

**CITY OF RICHMOND
DEPARTMENT OF PROCUREMENT SERVICES
RICHMOND, VIRGINIA
(804) 646-5716
February 25, 2015**



Request for Qualification J15-022515
Byrd Park Reservoir Cover Replacement – Design/Build Project

Due Date: March 25, 2015
Time: 3:30P.M.

Receipt Location: City Hall, 900 East Broad Street, 11th floor, Room 1104

Request for Qualifications Prepared by:

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City of Richmond, Department of Procurement Services

900 East Broad Street, Room 1104, Richmond, VA 23219

<http://www.richmondgov.com/Procurement/BidsProposals.aspx>

RFQ Form dated 01-11-2012

Signature Sheet

My signature certifies that the qualifications as submitted comply with all Terms and Conditions as set forth in RFQ J15-022515 – Byrd Park Reservoir Cover Replacement – Design/Build Project.

My signature also certifies that this firm has no business or personal relationships with any other companies or persons that could be considered as a conflict of interest or potential conflict of interest to the City of Richmond, and that there are no principals, officers, agents, employees, or representatives of this firm that have any business or personal relationships with any other companies or persons that could be considered as a conflict of interest or a potential conflict of interest to the City of Richmond, pertaining to any and all work or services to be performed as a result of this request and any resulting contract with the City of Richmond.

I hereby certify that I am authorized to sign as a Representative for the Firm:

Complete Legal Name of Firm: _____

Order from Address: _____

Remit to Address _____

Fed ID No.:

***Virginia License Number** _____

Dun & Bradstreet _____

D-U-N-S Number _____

Signature: _____

Name (type/print): _____

Title: _____

Telephone: (____) _____ **Fax No.:** (____) _____

EMAIL: _____

Date: _____

PROPRIETARY INFORMATION (See section 2.11)

To receive consideration for prequalification, this signature sheet must be returned to the Department of Procurement Services, as it will be a part of the Applicant’s response.

* Please note that state law requires most business entities to register with the Commonwealth of Virginia’s State Corporation Commission to obtain legal authorization to transact business in Virginia. A contractor organized as a stock or nonstock corporation, limited liability company, business trust, or limited partnership or registered as a registered limited liability partnership shall be authorized to transact business in the Commonwealth as a domestic or foreign business entity if so required by Title 13.1 or Title 50 of the Code of Virginia or as otherwise required by law. Any business entity described above that enters into a contract with the City shall not allow its existence to lapse or its certificate of authority or registration to transact business in the Commonwealth, if so required under Title 13.1 or Title 50, to be revoked or cancelled at any time during the term of the contract. The City may void any contract with a business entity if the business entity fails to remain in compliance with this provision.

**CITY OF RICHMOND, VIRGINIA
DEPARTMENT OF PROCUREMENT SERVICES**

REQUEST FOR QUALIFICATIONS

1.0 Overview.

1.1 Purpose of Request for Qualifications. The purpose of this Request for Qualifications is to obtain from Applicants (as defined below) their Qualification Statements (as defined below) so that the City may establish a list of offerors eligible to submit proposals for the design and construction of the City’s Byrd Park Reservoir cover replacement.

1.2 Definitions. The following terms, when used in this Request for Qualifications, have the meanings ascribed to them in this section 1.2, unless the context clearly indicates that a different meaning is intended.

1.2.1 Applicant. “Applicant” means the entity (including all general partners or joint venture members thereof and all individuals, persons, proprietorships, partnerships, limited liability partnerships, corporations, professional corporations, limited liability companies, business associations, or other legal entities however organized, holding a 15% or greater interest therein) that submits a Qualification Statement in response to this Request for Qualifications, seeks to be prequalified and shortlisted by the City as an Eligible Offeror to respond to a Request for Proposals, and seeks to be awarded the Contract for the Project.

1.2.2 Applicant’s Team. “Applicant’s Team” means collectively the Applicant, the Lead Contractors, the Lead Designers, and the Other Named Members identified in the Qualification Statement.

1.2.3 Contracting Officer. “Contracting Officer” means the person identified as the preparer of this Request for Qualifications on the cover sheet of this Request for Qualifications.

1.2.4 Eligible Offeror. “Eligible Offeror” means the two to five Applicants which the City has shortlisted as described in section 1.3.1 (“Step One”) of this Request for Qualifications and which are the only Applicants eligible to receive the Request for Proposals for the Project.

1.2.5 Key Personnel. “Key Personnel” means those personnel positions listed in section 3.6.3 (“Proposed Key Personnel, Functions and References”) of the Request for Qualifications whose positions must be made a part of and filled on the Applicant’s Team.

1.2.6 Lead Contractor. “Lead Contractor” means a member of the Applicant’s Team, whether a joint venture, limited liability company or other legal entity, having primary responsibility for construction services for the entire Project, or a major portion of the Project.

- 1.2.7 **Lead Designer.** “Lead Designer” means a member of the Applicant’s Team having primary responsibility for engineering and design services for the entire Project, or a major portion of the Project.
- 1.2.8. **Major Participant.** “Major Participant” means any of the Applicant, any Lead Contractor, and any Lead Designer.
- 1.2.9 **Other Named Member.** “Other Named Member” means an entity identified in the Qualification Statement and included on the Applicant’s Team that will perform specialized engineering, design, permitting, construction, testing, commissioning or related services required for the Project.
- 1.2.10 **Project.** “Project” means the City’s Byrd Park Reservoir cover replacement as generally described in this Request for Qualifications.
- 1.3 **Two-Step Process.** The City will employ a two-step procurement procedure for selection and award of a contract for a contractor for design-build services for the Project as follows:
- 1.3.1 **Step One.** Step One includes the submission and evaluation of Qualification Statements pursuant to this Request for Qualifications to determine those prospective offerors with capabilities and programs that meet the minimum requirements for this Project. The City will conduct the prequalification as required by City Code § 74-50(g) (which is substantially similar to Va. Code § 2.2-4317(B)). The City reserves the right to shortlist the prequalified Applicants by selecting two to five of the highest scoring prequalified Applicants to receive Request for Proposals for the Project. Only Eligible Offerors will receive the Request for Proposals.
- 1.3.2 **Step Two.** Step Two includes the solicitation of proposals from the Eligible Offerors determined in Step One. If an Applicant is not prequalified and shortlisted in Step One, the Applicant will not be allowed to submit a proposal for this Project. The City will award a contract in accordance with the requirements of City Code § 74-48 and the criteria outlined in the Request for Proposals based on the evaluation of proposals received.
- 1.4 **Background.** The Byrd Park Reservoir provides water storage for the City of Richmond’s drinking water system and functions as an extension of the Richmond Water Treatment Plant to provide storage capacity to equalize plant operation, equalize distribution system hourly demands, and provide fire reserve storage and emergency reserve storage for the entire system. The Reservoir is located adjacent to a residential area in Byrd Park. The 53 MGD reservoir was originally constructed in 1876 as an open-air reservoir and comprises two separate reservoir cells. Around 1971, a precast concrete cover or roof structure was installed over the Reservoir. A 2011 inspection report indicates that the cover is in poor condition with increasing deterioration. The Reservoir cover is still performing its intended function with no total or partially collapsed areas,

however, significant change in condition since 2006 indicate that deterioration is progressing at a faster rate making the cover close to the end of its effective life. Replacement of the roof system is required.

1.5 **Project Description.** The City intends to enter into a design-build contract with a contractor for the replacement of the Reservoir cover and construction of other related water system improvements.

1.5.1 **Cover Replacement.** A 2012 Preliminary Engineering Report recommends replacing the existing pre-cast roof structure with a triangular aluminum flat roof. Currently, this is the City's preferred covering system which requires manufacturing by a third-party supplier. The City may consider other roof covering systems if such system is proven to meet the City's performance and aesthetic requirements. Notwithstanding the same, the City has determined that the following are not acceptable alternatives and will not be considered in respect to a cover replacement:

- A. Roof structure repair
- B. Floating flexible membrane covers
- C. Fabric roof system
- D. Aluminum geodesic dome
- E. Tank systems

The selected contractor will be responsible for selecting the manufacturer of the covering system and as such be required to work with the roof system supplier to develop and define the design and construction elements specific to the Reservoir. The performance requirements and specifications for the cover replacement and other additional improvements will be addressed in the Request for Proposals.

1.5.2. **Other Improvements.** The Reservoir facility is also in need of other improvements, repairs and rehabilitation to improve water quality, operations, maintenance and overall roof system reliability. The 2012 Preliminary Engineering Report recommends the following additional improvements:

- A. Enlarge and replace the sluice gates in the reservoir outlet wells
- B. Upgrade the reservoir overflow system to handle greater flows
- C. Construct interior reservoir baffle walls
- D. Improve reservoir access
- E. Install ventilation system compatible with new roof

- F. Install reservoir level monitors
- G. Replace intake and discharge valve
- H. Enhance facility security
- I. Replace access stairs from Trafford pump station

1.5.3 **Project Design Status.** The City has developed a preliminary engineering report for the Project which will be made available to the Eligible Offerors. The selected contractor will be required to complete the cover design in coordination with the third-party vendor.

1.5.4 **Geotechnical Investigation.** A limited geotechnical investigation was conducted in 2005 by Virginia Geotechnical Services and will be made available to the Eligible Offerors for their consideration. The Reservoir site will not be available during the procurement for any additional geotechnical investigations by Applicants or Eligible Offerors.

