Report to the Auburn City Council

Action Item
Agenda Item No. 8

City Manager Approval

To: Mayor and City Council Members

From: Bernie Schroeder, Director of Public Works
Megan Siren, Administrative Analyst

Date: April 14, 2014

Subject: Request for Proposals for Operations and Maintenance for the Wastewater Treatment Plant and Sewer Collection Systems

The Issue

Shall the City issue a Request for Proposals (RFP) for qualified contract operations firms to propose on Operations and Maintenance for the Wastewater Treatment Plant and Sewer Collection System.?

Conclusion and Recommendation

Staff recommends that the City Council, by MOTION, authorize the Director of Public Works to submit the RFP and report back to the City Council after proposals are received and evaluated.

Background

The City last conducted a RFP for contract operations for the City's Wastewater Treatment Plant (WWTP) and Sewer Collection System in 1993. The City Council last approved a contract with the City's current contract operations provider, CH2M HILL- OMI in May 2012. The current contract expires on July 31, 2014.

At the October 28, 2013 City Council Meeting, Council authorized staff to execute an agreement with Municipal Consulting Group, LLP to prepare the City's RFP documents. That work is largely complete and is now ready to be submitted to qualified contract operation firms.

The following activities and schedule are anticipated:

Item No.	Description	Date
1	Council Action for RFP distribution	April 14, 2014
2	RFP Distribution	April 15, 2014
3	Mandatory pre-proposal conference	April 23, 2014
4	Proposals Accepted by City	May 12, 2014
5	Staff Review of Proposals	May 12 to 30, 2014
7	Notify Operators	May 30, 2014
8	Council Action: Award of Contract	June 9, 2014
9	Notice of Award of Contract	June 10, 2014
10	Notice to Proceed	August 1, 2014

Alternatives Available to Council; Implications of Alternatives

1. Do not take action to submit the RFP. If Council decides to not pursue the RFP process, Staff would amend the current contract with CH2M HILL to extend its terms as it has in previous years.

Fiscal Impact

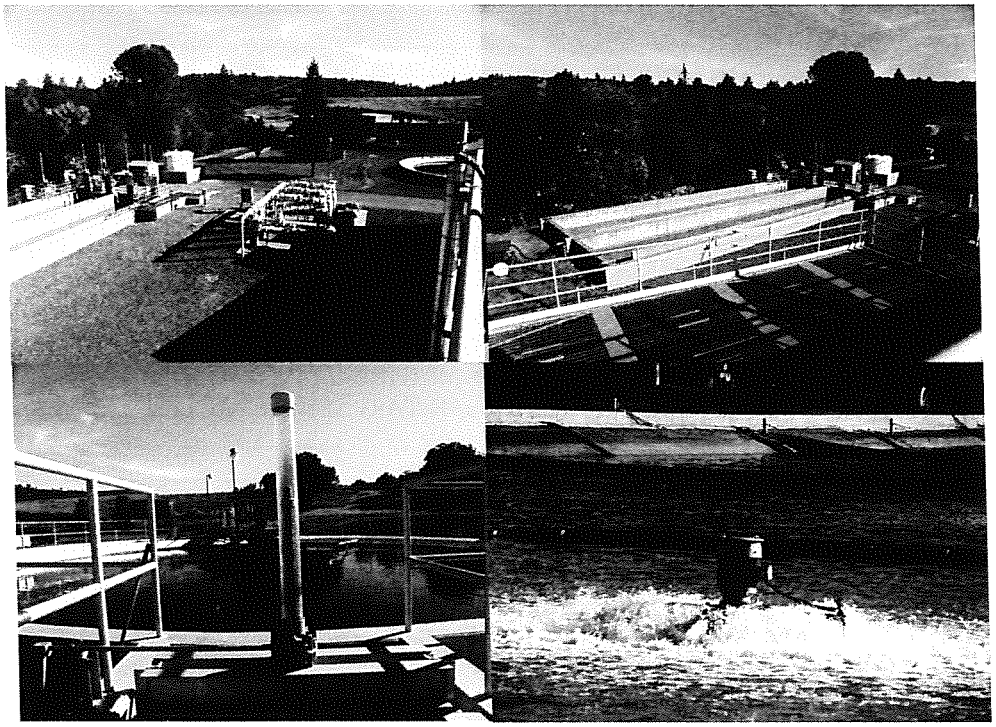
The current contract operations budget has been included in the City's Sewer Budget. Staff expects costs to either be similar to the current budgeted amount or go down based on the proposal results.

