the design and construction was performed by one entity, or a collaboration of two or more entities. If two or more entities executed the project, indicate which entity was the lead entity.
  - Date completed and original duration of the contract
  - Owner's name, contact name, telephone number, and email address
  - Architect/engineer's name, contact name, and telephone number
  - Applicant's project manager and superintendent names
  - Initial contract price (value at award) and final project price, including the number and cost of all change orders
  - Percentage of the work self-performed and type of work self-performed.
  - Description of project control systems (safety, quality, etc.)
  - Approach to the allocation of shared savings, if applicable
6. **References:** Provide the owner contact information for on-going projects. This section requires three (3) owner references for on-going projects similar in nature to this project and the telephone number of at least three (3) references familiar with the quality of work done by the PDB entity of similar nature as contained in the above-referenced Scope of Work. By submission

of the references, you are authorizing in the City or their representative to contact these references. The following information should be included for each reference:

- a. Project name
  - b. Indicate project delivery method
  - c. Name of responsible individual
  - d. Individual's title and functional duties on the project
  - e. Current address, mailing and email
  - f. Current telephone number
7. **Bonding Company Surety Letter:** A surety letter from the PDB entity's bonding company must be submitted indicating the PDB entity's project bonding limit capacity. The PDB entity will be required to provide 100% performance and payment bonds in the amount of the entire contract at the time of each agreement amendment after the GMP has been accepted by the Owner. PDB entity will be required to provide errors and omission coverage during design, and to provide fire, extended coverage, vandalism and malicious mischief insurance equal to the actual value of the insured property during construction.
8. **Standard Qualification Forms for Design and Construction:** The Application for Prequalifications (Appendix A) shall be included in the submittal. This application compiles contract information regarding the applicant's principal office and organization, the applicant's surety and predominant insurance provider, and the applicant's primary bank and/or financier. It requests information regarding ownership of the applicant's organization and addresses business references. The financial statement of the PDB entity (if a joint venture, statements are from each firm) audited by a Certified Public Accountant is also part of the application. The Owner's minimum requirements are as follows:
- a. The PDB entity, subcontractors and individuals must hold current licenses as required by the State of South Carolina to perform architectural and engineering services and contractor's license to perform the work. Licensing requirements for architects, contractors, engineers, and surveyors can be accessed at the following website location: <http://www.llr.state.sc.us/pol.asp>, along with current classification abbreviations and financial project limitations for general contractors and mechanical contractors in the state of South Carolina.
  - b. Safety record acceptable to the Owner
  - c. Previous experience with similar sized projects completed using a PDB process in the past 5 years.
  - d. No substantial litigation.
  - e. Demonstration of sound financial backing and management.
  - f. Signed affidavit.

## Submittal

Copies of the Statement of Qualifications shall be submitted as directed on the first page of this request. The applicant shall not change the wording of its submittal after the closing date and time, and no words or comments will be added to the submission unless requested by the Owner for the purpose of clarification. Margins shall not exceed 1-inch, and font size shall be no smaller than 11 point. Submittals are to be placed in a 1-inch, 3-ring binder. A copy of the cover page may be placed on the face of the binder. Clear, external binder pages and/or tabs should not be included. The Statement of Qualifications should be limited to pages (size 8.5"x11") printed front and back based on the page

allowances as described below, plus the Bonding Company Surety Letter and the Application for Prequalifications.

- 1 page – Coversheet
- 2 pages – Letter of Interest
- 3 pages – PDB Entity
- 24 pages – Personnel Experience
- 10 pages – Experience of the PDB Entity
- 2 page – References
- 42 pages on 21 sheets of paper** (printed front and back) max
- 1 page – Bonding Company Surety Letter
- 43 pages on 22 sheets of paper**
- Approximately 12 pages – Application for Prequalifications

**Selection Process**

*PDB entities shall have no contact regarding this project with City of Rock Hill elected or appointed officials, City of Rock Hill employees, or the Owner’s Representative during the RFQ/RFP process, except as otherwise stated in this RFQ. Any such contact will subject the PDB entity to immediate disqualification for consideration of this project.*

All questions regarding this RFQ must be directed in writing via email to the person listed on the first page of this request. All questions must be delivered no later than close of business on the date listed on the first page of this request. Questions received later than this date and prior to submittal of the RFQ may not be considered. Answers to questions will be directed to all participants that return a completed Receipt Confirmation Form (Appendix B). Any addendums or clarifications to the RFQ will be posted on the City’s website.