1.5.5 **Permitting and Third-Party Approvals.** The contractor may be required to obtain all federal, state and City of Richmond permits and approvals, including, but not limited to, standard building permits, stormwater permits, E/S permits, traffic plans and zoning approvals, as well as a Virginia Department of Health construction permit, preliminary engineering report approval and Planning Commission and Urban Design Committee (“UDC”) approvals.

1.5.6 **Project Complexities.** The Applicant must demonstrate, at a minimum, its ability to address the complexities of the Project, which include:

- A. The water quality will have to be protected during removal of the existing roof and the integrity of the existing roof is diminished.
- B. The design and manufacturing by the cover system vendor will need to be coordinated with separate structural improvements to the basin and tailored to that specific cover system design, including hatches and ventilation systems.
- C. The water system requires continuous use of one cell of the Reservoir at all times.
- D. The Reservoir is located in a city park which must remain open to the public. Construction activities and schedules must be developed in consideration of and in coordination with park activities and the requirements of the Department of Parks, Recreation and Community Facilities.
- E. The Reservoir is also adjacent to a residential neighborhood and access to the facility is through residential streets potentially limiting haul loads, truck size, construction

work hours and activities, such as removal, work sequencing and construction methods.

F. The Reservoir premises must remain secure at all times.

G. Due to the Project's complexities, the selected contractor must develop and submit an emergency operations plan, consistent with the City's Emergency Operations Plan, for the Byrd Park Reservoir.

1.6 **Estimated Project Budget.** The estimated contractor cost for the Project is between \$18 and \$24 million.

1.7 **Project Goals.** The goals of this Project are to:

A. Design and construct a new, more reliable Reservoir cover system with a minimum life expectancy of 50 years.

B. Minimize impact to the water quality and on-going operations of the facility during design and construction of the cover system and related improvements.

C. Design and construct the Project to meet and maintain safety needs of operating and maintenance personnel.

D. Maintain continuous operations of the facility.

E. Improve overall water quality and operations, maintenance and system reliability.

F. Complete the Project on schedule and as required by the specifications and performance requirements.

1.8 **Contractor Responsibilities.** The selected contractor will be responsible for delivering the Project, including the securing of all regulatory approvals and the coordination and sequencing of the work in consideration of the Project goals and complexities as generally described herein and in strict accordance with the performance requirements, schedule, specifications, and other terms and conditions of the Request for Proposals and the awarded contract.

2.0 **General Instructions.**

2.1 **Incorporation of City Laws, Policies and Procedures.** This Request for Qualifications is subject to the provisions of Chapter 74 of the City Code, as amended, and the Policies and Procedures of the Department of Procurement Services, as amended, which are hereby expressly incorporated into this Request for Qualifications by reference. Applicants may inspect copies of these documents at the City's website, <http://www.richmondgov.com/Procurement/index.aspx>.

2.2 **Procurement Schedule.** The City anticipates carrying out this procurement process in accordance with the following schedule:

ACTIVITY	DATE
Issue Request for Qualifications	February 25, 2015
Project Information Meeting and Site Visit	March 9, 2015 at 10:00 a.m. located at City Hall, 900 E. Broad Street, 11 th Floor, Room 1104, Richmond, VA 23219
Second Site Visit	TBD
Document Review	March 12, 2015 at 10:00 a.m. located at the Department of Public Utilities Operation Center, 400 Jefferson Davis Highway Richmond, VA 23224
Deadline for questions regarding the Request for Qualifications	March 15, 2015
Questions relating to any addendum issued after the deadline specified above	Three business days after the addendum is issued (but no later than the QS Due Date)
Qualifications Statement Due Date	March 25, 2015
Notification of Prequalified Applicants and Eligible Offerors	April 14, 2015
Qualification Statement	April 23, 2015
Anticipated Issue Request for Proposals	May 3, 2015
Anticipated Proposal Due Date	June 23, 2015
Anticipated Contract Award	September 2015
Anticipated Issuance of Notice to Proceed	October 2015

This schedule is subject to modification at the sole discretion of the City. Any change by an addendum to this Request for Qualifications will be posted to the City’s Department of Procurement Services website. The City intends to issue the Request for Proposals in May 2015 to the Eligible Offerors only and anticipates awarding and executing the contract for the Project in September 2015.

2.3 **Explanations to Applicants.**

2.3.1 **Inquiry.** All inquiries requesting clarification of this Request for Qualifications should be made in writing no later than 10 business days prior to the date set for receipt of Qualification Statements to the Contracting Officer. If submitting an inquiry by facsimile transmission or electronic mail, the Applicant should notify the Contracting Officer by telephone that the Applicant is faxing or e-mailing the inquiry. All inquiries should clearly state the number of this Request for Qualifications. Because each Applicant may have different needs for information, that Applicant must make whatever inquiries it deems necessary in order to respond to the Request for Qualifications. Inquiries that the Contracting Officer determines to be pertinent to all solicited Applicants will be answered by addenda to all Applicants known to have received this Request for Qualifications.

2.3.2 **Form of Explanation.** No oral explanation in regard to the meaning of this Request for Qualifications will be made and no oral instructions will be given before the determinations of prequalification. Any explanation, interpretation or modification of the Request for Qualifications that is pertinent to all Applicants will be made only by an addendum duly issued by the City, a copy of which will be transmitted to each Applicant known to have received the Request for Qualifications. The City shall not be responsible for any other explanations or interpretations anyone presumes to make on behalf of the City before the expiration of the ultimate time set for the receipt of Qualification Statements.

2.3.3 **Addenda.** From time to time, addenda may be issued that will provide clarifications or supplemental information about the Request for Qualifications documents. All Applicants receiving Request for Qualifications documents issued by the City will be provided copies of addenda. All addenda will become a part of this Request for Qualifications at the time the City issues each such addendum. The Applicant shall be solely responsible for verifying the existence of and complying with all addenda items.

2.3.4 **Project Information Meeting.** The City will hold a project information meeting for potential Applicants on the date and time set forth in section 2.2 (“Procurement Schedule”) above at City Hall, 900 E. Broad Street, 11th Floor, Room 1104. All Applicants are encouraged, but not required, to attend to learn more information about the Project and this design-build procurement process. There will be a site visit subsequent to this meeting. No information or responses to inquiries provided at the meeting should be considered final or authoritative unless and until added by addenda to this Request for Qualifications.

Attendees should arrive at least 30 minutes prior to the start time of the meeting to allow time for check-in.

2.3.5 **Site Visit.** Because the Reservoir is in use, Applicants will not have access to the internal aspects of the Reservoir system. Applicants will have only one opportunity to visit the external aspects of the Reservoir system. The City may offer, at its sole discretion, a second site visit which will be available only to those Applicants who could not attend the first site visit. The City will issue an addendum setting forth the time, date and conditions of the second site visit, if a second site visit will be offered.

2.3.6 **Document Reviews.** Applicants will have an opportunity to review publicly available documents related to the Reservoir. The documents will be made available at the Department of Public Utilities Operation Center, 400 Jefferson Davis Highway, Richmond, VA 23224 on March 12, 2015 between 10:00 a.m. and 2:00 p.m.

2.4 **No Contact Policy.** Any contact with any City representative concerning this Request for Qualifications other than that outlined in section 2.3 (“Explanations to Applicants”) above is prohibited. The City has retained a professional advisory firm to provide guidance in

preparing and evaluating this Request for Qualifications and the Request for Proposals, and to advise on related contractual and technical matters. Individuals from those professional advisory firms who are working on this Project serve as City representatives and are subject to the no contact policy. The professional advisory firms on this Project are Jacobs Engineering Group Inc. and Greeley & Hansen.

- 2.5 **No Liability for Costs.** The City shall not be liable for any costs incurred by the Applicant or any other person in connection with the preparation or submission of Qualification Statements or any other materials pursuant to this Request for Qualifications.
- 2.6 **Accuracy and Completeness.** By signing and submitting a Qualification Statement pursuant to this Request for Qualifications, the Applicant represents that the information contained in such Qualification Statement is true, accurate and complete at the time of submission and warrants that such information will remain true, accurate and complete throughout the life of the prequalification process, the procurement process and any contract awarded to the Applicant pursuant thereto.
- 2.7 **Notification of Changes.** By signing and submitting a Qualification Statement pursuant to this Request for Qualifications, the Applicant acknowledges that the Applicant is solely responsible for notifying the Contract Specialist in writing immediately of any changes in the information contained in the Qualification Statement. If the City finds that the Applicant has failed to so notify the Contract Specialist, the Applicant shall be deemed to have failed to provide to the City in a timely manner information requested by the City, and such failure shall constitute sufficient grounds for the City to deny prequalification to such Applicant pursuant to City Code § 74-50(g)(7).
- 2.8 **Misrepresentation.**
- A. If the City finds that the Applicant has knowingly misrepresented any information the Applicant submits to the City, the Applicant shall be deemed to have failed to provide to the City in a timely manner information requested by the City, and such failure shall constitute sufficient grounds for the City to deny prequalification to such Applicant pursuant to City Code § 74-50(g)(7).
 - B. By issuing this Request for Qualifications, the City intends that MBE/ESB participation proposed as a part of the Qualification Statement will be binding on the Applicant if and when the City awards a contract to the Applicant. If the City finds that the Applicant has knowingly misrepresented proposed MBE/ESB participation submitted with the Applicant's Qualification Statement, the Applicant shall be deemed to have failed to make or propose to make Good Faith Efforts as required by City Code § 74-50(b), and such failure shall constitute sufficient grounds for the City to deny prequalification to such Applicant pursuant to City Code § 74-50(g)(8).
- 2.9 **MBE/ESB Participation.**