The Request for Proposals for Operations and Maintenance for the Wastewater Treatment Plant and Sewer Collections Systems is available for review in the City Clerk's Office.

CITY OF AUBURN

Request for Proposals

Contract Operator for the Wastewater Treatment Plant & Sanitary Sewer Collection System



April 2014

Prepared by:

MUNICIPAL CONSULTING GROUP

for:

City of Auburn
Department of Public Works
City Hall
1225 Lincoln Way, Room 3
Auburn, CA 95603

Request for Proposal (RFP)

INSTRUCTIONS FOR PROPOSAL

1. MANDATORY PRE-PROPOSAL MEETING

A mandatory pre-Proposal meeting for this RFP will be held on Wednesday April 23, 2014, 10:00 a.m., at the following location:

City of Auburn
City Hall, Council Chambers (located on the first floor)
1225 Lincoln Way
Auburn, CA 95603

2. RECEIPT AND OPENING OF PROPOSALS

The City of Auburn invites qualified companies to submit Proposals for the hiring of a qualified firm to serve as the Wastewater Treatment Plant and Sanitary Sewer System Operator (referred as the "Operator"). Proposals will be received in the City Clerk's Office by **1:30 p.m. on May 12, 2014**.

Proposals must be submitted in a sealed envelope containing one (1) executed original and 6 signed copies of the Proposal that must be sealed and addressed to:

City of Auburn
City Clerk
1225 Lincoln Way
Auburn, California 95603,
Attention: RFP - –WASTEWATER TREATMENT PLANT/SANITARY SEWER SYSTEM OPERATOR

The proposed Compensation Table shall be submitted in a separate and sealed envelope, concurrently with each Proposal. Each envelope must be marked "RFP –WASTEWATER TREATMENT PLANT/SANITARY SEWER SYSTEM OPERATOR," and must show the Operator's name and address clearly on the outside of each sealed envelope, and in the cover letter of introduction described below. The envelope with the Compensation table shall also include a marking "Compensation Table."

Proposals will not be opened publicly. Any Proposal received after the established closing date and time will not be accepted and will be returned unopened. Proposals may be withdrawn upon written request at any time prior to the established closing date and time. The Proposal must sign such request by an authorized agent.

3. EXAMINATION OF REQUIREMENTS

Each proposed Operator must carefully examine the requirements contained herein. Upon receipt of responses hereunder, each proposed Operator shall be thoroughly familiar with all requirements contained herein. The failure or omission to examine any form or document shall in no way relieve a proposed Operator from any obligation in respect to this RFP, as submitted. Any misinterpretation of the requirements is solely that of the proposed Operator.

4. PREPARATION OF PROPOSAL

As described in "Attachment 4, Proposal Package Requirements," Proposals must be submitted in the following format:

1. Cover letter
2. Executive Summary
3. Firm Profile and Experience
4. Organization and Key Personnel – including sub consultants
5. Compensation Table (Attachment 6)
6. Conflict of Interest
7. Exceptions
8. Appendix A- Operator Pre-Qualification Summary (Attachment 7)
9. Appendix –Other materials/information (optional)

In addition, any material that will add to the persuasiveness of your Proposal may be included as an appendix to the Proposal. If the materials do not directly address the stated requirements, please include such materials and information in an appendix or a separate volume. The City will review and consider all material submitted, but will concentrate on the materials that directly addresses the City's stated needs.

Your Proposal must be signed and dated, in black or blue ink, by the owner, partner, or corporate officer of the company, or by an agent duly authorized to represent the contractor under this RFP. Include the name and position held within proposed Operator's organization.

5. SITE INSPECTION

Before submitting a Proposal, each proposed Operator shall make all investigations and examinations necessary to ascertain all conditions and requirements affecting the full performance of the contract and to verify any representations made by the City upon which the Proposal will rely. If the proposed Operator receives an award as a result of its submitted Proposal, failure to have made such investigations and examinations will in no way relieve the proposed Operator from its obligation to comply in every detail with all provisions and requirements of the documents, nor will a plea of ignorance of such conditions and requirements be accepted as a basis for any claim whatsoever by the Operator for additional compensation.

6. ADDENDA AND INTERPRETATION

No interpretation of the meaning of the specifications or other Proposal documents will be made to any proposed Operator orally. Proposed Operators are not to contact any individual other than the City's Agent, Municipal Consulting Group, LLP. To be given consideration, every request for such interpretation must be in writing and addressed to:

MCG (for the City of Auburn)
6238 Birdcage Street
Citrus Heights, CA 95610; or

or by email to:

kpayne@municipalcon.com.