It is the intent of the City to appoint a selection committee to review the submitted Statements of Qualifications. The selection committee will review each qualification submittal and rank the submittal based on the criteria requirements specified in this RFQ. The City may invite firms for interviews, but this is not a required step in the RFQ selection process. At the conclusion of the interviews (if held), the selection committee will rank the firms based on the selection criteria and the interviews. The City will provide written notification to all entities that submitted qualifications, notifying the group of which entities were selected for the RFP process. At least three firms will be short-listed to complete the RFP process. From those that move forward with the RFP process, the City will provide written notification as to which entity was selected to complete the services. It is the City’s intent to pursue contract negotiations with the PDB entity selected.

A proposed schedule to follow the qualifications submittal is summarized in the table below. These dates are preliminary and subject to change prior to the NTP for final design and construction:

January 10, 2017 (Tuesday)	Notify Short-listed PDB Teams
January 24, 2017 (Tuesday)	Issue Request for Proposals
January 31, 2017 (Tuesday)	Conduct Pre-proposal Meeting and Site Visit
March 23, 2017 (Thursday)	PDB Proposals Due
March 29, 2017 (Wednesday)	Interview PBD Teams

April 24, 2017 (Monday)	Share Selection Committee Recommendation with City Council
April 25, 2017 (Tuesday)	Notify PDB Teams of the Selection
June 7, 2017 (Wednesday)	Complete Fee Negotiations for Pre-construction Services (i.e. engineering services to obtain GMP for Phase I)
June 12, 2017 (Monday)	Share Contract with City Council
June 13, 2017 (Tuesday)	Execute Contract
<b>June 13, 2017 (Tuesday)</b>	<b>Issue Notice-to-Proceed (NTP) for Pre-construction Services</b>
November 2017	Submit 30% design and cost estimates for all Phases
November 2017	Conduct 30% design workshop
November 2017	Issue NTP for 60% design and GMP for Phase I
March 2018	Submit 60% design for Phase I
March 2018	Conduct 60% design workshop for Phase I
April 2018	Submit GMP for 60% design of Phase I
<b>June 2018</b>	<b>Issue NTP for construction of Phase I</b>
February 2020	Refine/submit 30% design and cost estimate for remaining phases
March 2020	Conduct 30% design workshop
March 2020	Issue NTP for 60% design and GMP for Phase II
July 2020	Submit 60% design and GMP for Phase II
July 2020	Conduct 60% design workshop for Phase II
August 2020	Submit GMP for 60% design of Phase II
<b>October 2020</b>	<b>Issue NTP for construction of Phase II</b>
<b>June 2021</b>	<b>Complete Construction Phase I</b>
February 2022	Refine/submit 30% design and cost estimate for remaining phase
March 2022	Conduct 30% design workshop for Phase III
March 2022	Issue NTP for 60% design and GMP for Phase III
July 2022	Submit 60% design and GMP for Phase III
July 2022	Conduct 60% design workshop for Phase III
August 2022	Submit GMP for 60% design of Phase III
<b>October 2022</b>	<b>Issue NTP for construction of Phase III</b>
<b>October 2022</b>	<b>Complete Construction Phase II</b>
<b>October 2024</b>	<b>Complete Construction Phase III</b>

## General Information

### *Terms and Conditions*

The City reserves the right to reject any or all of the submittals received and to select the PDB entity that best serves the interest of the City. All submittals received shall be subject to public disclosure in accordance with public records laws in South Carolina.

### *Amendments*

The Owner reserves the right to amend this RFQ at any time at its sole discretion. Any amendments to the RFQ will be made in writing by the Owner and sent to all PDB entities who have completed and returned the Receipt Confirmation Form (Appendix B). This includes the right to cancel this RFQ at any time and/or to not proceed with the RFP.

### *Non-collusion Statement*

Any evidence of agreement or collusion among applicants and prospective applicants acting to illegally restrain freedom of competition by agreement or otherwise will render the Statement of Qualifications and proposals of such applicant void.

### *Applicant's Expenses*

Applicants are solely responsible for their own expenses in preparing a submission. The Owner will not be liable to any applicant for any claims, whether for costs or damages, incurred by the applicant during preparation of the submission; loss of anticipated profit in connection with the RFQ, RFP or any final contract; or any other matter whatsoever.