- 2.9.1 **Policy.** It is the policy of the City of Richmond to increase the number of Minority Business Enterprises (“MBEs”) and Emerging Small Businesses (“ESBs”) (together, “MBE/ESB contractors” or “MBE/ESB subcontractors”) who participate meaningfully in all City construction contracts. To this end, the City encourages all prime contractors to use good faith efforts to increase the participation of MBE/ESB subcontractors to the highest level that is reasonably achievable for any particular field of contracting.
- 2.9.2 **Meaning of “Good Faith Efforts.”** Good faith efforts include, but are not limited to, (i) meeting the MBE/ESB participation goal set for the Project; (ii) entering into joint venture arrangements or mentor-protégé relationships with MBE/ESB contractors, or any verifiable efforts that contribute to the growth and development of MBE/ESB contractors in the construction industry; and (iii) ensuring that subcontractors make good faith efforts in lower tier subcontracting. Ways to document evidence of good faith efforts include:
- A. Describing efforts to target identified divisions of work identified in the specifications.
 - B. Explaining why other divisions of work were not suitable for subcontracting.
 - C. Attending the pre-bid meeting.
 - D. Sending or faxing letters to all MBE/ESB contractors at the pre-bid meeting as well as those on the list provided by staff not less than seven days prior to the deadline for the submission of Qualification Statements.
 - E. Providing a telephone log of follow-up phone calls made to MBE/ESB contractors concerning the Project, including dates and times of calls, names of individuals placing and receiving calls and results of the calls.
 - F. Providing a written statement indicating good faith negotiations with any competitive MBE/ESB bids and specifically identifying the MBE/ESB subcontractors.
 - G. Including a complete list of all MBE/ESB bids received, noting name, address and bid amount.
 - H. Providing all reasons for rejected bids.
 - I. Stating whether any bonding requirement was waived and, if not, why.
- 2.9.3 **Project Goal.** The City continues to incorporate inclusive procurement diversity practices into an economic policy. As such, the staff takes special care to identify MBE/ESB contractors within the context of the nature and scope of each project and to assess potential MBE/ESB availability in Richmond’s geographic market area. After careful review of the project requirements and the availability of potential contractors, the proposed goal for the Project is **fifteen percent (15%)**. The City may change the goal established for this Project prior to the deadline for submission of proposals under Step Two of this procurement process.
- 2.9.4 **Assistance in Meeting Goals.** The Office of Minority Business Development will work to support the efforts of all Applicants seeking to meet the City’s goals for MBE/ESB participation. A listing of MBEs and ESBs in the Richmond-Petersburg Metropolitan

Statistical Area is available on the City's website (<http://www.richmondgov.com/MinorityBusinessDevelopment/index.aspx>). Applicants should contact the Contracting Officer with any questions or comments regarding the proposed MBE/ESB goal for the Project.

2.10 **Submission.**

- A. Qualification Statements must be received and time-stamped at the offices of the Department of Procurement Services no later than 3:30 p.m. Eastern Time on March 25, 2015. The City will not accept late Qualification Statements. Qualification Statements received after the time and date set forth in this section will be returned unopened at the Applicant's expense.
- B. The Applicant must submit an original (marked as such) and seven copies of the Applicant's Qualification Statement signed by the Applicant's contractually binding authority. Failure to comply with any submission requirements may result in denial of prequalification.
- C. The Applicant must submit its Qualification Statement in a sealed container with a label on the outside showing the following information:
 - 1. Qualification Statement for: Byrd Park Reservoir Cover Replacement – Design/Build Project
 - 2. Name of Applicant
 - 3. Address of Applicant
 - 4. RFQ No. J15-022515
 - 5. Receipt and Closing Date: March 25, 2015 at 3:30 p.m. ET
- D. All Qualification Statements must be addressed and delivered by the date and time specified on the cover sheet of this Request for Qualifications to the Contracting Officer.

- 2.10.1 **One Submission Per Applicant.** No Applicant may submit more than one Qualification Statement for this Project. If more than one Qualification Statement is submitted by an individual, partnership, corporation, or any party of a joint venture, then all Qualification Statements submitted by that individual, partnership, corporation or joint venture shall be disqualified. If more than one Qualification Statement is submitted by an affiliate or subsidiary company of an individual, partnership, corporation or any party of a joint venture, then all Qualification Statements submitted by that individual, partnership, corporation or joint venture shall be disqualified.

- 2.10.2 **Changes to Organizational Structure.** The Applicant shall include no more than two Other Named Members as part of the Applicant's Team. During this procurement process, the Applicant's Team (including Key Personnel and Major Participants) identified in the Qualification Statement may not be removed, replaced or added to without the prior written approval of the City. An Applicant contemplating a change must submit a written request to the City along with documentation that the proposed replacement or addition will be equal to or better than the individual or firm provided in the Qualifications Statement. The City will use the criteria specified in this Request for Qualifications to evaluate all requests for changes. **Any changes in the team listed and offered in the Qualification Statement must be identified and explained in the proposal submitted in response to the Request for Proposals.**
- 2.10.3 **Key Personnel.** All Key Personnel must be capable and available to perform their duties throughout the Project.
- 2.11 **Proprietary Information.** All Qualification Statements submitted under this solicitation will become the property of the City and will not be returned. However, if the Applicant checks the "Proprietary Information" box on the Signature Sheet submitted, the Applicant will be deemed to have requested, as allowed by City Code § 74-50(d), that all information voluntarily submitted by the Applicant pursuant to this Request for Qualifications be considered a trade secret or proprietary information subject to City Code § 74-5(f). If the Applicant so requests, the City will return such proprietary information after the award of the contract or contracts resulting from this Request for Qualifications.
- 2.12 **Cancellation of Request for Qualifications.** The City may cancel this Request for Qualifications as deemed by the City, in its sole discretion, to be in the best interest of the City.
- 3.0 **Qualification Statements and Submittals.** The Applicant's Qualification Statement must include (i) one Signature Sheet (above) completed by a representative of each Major Participant; (ii) the transmittal letter; (iii) an executive summary; and (iv) all the information defined in sections 3.2 through 3.7 below. Together this information constitutes the Applicant's Qualification Statement. The Qualification Statement must be organized into the tabs as described below. The Qualification Statement must be signed by an authorized representative of the Applicant. The Qualification Statement must be typed, bound, and presented in sections separated by tabs as described in the paragraphs that follow. Each copy of the Qualification Statement shall be bound in a single volume where practical. All documentation submitted with the Qualification Statement shall be included in that single bound volume. Elaborate brochures and other representations beyond those required to present a complete and effective Qualification Statement are prohibited. Pages in the submittal must be consecutively numbered, and unless otherwise stated should be 8.5 x 11 inches. Font size should be no smaller than 12 point. To be considered substantive and responsive, the Qualification Statement must address all requirements of this Request for Qualifications. Information supplied must be current

and up-to-date. Qualifications should be prepared simply and economically, providing a straightforward, concise description of the Applicant's capabilities to complete the Project. The emphasis should be on completeness and clarity of content.

3.1 **Tab 1 – General Information.** This tab must include the Applicant's transmittal letter and executive summary providing all of the following information:

3.1.1 **Transmittal Letter.** The Applicant's transmittal letter, which must include:

1. The Applicant's name.
2. The Applicant's mailing address.
3. The Applicant's street address, if different from the mailing address.
4. The Applicant's contact person.
5. The Applicant's contact person's telephone number.
6. The Applicant's contact person's facsimile transmission number.
7. The Applicant's contact person's electronic mail address.
8. The Applicant's state Class A contractor's license number.
9. The Applicant's designated employee registered with the Virginia Board for Contractors.
10. The type of the Applicant's organization (e.g., corporation, partnership, individual, or joint venture) and the following information as applicable:
 - (1). If a corporation:
 - a. The state of incorporation;
 - b. The date of incorporation;
 - c. The Federal I. D. number;
 - d. The name and years in position of the president, vice president, secretary and treasurer; and
 - e. Whether the corporation is a Subchapter S corporation.
 - (2). If a limited liability company:
 - a. The state in which the limited liability company is organized;

- b. The date organized;
 - c. A list of all managers of the limited liability company, including the name, telephone number and years as a manager for each manager; and
 - d. A list of all members, including the name, telephone number, years as a member and membership interest for each member.
 - (3). If a partnership:
 - a. The state in which the partnership was formed;
 - b. The date organized;
 - c. The type of partnership; and
 - d. A list of all general partners, including the name, telephone number, years as a general partner and partnership interest for each general partner.
 - (4). If individually owned, the number of years in business.
- 11. Whether the Applicant has ever operated under another name, and if so, the other name, the number of years in business under this other name, and the state license number under this name.
- 12. If the organization is a subsidiary or affiliate of another organization, the name and address of each parent or affiliate organization.
- 13. The following statement, signed by the Applicant's contractually binding authority:

By submitting its Qualification Statement, the Applicant for prequalification, certifies and represents that the information that the Applicant has provided in response to this Request for Qualifications is accurate and complete as of the date of such submission. If the Applicant provides no information in response to any of the requirements of this Request for Qualifications, then the Applicant, by submitting its Qualification Statement, certifies and represents that such requirements do not apply because no information exists that would respond to the requirement. The Applicant further covenants that, during the time between the submission of its Qualification Statement and the City's issuance of a decision prequalifying or not prequalifying the Applicant, the Applicant will furnish the City with any changes or additions to such information necessary to ensure that this information remains accurate, complete and up-to-date.