All request for interpretations must be received at least seven (7) days prior to the date fixed

for the closing of Proposals.

Requests for interpretation must be labeled as "City of Auburn WWTP/SS RFP" and may be e-mailed to kpayne@municipalcon.com. No faxed requests will be taken. Any and all such interpretations and any supplemental instructions will be in the form of written addenda which, if issued, will be mailed or e-mailed to all known prospective proposed Operators (at the respective email addresses or mailing addresses furnished for such purposes), no later than five (5) calendar days prior to the date fixed for the closing of Proposals. Addenda required later than five (5) calendar days prior to the Proposal closing date may cause a postponement in the Proposal closing date. Failure of any proposed Operator to receive any such addendum or interpretation shall not relieve such proposed Operator from any obligation under this RFP as submitted. All addenda so issued shall become part of the specifications and contract documents.

7. AWARD OF CONTRACT

The award of the contract will be based on qualifications, and made to a responsive and responsible proposed Operator whose Proposal best meets the needs of the City. The successful proposed Operator will enter into a contract with the City incorporating all prescribed requirements and conditions of this request for Proposals. If the successful proposed Operator refuses or fails to execute the contract, the City may consider the next most qualified proposed Operator. The City shall be the sole judge as to the successful proposed Operator.

The City reserves the right to reject any or all responses to this Request for Proposals ("RFP") and to waive any informality or irregularity in this RFP or in responses, to negotiate with all qualified sources, or to cancel, in part or in its entirety, this RFP, in the best interest of the City. This RFP does not commit the City to award a contract, or to procure or contract for services or goods.

Before award, proposed Operator may be required to validate and/or furnish further evidence of capability, equipment, and financial resources to adequately perform the job.

8. SELECTION OF OPERATOR

The proposals will be screened by a selection committee and rated on:

a. Work Plan.
b. Understanding of the Project.
c. Responsiveness to the RFP.
d. Experience and qualifications of the firm, project manager, key personnel, and sub-consultants on similar projects.
e. Innovative approaches.
f. Cost relative to services provided.

The three firms submitting the most highly rated Proposals may be invited for interviews, at the discretion of the City. If interviews are conducted, the proposed project manager must be present at the interview; other team members may attend at the discretion of the firm. After this process, the firms will be ranked and the firms notified. City staff will then enter into

cost negotiations with the highest rated firm. Following successful negotiations, a recommendation will be made to Auburn City Council to award the work. In the event that cost negotiations are not successful, staff reserves the right to enter into negotiations with the next highest ranked firm. This process will repeated as necessary until cost negotiations are successful.

GENERAL TERMS AND CONDITIONS

The following "General Terms and Conditions" shall be applicable to any contract or agreement entered into as a result of this RFP. The terms "Operator ", "proposed Operator", "proposer", "operator", "contractor" and "firm", may be used interchangeably in this solicitation and shall refer exclusively to the person, company or corporation with whom the City enters into a contract as a result of this solicitation.

1) The City may make such investigations as necessary to determine the ability of the Operator to perform the services as required. The City reserves the right to reject any Proposal if the evidence submitted by, or investigation of, such contractor fails to satisfy the City that the Operator is qualified to carry out the obligations of the contract.
2) All work performed shall be completed in a competent manner according to Prudent Industry Practices. All persons engaged in the work, including subcontractors, will be considered as employees of the Operator. The Operator will be held responsible for their work. The City will deal directly with and make all payments to the Operator.
3) The Operator shall be an independent contractor in performing services for the City as part of any contract entered into as a result of this proposal. Operator and Operator's agents, employees, subcontractors and other persons acting on the Operator's behalf are not employees of the City.
4) The Operator shall comply with all applicable federal, state and local laws, ordinances, regulations and codes and shall obtain and maintain throughout the term of the contract, all required permits, certificates and licenses, including a City of Auburn business tax certificate.
5) The Operator agrees that all persons employed by Operator shall be treated equally by Operator without regard to or because of race, color, religion, ancestry, national origin, handicap, sex, marital status, or age and in compliance with all anti-discrimination laws of the United States of America, the State of California, and the City.
6) The Operator agrees to indemnify, hold harmless and defend the City, its City Council, and each member thereof, and every officer, employee, representative or agent of the City, from any liability, claims, demand, actions, damages (whether in contract or tort, including personal injury, death at any time, or property damage), costs and financial loss, including all costs and expenses and fees of litigation or arbitration, that arise directly or indirectly from any acts or omissions related to the agreement performed by the Operator or Operator's agents, employees, subcontractor, or other persons acting on Operator's behalf. This agreement to indemnify, hold harmless and defend shall apply whether such acts or omissions are the product of active negligence, passive negligence, willfulness or acts for which Operator or Operator's agents, employees, subcontractors, or other persons acting on Operator's behalf would be held strictly liable.
7) The Operator shall obtain and maintain throughout the term of the contract, insurance coverages, with the City as additional insured, as specified in the Sample Agreement, Attachment No. 5.
8) City may terminate contract at any time, with or without cause, by giving notice to Operator. Such termination shall be effective ten (10) calendar days from the date of delivery or mailing of such notice.
9) In the event of any dispute with regard to the provisions of any contract entered into hereunder, the dispute may be submitted to arbitration upon mutual agreement of the parties, under such procedures as parties may agree upon, or, if the parties cannot agree, then under the applicable rules of the American Arbitration Association.
10) City agrees to pay Operator upon satisfactory completion of services provided and upon submission to City of any invoice for said services performed.