### *Acceptance of Responses*

This RFQ is not an agreement to purchase services or to enter into negotiations to conclude a contract. The Owner is not bound to enter into a contract with any applicant. Submissions will be assessed in light of the evaluation criteria, and the Owner is not bound to select or short-list any applicant. The Owner will be under no obligation to receive further information, whether written or oral, from any applicant.

Notice in writing to applicant that it has been identified as a short-listed proposer who will be invited to respond to the RFP will neither constitute a contract nor give the applicant any legal or equitable rights or privileges relative to the project, the RFQ, the RFP, or any contract.

### *Ownership of Responses*

All documents, including submissions, submitted to the Owner become the property of the City of Rock Hill and may be used in whole or in part at the City's discretion.

### *Confidentiality of Information*

Information pertaining to the project, obtained by the applicant as the result of participation in this RFQ and which is not otherwise already in the public domain, shall be confidential information and shall not be disclosed without the prior written consent of the Owner.

Applicants are solely responsible for knowledge of applicable laws, and ensuring compliance with the laws applicable to the collection and dissemination of information. If this RFQ requires applicants to provide Owner with personal information of employees who have been included as resources in response to the RFQ, applicants will ensure that they have obtained written consent from each of these employees before forwarding such personal information to the Owner. Such written consent will

specify that the personal information may be forwarded to the Owner for purposes of responding to the RFQ and use by the Owner for the purposes set out in the RFQ. The Owner may, at any time, request the Original consents or copies of the original consents from applicants, and upon such request, applicants will immediately supply such originals or copies to the Owner.

#### *City of Rock Hill Business License*

The successful contractor, prior to execution of the contract, must possess or obtain a City of Rock Hill Business License. Such license must be maintained throughout the duration of the contract. The fee for such license is based on the amount of the contract with the City if the contractor is not currently doing other business inside the City Limits. If the contractor is currently doing other business within the City limits of Rock Hill, and does not possess a business license, then the fee for the license is based on the total gross receipts from customers within the city's municipal limits. Contact City Business License Office at 803-329-7042 to determine the exact amount or to ask other pertinent questions regarding doing business in the City of Rock Hill.

#### *WMBE Statement*

It is the policy of the City of Rock Hill to provide minorities and women equal opportunity for participating in all aspects of the City's contracting and procurement programs, including but not limited to employment, construction projects, and lease agreements consistent with the laws of the State of South Carolina. It is further the policy of the City of Rock Hill to prohibit discrimination against any person or business in pursuit of these opportunities on the basis of race, color, national origin, religion, sex, age, handicap, or veteran status. It is further the policy of the City of Rock Hill to conduct its contracting and procurement programs so as to prevent such discrimination and to resolve any and all claims of such discrimination.

#### *Illegal Immigration Reform Act Compliance*

Company shall indemnify and hold City harmless from and against all liability, loss, damages or injury, and all costs and expenses (including attorneys' fees and costs of any suit related thereto), suffered or incurred by City, to the extent arising from Company's or its Contractors' negligent performance of the Services under this Agreement, intentional misconduct, negligent acts or omissions, or breach of any term, covenant, representation or warranty of this Agreement.

#### *Indemnification*

Company agrees to and shall indemnify and hold the City harmless from and against all liability, loss, damages or injury, and all costs and expenses (including attorneys' fees and costs of any suit related thereto), suffered or incurred by the City, arising from or related to Company's negligent performance under this Agreement.

#### *SRF Funding Requirements*

It is anticipated that a portion of this project may be funded through SRF. Submitters must comply with all applicable state and federal requirements identified in the RFQ and RFP documents and the SRF program, including compliance with Davis-Bacon Act minimum wage and reporting requirements and

with the “American Iron and Steel” provision and certify that all iron, steel and manufactured goods used in the project were produced in the United States, unless a waiver is granted by the EPA.