- 3.1.2 **Executive Summary.** The Executive Summary should summarize the Applicant and Major Participants, their member firms, their experience with design and construction, either or both, of a similar reservoir or water system, and the important points of the Qualification Statement, including its strengths and advantages to delivering a successful Project. The Executive Summary should not provide any material or information that is not reflected in the body of the Qualification Statement. The Executive Summary is for general informational purposes only and will not be scored in the evaluation process. **(This narrative should be no more than two pages.)**
- 3.2 **Tab 2 – Financial Ability.** Bonding will be required to ensure performance of the contract for the Project and the payment of subcontractors. This tab must include a letter from a surety company (i) confirming that the surety company is listed in the United States Department of the Treasury’s Circular 570; (ii) confirming that the surety company is licensed to transact surety business in the Commonwealth of Virginia; and (iii) confirming that the Applicant can secure bonding from the surety company for this Project in an amount equal to or greater than the amount established by the City. A certificate indicating bonding limits only is not acceptable. Failure to provide all of the information required under this tab creates a presumption that the Applicant does not have sufficient financial ability to perform the contract for the Project.
- 3.3 **Tab 3 – Judgments.** This tab must state whether the Applicant’s organization, or any officer, director or owner thereof, has had any judgments entered against it or them within the last ten years for the breach of contracts for governmental or nongovernmental construction, including, but not limited to, design-build or construction management. If such judgments have been entered against it or them, the Applicant must include in this tab the following information for each judgment:
- A. The person or entity against whom judgment was entered;
 - B. The style of the case (e.g., *plaintiff v. defendant*) in such a way that the name of the plaintiff and the name of the defendant are stated clearly;
 - C. The case number and name of the highest court in which the case was heard;
 - D. The date of the final judgment in the case;
 - E. A description of the nature of the breach of contract;
 - F. The relationship of the defendant to the Applicant (if the defendant is not the Applicant); and
 - G. Contact information (including names, addresses and telephone numbers) of persons who can provide additional information.
- 3.4 **Tab 4 – Convictions and Debarment.**

3.4.1 **Convictions.** This tab must state whether the Applicant’s organization (including any predecessor entity), or any officer, director, owner, project manager, procurement manager or chief financial official thereof, has:

- A. Ever been fined or adjudicated of having failed to abate a citation for building code violations by a court or local building code appeals board.
- B. Ever been found guilty on charges relating to conflicts of interest.
- C. Ever been convicted on criminal charges relating to governmental or nongovernmental contracting, construction, bidding, bid rigging or bribery.
- D. Ever been convicted under:
 - 1. Chapter 74, Article VIII (§§ 74-341—74-352) of the Code of the City of Richmond or Chapter 43, Article 6 (§§ 2.2-4367—2.2-4377) of the Code of Virginia;
 - 2. The Virginia Governmental Frauds Act (Va. Code §§ 18.2-498.1—18.2-498.5);
 - 3. Title 59.1, Chapter 4.2 (§§ 59.1-68.6—59.1-68.8) of the Code of Virginia;
 - 4. Section 40.1-49.4 of the Code of Virginia; or
 - 5. Any substantially similar law of the United States or another state.

3.4.2 **Debarment.** This tab must state whether the Applicant’s organization (including any predecessor entity), or any officer, director, owner, project manager, procurement manager or chief financial official thereof, is currently debarred from doing federal, state or local government work for any reason.

3.4.3 **Information to Be Provided.** For each instance of conviction or debarment stated under this tab, the Applicant shall provide, as applicable:

- A. The person or entity against whom judgment was entered;
- B. The style of the case (e.g., *jurisdiction v. defendant*) in such a way that the name of the prosecuting jurisdiction and the name of the defendant are stated clearly for a conviction or the name of the jurisdiction for a debarment;
- C. The case number and name of the highest court in which the case was heard;
- D. The date of the final order in the case or the date of the debarment;
- E. Each law or violation of which the defendant was convicted or the reasons for the debarment;

- F. The relationship of the defendant or debarred party to the Applicant (if the defendant or debarred party is not the Applicant); and
- G. Contact information (including names, addresses and telephone numbers) of persons who can provide additional information.

3.5 **Tab 5 – Compliance.**

A. This tab must indicate the following:

1. Whether the Applicant’s organization (including any predecessor entity) has ever been terminated on a contract for cause;
2. Whether the Applicant’s organization (including any predecessor entity), within the last five years, has made payment of actual damages or liquidated damages (or both) for failure to complete a project by the contracted date;
3. Whether the Applicant’s organization (including any predecessor entity), within the last three years, has received a final order for willful or repeated (or both) violations for failure to abate issued by the United States Occupational Safety and Health Administration, the Virginia Department of Labor and Industry or any other government agency; and
4. Whether any surety has ever paid any performance bond claim or payment bond claim (or both) on behalf of the Applicant’s organization (including any predecessor entity).

B. For each instance in subsection (A) above, the Applicant must:

1. State the date of the termination, order or payment;
2. Describe the project involved;
3. Explain the circumstances relating to the termination, order or payment; and
4. Provide contact information (including names, addresses and telephone numbers) of persons who can provide additional information.

3.6 **Tab 6 – Experience and Qualifications.**

3.6.1 **Team Structure and Management Approach.** The Applicant shall provide sufficient information to enable the City to understand the benefits, capabilities, capacity, and strengths of the Applicant’s Team and its organizational structure. The Applicant must provide the following:

- A. A narrative of **no more than five pages** describing the Applicant’s teaming arrangements, its management structure and design-build management approach. The narrative should include at a minimum a discussion of the following:
1. How the Applicant will institutionally operate, particularly in light of the complexity and sequencing of Project’s development.
 2. The experience of team members working together on other projects and the results of that experience.
 3. How the management structure will facilitate the management of Project risks.
- B. Provide one to three organizational charts that show:
1. The proposed project management structure, including the Applicant, Major Participants, and the “chain-of-command” with Key Personnel shown in their position relative to other relevant personnel, and identifying major functions and responsibilities to be performed and their reporting relationships in designing and constructing the Project. The charts must show the functional structure of the organization down to the design discipline leader or construction superintendent level and must identify Key Personnel by name. Other relevant personnel may also be shown in the organizational chart.
 2. The proposed project administration, identifying the critical support elements and relationships of project management, project administration, executive management, construction management, quality management, safety, environmental compliance and subcontractor administration.

Applicants may provide no more than three pages using paper sized at no greater than 11 x 17 inches. Each chart should include a brief, written description of significant functional relationships among participants and how the proposed organization will function as an integrated design-build team.

3.6.2 **Technical Experience of Major Participants and References (Applicant, Lead Contractor, Lead Designer).**

- A. This section must provide information regarding the Applicant’s Team’s (1) specialized experience and technical competence designing and constructing or fabricating and installing the roof system that will be proposed with the approximate scale and complexity as will be required for this Project; (2) experience with potable water storage facilities requiring disinfection, with demonstration of compliance on potable water standards; (3) experience on water or wastewater projects involving removal and construction at a facility that must remain in operation throughout the

removal process and construction work; and (4) past performance, experience and qualifications of team members including engineer and construction team members.

B. In this section, the Applicant must demonstrate its experience in both aspects of structural engineering and potable water storage and distribution; and include a list of major project complexities and how the Applicant handled such complexities of the project and any lessons learned. Further, demonstrate experiences in each of the following areas:

1. Testing, startup and commissioning of similar type and size projects, and systems, including working with a third party vendor.
2. Designing for future expandability of project capacity and capability.
3. Constructing such facilities within the confines of an operating plant.
4. Constructing within a confined site area, with limited site access and storage or lay down areas.
5. Design-build experience, especially with similar type and size projects.

The narrative should be no more than three pages for each Major Participant.

C. Each Major Participant must provide:

1. In table format, as shown in Exhibit 1, Listing of Projects, a list of **all** projects valued at not less \$15 million which have been completed or initiated within the past five years; indicate the project value, location and status as completed or ongoing; and include current owner information (name, project contact, phone number and e-mail address).
2. Project descriptions regarding four projects using the Project Experience Form, attached hereto as Appendix A. These projects should demonstrate relevant experience. For projects in which several of the proposed participants were involved, the Applicant may provide a single project description. If the Applicant is a joint venture or limited partnership entity, the Applicant must identify the lead entity of the joint venture or limited partnership arrangement, and the Applicant must provide all of the requested information for each entity included in the joint venture or limited partnership. References identified in Project Experience Form will be contacted and information obtained therefrom will be considered relevant based on the project type and the Applicant's specific participation and contribution to the referenced project.

The City reserves the right to contact any project owner at any time and during either step of the procurement process.

3.6.3 Proposed Key Personnel, Functions and References.

A. The Key Personnel for this Project are:

1. **Project Executive.** The Project Executive is responsible for the overall project management and delivery. The Project Executive must be available to respond to matters related to the Project that cannot be or have not been addressed by the Project Manager. The Project Executive must have the authority to make final decisions that bind the selected contractor.
2. **Project Manager.** The Project Manager is responsible for the day-to-day project management and overall safe, timely and compliant delivery of the Project design and construction. The Project Manager serves as the first-line of contact for the City. The Project Manager is responsible for providing reports, invoices and other Project information to the City as provided in the contract. The Project Manager is responsible for consulting and coordinating with the other Key Personnel to facilitate the safe, on-time, on-budget, and performance-compliant delivery of the Project.
3. **Lead Design Manager.** The Lead Design Manager must be a Virginia-licensed Professional Engineer. The Lead Design Manager is responsible for ensuring that the overall Project design is completed and design criteria requirements are met. The Lead Design Manager is responsible for managing the design personnel and administering all design requirements of the contract and for consulting and coordinating with all members of the Applicant's Team to facilitate the safe, on-time, on-budget, and performance-compliant delivery of the Project. The Lead Design Manager must have a minimum of ten years of experience in potable water facilities design.
4. **Construction Manager.** The Construction Manager is responsible for ensuring that the Project is constructed in accordance with the contract's requirements. The Construction Manager is responsible for managing the construction personnel, scheduling of the construction quality acceptance personnel, administering all construction requirements of the contract and for consulting and coordinating with all members of the Applicant's Team to facilitate the safe, on-time, on-budget, and performance-compliant delivery of the Project. The Construction Manager must have a minimum of ten years of construction management experience in heavy infrastructure development.
5. **Lead Quality Manager.** The Lead Quality Manager is responsible for the quality of the overall design and construction of the Project, for implementing quality planning and training, and for managing the team's quality management processes. The Lead Quality Manager must be independent of direct scheduling and production activities and have the authority to stop work. The Lead Quality Manager must maintain project quality controls and quality assurance protocols. The Lead Quality Manager must have relevant training and education and a minimum of ten years of relevant experience.

6. **Project Safety Officer.** The Project Safety Officer is responsible for carrying out the selected contractor's safety plan and all safety-related activities, including training and enforcement of safety operations. The Project Safety Officer must have actual experience on similar projects and independent authority to stop work to ensure safety compliance or to prevent a safety event.
 7. **Lead Structural Engineer.** The Lead Structural Engineer must be a Virginia-licensed professional engineer. The Lead Structural Engineer is responsible for ensuring that the overall structural design required for the Project is completed and structural design criteria requirements are met. The Lead Structural Engineer is responsible for managing the structural design personnel and administering all structural design requirements of the contract and for consulting and coordinating with all members of the Applicant's Team to facilitate the safe, on-time, on-budget, and performance-compliant delivery of the Project. The Lead Structural Engineer must have a minimum of ten years of experience in potable water facilities design.
 8. **Lead Geotechnical Engineer.** The Lead Geotechnical Engineer is responsible for geotechnical design, as necessary and appropriate for the Project. The Lead Geotechnical Engineer must be a Virginia-licensed professional engineer. The Lead Geotechnical Engineer is responsible for ensuring that the geotechnical work required for the Project is completed and geotechnical criteria requirements are met. The Lead Geotechnical Engineer is responsible for managing the geotechnical personnel and administering all geotechnical requirements of the contract and for consulting and coordinating with all members of the Applicant's Team to facilitate the safe, on-time, on-budget, and performance-compliant delivery of the Project. The Lead Geotechnical Engineer must have a minimum of ten years of experience in potable water facilities design.
- B. The Applicant must submit a résumé for each of the Key Personnel, in a form as attached in Appendix B. If a joint venture or limited partnership, the Applicant must fully answer all questions for Key Personnel assigned to the Project from all of the entities that comprise the joint venture or limited partnership. The résumé must include:
1. Name, title, company or firm
 2. Total years at specific positions and number of years with proposing firm;
 3. Education and active registrations and licenses. Attachment of a copy of the engineering licenses, if applicable.
 4. List of relevant projects assigned to, value of construction work and specific project involvement including percentage of time on the job, dates of work performed, and summary information regarding safety, quality, cost and schedule performance.

- 3.6.4. **Project Understanding.** The Applicant must provide a narrative describing its understanding of the Project and its risks, complexities, sequencing issues, safety and operational concerns relative to the Project goals and the successful delivery of the Project. The Applicant must provide a thorough overview of the Applicant's (1) cost management plan; (2) schedule management plan; and (3) quality control program; as well as a description of an emergency operations plan that would be implemented, if needed, that considers all of the Project's risks and complexities and the Applicant's experience with similar projects, risks and complexities. **(This narrative should be no more than five pages.)**
- 3.6.5 **Safety Program and Performance.** The Applicant must provide an overview of Applicant's safety program. This section must include a short description of the critical safety program provisions or procedures considered most important to this Project. **(This narrative should be no more than one page.)** In addition, the Applicant or, if a joint venture or limited liability company structure is proposed, authorized representatives for each member of the joint venture or limited liability company shall complete the Contractor Safety and Health Program Questionnaire provided in Appendix C. The safety information and records to be provided include:
- A. The Workers' Compensation Experience Modification Rate ("EMR") or Experience Modification Factor ("EMF") for the last three full years: 2011, 2012, and 2013. The EMF or EMR is the workers' compensation insurance premium adjustment factor that has been calculated by the National Council on Compensation, Inc. or another similar advisory organization or rating bureau.
 - B. The "Days Away from Work" injury incidence rate for the past three years. A Days Away from Work injury is an injury that prevents an employee from returning to his next regularly scheduled shift. The incidence rate shall be calculated in accordance with the Questionnaire provided in Appendix C.
 - C. The completed Occupational Safety and Health Administration (OSHA) Form 300A Summary of Work-Related Injuries and Illnesses" for the past three years.
- 3.7 **Tab 7 – MBE/ESB Participation.** This tab must include documentation to demonstrate evidence of the Applicant's past and proposed good faith efforts as described in section 2.8 ("MBE/ESB Participation"). In completing the M/ESB-1:RFQ form, Applicants should remember that proposed goals are not limited to first, second and third tier subcontracting. Successful prime contractors have also applied creatively viable methods such as mentor-protégé relationships and supply purchases to meet MBE/ESB participation goals. The prime contractor is responsible for ensuring that MBE/ESB subcontractors perform commercially useful work at the level of the contract commitment. The Applicant's documentation may include past good faith efforts on non-City projects as well as documentation provided by other organizations or localities on the Applicant's behalf. Also, this tab must include a MBE/ESB utilization plan for this Project. There are two components to an MBE/ESB utilization plan. First, the

Applicant must provide a statement consistent with the City's proposed goal for this Project that includes the percentage and dollar amount of the Project that the Applicant intends to subcontract and the percentage and dollar amount of the Project that the Applicant proposes to subcontract to MBE/ESB subcontractors. If the Applicant proposes a goal different from the City's proposed goal, the Applicant must provide a statement of the reason for doing so. This statement must be accompanied by a demonstration of the Applicant's good faith efforts to achieve reasonable MBE/ESB participation on this Project. Finally, all forms (e.g., the Minority Business Enterprise and Emerging Small Business Participation Commitment Form for Prequalification for Request for Qualification, the MBE/ESB Past Good Faith Efforts Participation Form and the Good-Faith Minority Business Enterprise and Emerging Small Business Participation Efforts Documentation of Contacts form) must be signed and included in this tab.

4.0 **Evaluation Process.**

4.1 **Opening of Qualification Statements.** At the designated time for receipt of Qualification Statements, the Department of Procurement Services will open and list the Qualification Statements for the record. This is not a public opening. The City reserves the right to request additional information that does not have a material effect on the Qualification Statement to assist in evaluating the Qualification Statement. Failure to respond by the time designated will be grounds for denial of prequalification, pursuant to City Code § 74-50(g)(7).

4.2 **Evaluation of Qualification Statements.** During the evaluation phase, the City will evaluate Qualification Statements to determine which Applicants are suitable for prequalification. This review will occur in three parts. First, the City will evaluate the financial ability, judgments, convictions, debarments and substantial noncompliance with contracts of the Applicant. Second, the City will evaluate the experience of the Applicant. Third, the City will evaluate the MBE/ESB participation submissions of the Applicant. These evaluations will be made as described below in this section. The City may request clarification on specific matters presented in the Qualification Statement. The Applicant's failure to respond to such requests by the time designated may result in the denial of prequalification pursuant to City Code § 74-50(g)(7).

4.2.1 **Evaluation of Financial Ability, Judgments, Convictions, Debarments and Substantial Noncompliance with Contracts.**

4.2.1.1 **Financial Ability.** The City will evaluate the Applicant's response under Tab 2 (see section 3.2). A letter from a surety company that does not meet all of the requirements of section 3.2 ("Tab 2 – Financial Ability") or the absence of a letter meeting such requirements may be grounds for denial of prequalification, at the City's sole discretion, after review and consideration of the dates, amounts, facts and circumstances, pursuant to City Code § 74-50(g)(1).