**Appendix B  
Receipt Confirmation Form**

**Progressive Design Build Services for  
Manchester Creek Wastewater Treatment Plant  
Upgrades and Expansion  
Rock Hill, South Carolina**

**Closing:** Tuesday, November 30, 2016 @ 2:00 pm, local time.

For any further distributed information about this Request for Qualifications, please return this form by e-mail as soon as possible and no later than Friday, November 11, 2016, to the following:

Tracy Smith  
Purchasing, Warehouse and Fleet Maintenance Manager  
[Tracy.Smith@cityofrockhill.com](mailto:Tracy.Smith@cityofrockhill.com)

<b>Company:</b>			
<b>Street Address:</b>			
<b>Mailing Address: (if different)</b>			
<b>Contact Person/Title:</b>			
<b>Telephone No.:</b>		<b>Fax No.:</b>	
<b>Email:</b>			

Any further correspondence about this Request for Qualifications will be sent to the email listed above.



## Appendix A Application for Prequalifications

### Progressive Design Build Services for Manchester Creek Wastewater Treatment Plant Upgrades and Expansion Rock Hill, South Carolina

<b>Submitted By</b>	
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Circle One:

A Corporation

A Partnership

A Joint Venture

An Individual

#### A. APPLICANT'S PRINCIPAL OFFICE AND ORGANIZATION

<b>Address:</b>			
<b>Contact Person/Title:</b>			
<b>Telephone No.:</b>		<b>Fax No.:</b>	
<b>Email:</b>			
<b>Company Website or URL:</b>			

If a *Corporation*, please provide the following:

<b>Date of Incorporation:</b>		<b>State of Incorporation:</b>	
<b>Chief Executive Officer:</b>			
<b>President:</b>			
<b>Vice President(s):</b>			
<b>Secretary:</b>			
<b>Treasurer:</b>			

If a *Partnership*, please provide the following:

Date of Organization:		General or Limited:	
Name/Address of each Partner:			

If a *Joint Venture*, please provide the following:

Date of Organization:	
Name/Address of each Joint Venture Partner:	

If an *Individual*, please provide the following:

Name and Business Address:	
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## B. APPLICANT'S SURETY AND PREDOMINANT INSURANCE PROVIDER

Surety Name:	
Current Rating by A.M. Best:	
Address:	
Contact Person/Title:	
Telephone No.:	
Email:	

Insurance Company Name:	
Current Rating by A.M. Best:	
Address:	
Contact Person/Title:	
Telephone No.:	
Email:	

## C. APPLICANT'S PRIMARY BANK

Bank Name:	
Address:	
Account Manager:	
Telephone No.:	
Email:	

Company Website or URL:	
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#### D. APPLICANT'S GENERAL INFORMATION

List all companies, firms or organizations that own any part of the Applicant's organization:	
Identify all individuals and their positions, not previously named, who exert a significant amount of business control over the Applicant's organization:	
License Number:	
Years in business under license number (if nonresident, attach proof of authority to do business in South Carolina):	
List other businesses in which Applicant actively participates:	
Approximate number of permanent employees:	
Approximate bonding capacity (US \$):	
Approximate value of work currently under contract (US \$):	
What type of scheduling techniques/software does Applicant use, and for how long?	
Is Applicant an equal employment opportunity employer?	Circle one: Yes No
Does the Applicant have a written drug policy?	Circle one: Yes No
<i>If yes, describe:</i>	
Does the Applicant have a written Quality Assurance/ Quality Control program?	Circle one: Yes No

<i>If yes, describe:</i>	
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**E. APPLICANT'S BUSINESS REFERENCES**

<b>Architect/Engineer Name:</b>	
<b>Address:</b>	
<b>Contact Person/Title:</b>	
<b>Telephone No.:</b>	
<b>Email:</b>	
<b>Company Website or URL:</b>	

<b>Architect/Engineer Name:</b>	
<b>Address:</b>	
<b>Contact Person/Title:</b>	
<b>Telephone No.:</b>	
<b>Email:</b>	
<b>Company Website or URL:</b>	

<b>Project Owner Name:</b>	
<b>Address:</b>	
<b>Contact Person/Title:</b>	
<b>Telephone No.:</b>	
<b>Email:</b>	
<b>Company Website or URL:</b>	

<b>Project Owner Name:</b>	
<b>Address:</b>	
<b>Contact Person/Title:</b>	
<b>Telephone No.:</b>	
<b>Email:</b>	
<b>Company Website or URL:</b>	

<b>Project Owner Name:</b>	
<b>Address:</b>	
<b>Contact Person/Title:</b>	
<b>Telephone No.:</b>	
<b>Email:</b>	
<b>Company Website or URL:</b>	

## F. APPLICANT'S SAFETY QUESTIONNAIRE

Experience Modification Rate (EMR) for the 3 most recent years:

<b>Year 1:</b>		<b>Rate:</b>	
<b>Year 2:</b>		<b>Rate:</b>	
<b>Year 3:</b>		<b>Rate:</b>	

Lost Time Incident Rate (LTIR) for the 3 most recent years:

<b>Year 1:</b>		<b>Rate:</b>	
<b>Year 2:</b>		<b>Rate:</b>	
<b>Year 3:</b>		<b>Rate:</b>	

Demonstrate, in the following table, which internal departments have responsibility for maintaining Applicant's safety records/accident summaries, and the update schedule:

	No	Yes	Annually	Monthly	Weekly
<b>Safety Department</b>					
<b>Personnel</b>					
<b>Quality Control Office</b>					
<b>Insurance Group</b>					
<b>Other</b>					

How often are field projects (OSHA 200) and accident reports/summaries sent to the following:

	Annually	Monthly	Weekly
<b>Firm President</b>			
<b>Safety Director</b>			

Accident records/incident summaries are totaled by:

	No	Yes	Annually	Monthly	Weekly
<b>Entire Firm</b>					
<b>Project</b>					
<b>Supervisor</b>					
<b>Foreman</b>					

Accident /incident costs are totaled by:

	No	Yes	Annually	Monthly	Weekly
<b>Entire Firm</b>					
<b>Project</b>					
<b>Supervisor</b>					
<b>Foreman</b>					

Does the Applicant have an ongoing training program for the following?

	Yes	No
Hazardous Communication		
Electrical Safety		
Fire Protection		
Emergency Aid Procedures		
Emergency Procedures		
New Worker Orientation		
Confined Space Entry		
Proper Use of Personal Protection Equipment (PPE)		
Rigging and Crane Safety		
Trench Safety		

## G. APPLICANT'S FINANCIAL STATEMENT

Certified Financial Statements may be submitted in lieu of preparation of this special financial statement, if all requested information is contained in the statement.

*Note:* Complete the following information or attach the last balance sheet that covers a 12-month period that has been audited by a Certified Public Accountant (CPA).

Condition at close of business \_\_\_\_\_, 20\_\_\_\_ (date)

### Assets

**Current Assets** (US dollars):

Cash:	
Notes Receivable:	
Accounts receivable from completed contracts, exclusive of claims not approved for payment:	
Sums earned on uncompleted contracts as shown by architect/ engineer's estimate:	
Materials in stock not included in previous item:	
Deposits for bids or other guarantees:	
Accounts receivable from owners or employees:	
Interest accrued on loans, securities, etc.:	
Negotiable securities, stocks, bonds, etc.:	
<b>Total Current Assets:</b>	

**Fixed Assets** (US dollars):

<b>Real Estate:</b>	
<b>Construction plant and equipment, book value:</b>	
<b>Furniture and fixtures, book value:</b>	
<b>Other Assets:</b>	
<b><i>Total Fixed Assets:</i></b>	

***Liabilities and Capital***

***Current Liabilities*** (US dollars):

<b>Notes payable (exclusive of equipment obligations):</b>	
<b>Accounts payable:</b>	
<b>Payroll and related payable:</b>	
<b>Notes or accounts payable to owners or employees:</b>	
<b><i>Total Current Liabilities:</i></b>	

***Fixed or Secured Liabilities*** (US dollars):

<b>Real Estate Encumbrances:</b>	
<b>Equipment Obligations secured by equipment:</b>	
<b><i>Total Fixed or Secured Liabilities:</i></b>	

***Liabilities and Capital*** (US dollars):

<b>Other Liabilities:</b>	
<b>Reserves:</b>	
<b>Capital stock paid up:</b>	
<b>Surplus (net worth):</b>	
<b><i>Total Liabilities and Capital:</i></b>	

***Contingent Liabilities*** (US dollars):

<b>Liabilities on notes receivable, discounted, or sold:</b>	
<b>Liabilities on accounts receivable, pledged, assigned or sold:</b>	
<b>Liabilities on bondsman:</b>	
<b>Liabilities on guarantor on contracts or on accounts of others:</b>	
<b>Other contingent liabilities</b>	
<b><i>Total Contingent Liabilities:</i></b>	

The undersigned hereby declares that the foregoing statements are true and that the foregoing financial statement is a true and accurate statement of the financial condition of said firm.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_ .