4.2.1.2 **Judgments.** Pursuant to City Code § 74-50(g)(3), any judgments, whether one or more, entered against the Applicant’s organization, or any officer, director or owner thereof, within the last ten years for the breach of contracts for governmental or nongovernmental construction, including, but not limited to, design-build or construction management, may be grounds for denial of prequalification, at the City’s sole discretion, after review and consideration of the dates, amounts, facts and circumstances, including, but not limited to, those submitted under Tab 3 (see section 3.3).

4.2.1.3 **Convictions.** Pursuant to City Code § 74-50(g)(5), any of the following with regard to the Applicant’s organization (including any predecessor entity), or any officer, director, owner, project manager, procurement manager or chief financial official thereof during the past ten years, may be grounds for denial of prequalification, at the City’s sole discretion, after review and consideration of the dates, facts and circumstances, including, but not limited to, those submitted under Tab 4 (see section 3.4):

A. Conviction on charges relating to conflicts of interest;

B. Conviction on charges relating to any criminal activity relating to contracting, construction, budding, bid rigging or bribery; or

C. Conviction under:

1. Chapter 74, Article VIII (§§ 74-341—74-352) of the Code of the City of Richmond or Chapter 43, Article 6 (§§ 2.2-4367—2.2-4377) of the Code of Virginia;
2. The Virginia Governmental Frauds Act (Va. Code §§ 18.2-498.1—18.2-498.5);
3. Title 59.1, Chapter 4.2 (§§ 59.1-68.6—59.1-68.8) of the Code of Virginia;
4. Section 40.1-49.4 of the Code of Virginia; or
5. Any substantially similar law of the United States or another state.

4.2.1.4 **Debarments.** Pursuant to City Code § 74-50(g)(6), if the Applicant’s organization (including any predecessor entity), or any officer, director, owner, project manager, procurement manager or chief financial official thereof during the past ten years has been debarred by any agency or political subdivision of the Commonwealth of Virginia, by any agency of the United States or by any agency or political subdivision of another state, such debarment may be grounds for denial of prequalification, at the City’s sole discretion, after review and consideration of the dates, facts and circumstances, including, but not limited to, those submitted under Tab 4 (see section 3.4).

4.2.1.5 **Substantial Noncompliance with Contracts.** Pursuant to City Code § 74-50(g)(4), the City, at the City’s sole discretion, after review and consideration of the dates, facts and

circumstances, including, but not limited to, those submitted under Tab 5 (see section 3.5), may deny prequalification if the Applicant has been in substantial noncompliance with the terms and conditions of prior construction contracts with the City without good cause or, if the City has not contracted with the Applicant in any prior construction contracts, if the Applicant has been in substantial noncompliance with the terms and conditions of comparable construction contracts with another public body without good cause; provided that the facts underlying such substantial noncompliance were documented in writing in the prior construction project file and such information relating thereto was given to the Applicant at that time, with the opportunity to respond. The following constitute substantial noncompliance with prior construction contracts under the preceding sentence:

- A. The Applicant in the last three years has received a final order for failure to abate or for a willful violation by the United States Occupational Safety and Health Administration or by the Virginia Department of Labor and Industry or any other government agency;
- B. The Applicant has paid liquidated damages for failure to complete a project by the contracted date on more than two projects in the last five years;
- C. The Applicant has paid actual damages resulting from failure to complete a project by the contracted date on more than two projects in the last five years;
- D. The Applicant has been terminated for cause on a contract in the last five years;
- E. The Applicant was more than 30 days late, without good cause, in achieving the contracted substantial completion date where there was no liquidated damage provision on more than two projects in the last three years;
- F. The Applicant has received more than two cure notices on a single project in the past two years or more than one cure notice on five separate projects in the past five years (or both);
- G. The Applicant has had repeated instances on a project of installation and workmanship deviations which exceed the tolerances in the standards referenced in the contract documents, provided that documentation of such instances shall be the written reports and records of the owner's representatives on the project;
- H. The Applicant has finally completed a project more than 90 days after achieving substantial completion on two or more projects in the last three years for reasons within the Applicant's control; provided that documented delay of delivery of material necessary to perform remaining work or seasonal conditions that bear on performing the work or operating specific equipment or building systems shall be considered in mitigation; or

I. The Applicant has had performance or payment bond claims paid on its behalf in the past three years.

4.2.2 **Evaluation of Experience.** The City will evaluate the responses submitted under Tab 6 (see section 3.6) of the Qualification Statements to determine whether the Applicant has appropriate experience to perform the Project. The City will use the following evaluation criteria and maximum point values in ranking Applicants. Any Applicant who does not receive a score of at least 70 out of the 100 available points will be deemed to not have appropriate experience to perform the Project and will be denied prequalification pursuant to City Code § 74-50(g)(2). The City may elect to issue the Request for Proposals only to the two to five highest ranking Applicants.

	Points
A. Project Team Structure and Management Approach (Section 3.6.1)	30
B. Technical Experience of Major Participants and References (Section 3.6.2)	20
C. Proposed Key Personnel and Functions (Section 3.6.3)	20
D. Project Understanding (Section 3.6.4)	15
E. Safety Program and Performance (Section 3.6.5)	15
Total Points Available:	100

4.2.3 **Evaluation of MBE/ESB Participation.**

- A. The City’s Office of Minority Business Development will score the information presented under Tab 7 (see section 3.7) of the Applicant’s Qualification Statement with regard to past and proposed good faith efforts on a scale of one to 100.
- B. Pursuant to section 74-50(g)(8) of the City Code, an Applicant that fails to make or propose to make good faith minority business enterprise and emerging small business participation efforts or to receive a score of at least 50% of the possible MBE/ESB participation efforts percentage points shall not be prequalified to submit a proposal on or be awarded the contract.
- C. An Applicant’s past performance with regard to its MBE/ESB participation efforts will be considered in the prequalification process.
- D. The City reserves the right to accept or reject any proposed goals. However, in configuring its proposed MBE/ESB participation goal, the Applicant will be awarded points for undertaking proven business development strategies as an element of this Project. If the Applicant has a bona fide joint venture with a MBE or ESB contractor, is legitimately mentoring a MBE or ESB contractor, is covering the bonding for a

MBE or ESB contractor, or is providing apprenticeship opportunities, the Applicant will receive additional points in the evaluation of this criterion.

- 4.3 **Notification of Prequalification Decisions.** At least 30 calendar days prior to the date established for submission of proposals under the procurement of the contract to which this prequalification applies, the City shall advise in writing each Applicant that submitted a Qualification Statement whether that Applicant has been prequalified. The City, in the City's sole discretion, reserves the right to deny prequalification to any Applicant for any reason to the extent permitted by City Code § 74-50(g). In the event that an Applicant is denied prequalification, the written notification to such Applicant shall state the reasons for such denial of prequalification and the factual basis of such reasons. Any Applicant denied prequalification may appeal such determination as provided in City Code § 74-186. A decision by the City denying prequalification shall be final and conclusive unless the Applicant appeals the decision as provided by City Code § 74-186.

EXHIBIT 1
LISTING OF PROJECTS

Project Name & Owner	Location	Value	Status	Contact Information (name, title, phone, email)

**APPENDIX A
PROJECT EXPERIENCE FORM**

(Provide answers to the following questions. Maximum of three (3) 8 1/2 x 11 inch pages for each project listed. Applicant is responsible for providing accurate and current contact information for its references.)

1. Project's Specific Relevance to this Project: (delivery method, scope of work, technical challenges, site conditions, size, type, location, etc.):

2. Project Name:

3. Location:

4. Project Owner/Client Name:

5. Client Reference Contact Information:

- Owner's Contact name/position - title: _____, _____
- Contact's phone number _____ and e-mail: _____
- Contact's Role on Project: _____

6. Project Delivery Method: (Design-Bid- Build, CM@Risk, Design-Build, etc.)

7. Project Summary Description (include technical elements required):

8. Firm's Role / Contract Scope of Work

9. Did you have any JV partners for your contract scope: If so, name firm(s) and indicate percent participation of each.

10. Project Cost and Schedule *(Discuss the basis for any variances between the contracted and actual delivery amount and schedule. If project is not completed, what is percent completion to date.)*

Originally Contracted Project Amount	Actual Amount Received or Anticipated to Receive Upon Project Delivery	Variance
\$	\$	\$
Project Start Date:	Substantial Completion Date:	Final Acceptance Date:
Originally Contracted Project Schedule	Actual Project Schedule or Percent Completed to Date	Variance
____ months ____ days	____ months ____ days ____ %	____ months ____ days

11. Did your firm have any lost time accidents or OSHA citations? If so, explain:

12. Did you have outstanding claims? If so, amount:

13. Was there arbitration or litigation? If so, explain and advise how claim was resolved and assigned liability:

14. Indicate Firm's Accomplishments on this Project, including challenges encountered and overcome:

APPENDIX B

KEY PERSONNEL RESUME FORM

Brief Resume of Key Personnel anticipated for the Project.