Signed: \_\_\_\_\_  
(Applicant Representative)

Name: \_\_\_\_\_  
Title: \_\_\_\_\_

I have examined the financial records of the Applicant for the period listed herein, and in my opinion, the statements present fairly the financial position of the Applicant at that date. In addition, I have no personal financial interest or affiliation with the Applicant or any of its principal individuals.

Dated this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_ .

Signed: \_\_\_\_\_  
(Certified Public Accountant)

Name: \_\_\_\_\_  
Title: \_\_\_\_\_

Accountant Attachments:

List all attached documents. Attach completed affidavit(s) as appropriate for Applicant organization.


Supplements:

The supplements listed below and attached following End of Section are part of this document:

- Affidavit for Corporation
- Affidavit for Partnership
- Joint Venture Statement of Intent
- Affidavit for Individual

**End of Section**

## Affidavit for Corporation

State of: \_\_\_\_\_

County of: \_\_\_\_\_

Full Corporate Name: \_\_\_\_\_  
(Attach corporate seal)

I, being duly sworn, depose and say that I am a member of the firm listed above, described herein, and which executed the foregoing financial statement, that I am familiar with the books of said corporation showing its financial condition; that the foregoing financial statement, taken from the books of said corporation, is a true and accurate statement of the financial condition as of the date thereof, and that the statements and answers to the interrogatories of the equipment questionnaire are correct and true as of the date of this affidavit; and that the statements and answers to the interrogatories of the foregoing Application for Prequalification are correct and true as of the date of this affidavit.

Signed: \_\_\_\_\_  
(Officer Signature)

Printed Name: \_\_\_\_\_

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_ .

Signed: \_\_\_\_\_  
(Notary Public)

Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

My Commission Expires: \_\_\_\_\_

## Affidavit for Partnership

State of: \_\_\_\_\_

County of: \_\_\_\_\_

Full Corporate Name: \_\_\_\_\_  
(Attach corporate seal)

I, being duly sworn, depose and say that I am a member of the firm listed above, and that the foregoing financial statement, taken from the books of said firm, is a true and accurate statement of the financial condition as of the date thereof, and that the statements and answers to the interrogatories of the equipment questionnaire are correct and true as of the date of this affidavit; and that the statements and answers to the interrogatories of the foregoing Application for Prequalification are correct and true as of the date of this affidavit.

Signed: \_\_\_\_\_  
(Partner Signature)

Printed Name: \_\_\_\_\_

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_ .

Signed: \_\_\_\_\_  
(Notary Public)

Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

My Commission Expires: \_\_\_\_\_

## Joint Venture Statement of Intent

We, the undersigned, do hereby give notice of our intent to bid as a joint venture on the "Progressive Design Build Services for Manchester Creek Wastewater Treatment Plant Upgrades and Expansion, Rock Hill, South Carolina" project.

**Firm 1:**

Full Corporate Name: \_\_\_\_\_  
*(Attach corporate seal, if by a corporation)*

Signed: \_\_\_\_\_  
*(Partner Signature)*

Printed Name: \_\_\_\_\_

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_ .

Signed: \_\_\_\_\_  
*(Notary Public)*

Name: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

My Commission Expires: \_\_\_\_\_

**Firm 2:**

Full Corporate Name: \_\_\_\_\_  
*(Attach corporate seal, if by a corporation)*

Signed: \_\_\_\_\_  
*(Partner Signature)*

Printed Name: \_\_\_\_\_

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_ .

Signed: \_\_\_\_\_  
*(Notary Public)*

Name: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

My Commission Expires: \_\_\_\_\_

## Affidavit for Individual

State of: \_\_\_\_\_

County of: \_\_\_\_\_

I, being duly sworn, depose and say that the foregoing financial statement, taken from my books, is a true and accurate statement of my financial condition as of the date thereof, and that the answers to the interrogatories contained therein are true; that the statements and answers to the interrogatories of the equipment questionnaire are correct and true as of the date of this affidavit; and that the statements and answers to the interrogatories of the foregoing Application for Prequalification are correct and true as of the date of this affidavit.

Signed: \_\_\_\_\_  
(Applicant)

Printed Name: \_\_\_\_\_

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_\_.

Signed: \_\_\_\_\_  
(Notary Public)

Name: \_\_\_\_\_

Address: \_\_\_\_\_

My Commission Expires: \_\_\_\_\_