1. Name & Title:

2. Project Assignment:

3. Name of Firm with which you are now associated:

4. Years experience: With this Firm ____ Years With Other Firms ____ Years
Please list chronologically (most recent experience first) your employment history, position, general responsibilities, and duration of employment for the last ten (10) years. (NOTE: If you have less than 10 years of experience, please list the experience for those years you have worked. Project specific experience shall be included in Section 7 below):

5. Education: Name & Location of Institution(s)/Degree(s)/Year/Specialization

6. Active Registrations: Year First Registered/ Discipline/VA Registration # (attach a copy of licenses)

7. Document the extent and depth of your experience and qualifications relevant to the Project. **List at least three (3), but no more than five (5) relevant projects for which you have performed a similar function.**
 - A. Note your specific responsibilities and authorities for each project, not those of the firm.
 - B. Note whether experience is with current firm or with other firm.
 - C. Provide beginning and end dates for each project. Projects older than ten (10) years will not be considered for evaluation.
 - D. Value services/work provided relative to the overall contract value.

8. For Key Personnel required to be on-site full-time for the duration of construction, provide a current

list of assignments, role, and the anticipated duration of each assignment.

APPENDIX C

CONTRACTOR SAFETY AND HEALTH PROGRAM QUESTIONNAIRE

Company Name:
Company Type (General Contractor, Mechanical, etc.):
Address:
Telephone No.:

A. RESOURCES

1. Name and Title of Company Safety and Health Contact:

2. Is this a full-time position?

3. What percent of this person’s time is spent on safety and health related matters?

4. What professional safety and health certifications does this person hold (e.g., CSP, PE, CIH)?

5. How many other full-time safety and health representatives are employed by your company?

6. Does your company have a written procedure to ensure that adequate safety and health program resources, such as budget, equipment, training, and manpower are **included in each project bid**?

	YES	NO
B. SAFETY AND HEALTH PROGRAM ELEMENTS		
1. Does your company have a written safety, health, and accident prevention program (SP)?		
2. Does your company have a written procedure to ensure safety and health issues are preplanned into each project and work operation (e.g., job hazard analysis, checklists, etc.)?		
3. Does your company have a written safety incentive program that will be implemented on this project?		
4. Does your company have a written accident/incident investigation procedure?		
5. If yes to Question 4, do your written procedures require near-miss incidents to be investigated?		
6. Does your company have a written safety and health training program?		
7. If yes to Question 6, does the program include the following?		
(a) New employee/project orientation.		
(b) Weekly “toolbox” meetings.		
(c) Daily job briefings.		
(d) Supervisor safety training.		
(e) Task specific training.		
(f) Other		

8. Does your company have a written procedure to ensure that only employees who are qualified by training and experience are allowed to operate equipment, tools, machinery, and vehicles?		
9. Does your company designate and train competent people as required by the applicable OSHA standards (e.g., excavations, scaffold, erection, etc.)?		
10. Does your company have a written procedure to audit projects to ensure all projects are in compliance with applicable laws, requirements, etc.?		
11. Does your company have a written procedure to screen subcontractors based on their past safety performance		
12. Does your company use a screening process to ensure employees are physically able to perform work as assigned?		
C. DRUG FREE WORKPLACE PROGRAM	YES	NO
1. Does your company have a written drug free workplace program that includes drug testing?		
2. If the answer to Question 1 is yes, does your written drug free workplace program include the following?		
(a) Pre-employment drug and alcohol testing.		
(b) Post accident drug and alcohol testing.		
(c) For cause drug and alcohol testing.		
(d) Random drug and alcohol testing.		
(e) Supervisor and employee training.		
D. OSHA CITATIONS	YES	NO
1. Has your company received any Federal or State Plan OSHA citations within the last 3 years?		
2. If the answer to Question 1 is yes, how many of each of the following types of citations have you received?	Number of citations	
Willful		
Imminent Danger		
Serious		
Non serious		
De minimus		

	2013	2012	2011
E. ACCIDENT AND ILLNESS STATISTICS			
1. How many man-hours has your company worked?			
2. How many OSHA recordable injuries did your company experience?			
3. Based on the below listed formula (a), what are your incident rates?			
4. How many lost time accidents has your company experienced?			
5. Based on the below listed formula (b), what is your lost workday case rate?			
6. How many fatalities has your company experienced?			
7. Submit a copy of your OSHA 300A logs for the last 3 years with your completed questionnaire.			

(a) <u>Number of injuries and illnesses x 200,000</u> Man-hours worked			
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(b) <u>Number of lost time injuries and illnesses x 200,000</u> Man-hours worked			
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F. WORKERS' COMPENSATION EXPERIENCE MODIFICATION RATE			
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1. List your Company's Workers' Compensation Experience Modification Rate			
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2. Submit, on your insurance company letterhead, your Workers' Compensation Experience Modification Rate (EMR) with your completed questionnaire.			
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Minority Business Development

900 East Broad Street
 City Hall, 5th Floor
 Richmond, VA 23219
 Office: (804) 646-5947
 Fax: (804) 646-0136
www.richmondgov.com/MBD

**Minority Business Enterprise
 And Emerging Small Business
 Participation Commitment
 for Prequalification (RFQ) Form**

PROJECT NAME / NO.	MBE/ESB PROJECT GOAL ESTABLISHED → BY THE CITY OF RICHMOND				
<input type="checkbox"/> YES I, _____ shall commit to _____% MBE/ESB participation through: <i>Authorized Company Officer</i> _____% FIRST, SECOND and/or THIRD TIER SUBCONTRACTING _____% SUPPLY PURCHASES _____% JOINT VENTURES _____% MENTOR-PROTÉGÉ _____% OTHER CREDIBLY VIABLE METHODS I understand that this commitment obligates my firm to a substantial good faith effort to achieve the proposed MBE/ESB participation. Our proposal may earn up to 100 prequalification points under PROPOSED GOOD FAITH MINORITY PARTICIPATION EFFORTS. We further commit to reporting MBE/ESB utilization on a monthly basis using the City’s MBE/ESB-3 form.					
<ol style="list-style-type: none"> 1. IF YOU ARE PREQUALIFIED: It is not necessary to include another MBE/ESB-1 RFQ form in the bid. The MBE/ESB-1 RFQ form submitted during the RFQ process stands as your firm’s record of proposed MBE/ESB participation. 2. IF YOU ARE THE SUCCESSFUL BIDDER: You must submit the MBE/ESB-2 form to report a credible list of legitimate MBE/ESB subcontractors, suppliers, and/or written statements of mentor/protégé or joint venture arrangement within five (5) business days to the Department of Procurement Services. Upon receipt of the MBE/ESB-2 form, the Office of Minority Business Development will approve “Good Faith Efforts” and/or verify MBE/ESB participation before full contract execution. 					
<input type="checkbox"/> NO I, _____ do not wish to earn up to 30 prequalification points for proposed MBE/ESB participation. <i>Authorized Company Officer</i> I acknowledge that my declaration will forfeit the opportunity to earn up to 100 prequalification points, and shall directly impact the level of responsiveness of this application and shall become a matter of record. (<i>Explanation for declaration is encouraged but not required.</i>)					
Definitions	<table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:50%; padding: 5px;">MINORITY BUSINESS ENTERPRISE</th> <th style="width:50%; padding: 5px;">EMERGING SMALL BUSINESS</th> </tr> </thead> <tbody> <tr> <td style="padding: 5px;">A business at least 51% of which is owned and controlled or 51% minority-owned and operated by minority group members or, in case of a stock corporation, at least 51% of the stock which is owned and controlled by minority group members. Minority group members are citizens of the United States who are African American, Hispanic American, Asian American, or American Indian.</td> <td style="padding: 5px;">A business that (1) has been certified by the Office of Minority Business Development for a period of seven years or less, (2) has annual gross receipts for each of its three fiscal years preceding application for certification of \$500,000 or less if engaged in the construction business or of \$250,000 or less if engaged in a non-construction business, (3) has fewer than ten employees, (4) is not a subsidiary of another business and does not belong to a group of businesses owned and controlled by the same individuals, (5) has its principal place of business within the City of Richmond Enterprise Zone, (6) possesses a City business license, and (7) pays personal property, real estate, and business taxes to the City of Richmond.</td> </tr> </tbody> </table>	MINORITY BUSINESS ENTERPRISE	EMERGING SMALL BUSINESS	A business at least 51% of which is owned and controlled or 51% minority-owned and operated by minority group members or, in case of a stock corporation, at least 51% of the stock which is owned and controlled by minority group members. Minority group members are citizens of the United States who are African American, Hispanic American, Asian American, or American Indian.	A business that (1) has been certified by the Office of Minority Business Development for a period of seven years or less, (2) has annual gross receipts for each of its three fiscal years preceding application for certification of \$500,000 or less if engaged in the construction business or of \$250,000 or less if engaged in a non-construction business, (3) has fewer than ten employees, (4) is not a subsidiary of another business and does not belong to a group of businesses owned and controlled by the same individuals, (5) has its principal place of business within the City of Richmond Enterprise Zone, (6) possesses a City business license, and (7) pays personal property, real estate, and business taxes to the City of Richmond.
MINORITY BUSINESS ENTERPRISE	EMERGING SMALL BUSINESS				
A business at least 51% of which is owned and controlled or 51% minority-owned and operated by minority group members or, in case of a stock corporation, at least 51% of the stock which is owned and controlled by minority group members. Minority group members are citizens of the United States who are African American, Hispanic American, Asian American, or American Indian.	A business that (1) has been certified by the Office of Minority Business Development for a period of seven years or less, (2) has annual gross receipts for each of its three fiscal years preceding application for certification of \$500,000 or less if engaged in the construction business or of \$250,000 or less if engaged in a non-construction business, (3) has fewer than ten employees, (4) is not a subsidiary of another business and does not belong to a group of businesses owned and controlled by the same individuals, (5) has its principal place of business within the City of Richmond Enterprise Zone, (6) possesses a City business license, and (7) pays personal property, real estate, and business taxes to the City of Richmond.				
THE UNDERSIGNED HEREBY CERTIFIES THAT S/HE HAS READ THE TERMS OF THIS COMMITMENT AND IS AUTHORIZED TO BIND THE BIDDER TO THE COMMITMENT HEREIN SET FORTH.					
COMPANY NAME	AUTHORIZED OFFICER NAME				

INSTRUCTIONS/ DEFINITIONS

1. **FIRST, SECOND, AND/OR THIRD TIER SUBCONTRACTING** - The scope of work that is initially contracted by the prime contractor to a subcontractor is considered 1st-tier subcontracting. If that subcontractor further subcontracts all or a portion of the work, it becomes 2nd-tier subcontracting. Likewise, if the 2nd-tier subcontractor decides to subcontract a portion of the work, it is 3rd-tier subcontracting. The prime contractor will receive credit for 100% of the dollar value of the 1st, 2nd, 3rd-tier subcontracting for MBE/ESB participation.
2. **SUPPLY PURCHASES** - The prime contractor will receive credit for 100% of the dollar value of supplies purchased from a MBE/ESB.
3. **JOINT VENTURE** - An arranged partnership of the MBE/ESB and one or more other firms to carry out a single, for-profit project, for which the parties combine their property, capital, efforts, skills, and knowledge, and in which the MBE/ESB is responsible for a distinct, clearly defined scope of work and whose share of the capital contributions, control, management, risks and profits of the joint venture are commensurate with its ownership interest. **MBE/ESB credit for legitimate joint ventures will be five (5) points toward the satisfaction of the MBE/ESB goal for a specified project.**
4. **MENTOR/PROTÉGÉ** - An arrangement based on a written development plan, approved by the City, which clearly sets forth the objective of the parties and their respective roles, the duration of the arrangement and the services and resources to be provided by the mentor to the protégé. **MBE/ESB credit for a legitimate mentor/protégé arrangement will be four (4) points towards the satisfaction of the MBE/ESB goal for a specified project.**
5. **OTHER CREDIBLY VIABLE METHODS - BLANKET BONDING** - the prime contractor covers the bonding requirement for the subcontractor. MBE/ESB credit for Blanket Bonding will be two (2) points toward the satisfaction of the MBE/ESB goal for a specified project.

Apprenticeship - An apprentice that is bound to work for another for a designated amount of time in return for instruction in a trade or a business. **MBE/ESB credit for Apprenticeship will be one (1) point toward the satisfaction of the MBE/ESB goal for a specified project.**
6. **MINORITY BUSINESS ENTERPRISE (MBE)** - A business at least 51% of which is owned and controlled or 51% operated by minority group members or, in case of a stock corporation, at least 51% of the stock, which is owned and controlled by minority group members. Minority group members are citizens of the United States who are African American, Hispanic American, Asian American, and American Indian.
7. **EMERGING SMALL BUSINESS (ESB)** - A business that (1) has been certified by the Office of Minority Business Development (OMBD) for a period of seven years or less, (2) has annual gross receipts for each of its three fiscal years preceding application for a certification of \$500,000 or less if engaged in the construction business or of \$250,000 or less if engaged in non-construction business, (3) has fewer than ten employees, (4) is not a subsidiary of another business and does not belong to a group of businesses owned and controlled by the same individuals, (5) has its principal place of business within the City of Richmond Enterprise Zone, (6) possesses a City business license, and (7) pays personal property, real estate, and business taxes to the City of Richmond.



MBE/ESB Past Good Faith Efforts Participation Form

Office of Minority Business Development

900 East Broad Street
 City Hall, 9th Floor
 Richmond, VA 23219
 Office: (804) 646-5947
 Fax: (804) 646-0136

<http://www.RichmondGov.com/MBD>

COMPANY DATA	COMPANY NAME:		CONTRACT NAME/NO:	
	CONTACT NAME:	PHONE #	Fax#	
	Email Address:			

How long has your firm been in Business?

If you can verify your firm has made past good faith efforts in the **Public or Private Sector** to engage MBE/ESB firms through subcontracting, joint venture, mentor-protégé, or apprenticeship opportunities over the past three (3) years, you may be eligible to earn additional points for this project. Please include valid documentation to support this claim. Feel free to attach additional pages, if necessary. **Enter Below Code for Ownership of each MBE Firm.**

1 = African American 2 = Hispanic American 3 = Asian American
 4 = American Indian 5 = Other (Specify Below)

Yes – may be eligible – Complete section below No – not eligible

PROJECT NAME / DATE	SCOPE OF WORK	Code	MBE/ESB COMPANY NAME/CONTACT PERSON/PHONE

DEFINITIONS	MINORITY BUSINESS ENTERPRISE	GOOD FAITH MBE/ESB PARTICIPATION EFFORTS		EMERGING SMALL BUSINESS
DEFINITIONS	A business at least 51% of which is owned and controlled or 51% operated by minority group members or, in case of a stock corporation, at least 51% of the stock which is owned and controlled by minority group members. Minority group members are citizens of the United States who are African American, Hispanic American, Asian American and American Indian.	The sum total of efforts by a particular business to provide equitable participation of minority business enterprise or emerging small business subcontractors. For past efforts, this sum total shall be comprised of the record of participation by minority business enterprises and emerging small businesses through subcontracting or joint ventures. For future efforts, it shall be comprised of such efforts, which are proposed to allow equitable participation of minority business enterprise or emerging small business subcontractors.		A business that (1) has been certified by the Office of Minority Business Development for a period of seven years or less, (2) has annual gross receipts for each of its three fiscal years preceding application for certification of \$500,000 or less if engaged in the construction business or of \$250,000 or less if engaged in non-construction business, (3) has fewer than ten employees, (4) is not a subsidiary of another business and does not belong to a group of businesses owned and controlled by the same individuals, (5) has its principal place of business within the City of Richmond Enterprise Zone, (6) possesses a City business license, and (7) pays personal property, real estate, and business taxes to the City of Richmond.

Bidder and the MBE/ESB agree that the MBE/ESB shall not subcontract or assign any work described herein to another entity without prior written approval of the City of Richmond.

THE UNDERSIGNED HEREBY CERTIFIES THAT S/HE HAS READ THE TERMS OF THIS COMMITMENT AND IS AUTHORIZED TO BIND THE BIDDER TO THE COMMITMENT HEREIN SET FORTH.

SIGNATURE OF AUTHORIZED OFFICIAL:

DATE:



Office of Minority Business Development
900 East Broad Street
City Hall, 9th Floor
Richmond, VA 23219
Office: (804) 646-5947

**Good-Faith Minority Business Enterprise
and Emerging Small Business Participation Efforts
Documentation of Contacts**

Request for Qualification or Request for Proposals No.: _____

Project Name: _____

Name of Contractor: _____

Part I – Method of Contact

How did you contact each Minority Business Enterprise or Emerging Small Business?

A. **Telephone.** For each firm contacted:

- State the name of the firm, the name of the person contacted, the telephone number contacted and the date of the contact.

B. **Fax.** For each firm contacted:

- State the name of the firm, the fax number contacted and the date of the contact.
- Attach a copy of the fax transmittal sheet indicating receipt of the fax.

C. **E-Mail.** For each firm contacted:

- State the name of the firm, the name of the person contacted by e-mail, the e-mail address at which you contacted the person and the date of the contact.
- Attach a copy of the e-mail sent. All copies of e-mails must include metadata indicating "From," "To" and "Cc" e-mail addresses as well as the date and time of the e-mail.

D. **Newspapers and Other Publications.** For each advertisement placed in a newspaper or other publication:

- State the name of the newspaper or other publication and the date or dates on which the advertisement was published.
- Attach a copy of both the published advertisement and any solicitation advertised.

E. **Other.** For methods of contact not included above:

- Describe the nature of the contact.
- As applicable, state the name of the person contacted, the name of the firm contacted and the date of the contact.
- Attach a copy of any written documentation of the contact.

Attachment A sets forth the form in which the information required above must be submitted.

(Turn Over)

**Attachment A – Form of Information Documenting
Method of Contact**

MBE/ESB Name Contact Person Address Phone Number Fed ID Number	Telephone	Fax	Email	Newspaper or Other Publication	Other	Response of Contacted Firms	Enter Below Code for Ownership of each MBE Firm.
	Telephone # Date of Contact	Fax # Date of Contact	Email Address Date of Contact	Name of Newspaper or Other Publication Date (s) of Advertisement	Separate Written Statement with any supporting documentation for each contract	MBE/ESB Response Yes, No, No Response or Comment	1 = African American 2 = Hispanic American 3 = Asian American 4 = American Indian 5 = Other (Specify Below)
ABC Co., Inc. Joe Johns 110 Main Street, Anywhere, USA (XXX) 555-5555 54-XXXXXX	(804) 555- 5555 01/28/09	(804) 555- 5555 01/28/09	ABC@gmail.com	Times Dispatch	See Attachment	Yes	1

Additional copies can be made