QUALIFICATIONS AND RESPONSIBILITIES

1. PROPOSAL REQUIREMENTS AND FORMAT

1.1. The PROPOSAL shall be concise, well organized, and demonstrate the responder's qualifications and experience applicable to the project, and understanding of the project. The PROPOSAL shall be limited to twenty-five (25) one-sided (8-1/2" x 11") pages, exclusive of resumes, cover letter, graphics, dividers, and front and back cover. Type size and margins for text pages shall result in no more than approximately 500 words per page.

1.2. Proposed OperatorS will be evaluated based on the information submitted in accordance with the requirements outlined within this RFP. Proposals submitted, in response to this RFP, shall be in the order and contain the minimum elements outlined in Attachment 4, Proposal Package Requirements, herein.

1.3. Failure to comply with the requirements of this RFP may result in disqualification.

1.4. The City is under no obligation to consider Proposals received subsequent to the time and date specified herein.

2. REFERENCE MATERIALS

2.1. A detailed introduction about this project can be found in Attachment #1.

2.2. A detailed system background and description can be found in Attachment #2.

2.3. A detailed scope of work for this project can be found in Attachment #5, Sample Agreement, which will be used for the basis of this RFP.

3. PRE-SUBMITTAL ACTIVITIES

3.1. All questions regarding this RFP should be addressed to the following City representative:

Kenneth V Payne, Agent
6238 Birdcage Street
Citrus Heights, CA 95610
916- 425-0734
kpayne@municipalcon.com

3.2. A mandatory pre-proposal meeting for this RFP will be held on April 23, 2014 at 10:00 a.m. at the City of Auburn, City Hall, City Council Chambers, 1225 Lincoln Street, Auburn, California 95603.

3.3. Addendums/Revisions to the RFP

3.3.1. City reserves the right to revise the RFP prior to the date that Proposals are due. Revisions to the RFP shall be e-mailed or mailed to all known potential proposed Operators. City reserves the right to extend the date by which the Proposals are due.

4. SELECTION PROCESS

4.1. A Selection Panel ("Panel") comprised of representatives of the City will be established for this project by City.

4.2. The Panel will review and rank the Proposals. The City will contact the selected Operator and negotiate with qualified the Operator based on the content of the proposals relative to firm experience, project team experience and qualifications, and past record of performance.

4.3. City **may** request an interview and/or site visit from any or all of the qualified firms to further assist in the selection process.

4.4. City reserves the right to reject any or all Proposals.

4.5. The following method shall be utilized in selecting the Operator:

4.5.1. An evaluation of overall quality, capability, resource availability and financial stability of the Operator.

4.5.2. An evaluation of references provided with respect to responsiveness, quality of work, timeliness and overall performance of the Operator and the proposed staff.

4.5.3. An evaluation of the Operator's experience, training and qualifications.

4.5.4. The extent to which the Operator's Proposal meets the pre-qualifications criteria and other requirements set forth in the RFP.

4.5.5. Analysis of the fee schedule AND ability to meet the performance criteria and other requirements set forth in the RFP.

4.5.6. Whether the fee schedule as provided in the Proposal is guaranteed firm, evidenced in writing and signed by an authorized representative of the Operator's entity.

4.5.7. The fee and Proposal for additions or deletions to the Project.

4.5.8. The percentage of the work that is to be performed by the Proposed Operator, the ability to dedicate a Project Manager for 100% of the Project, qualifications of the proposed operators, and the sub-contractors that can be identified at the time the Proposal is submitted.

4.5.9. The City will negotiate with the top ranked proposed Operator (Operator). The negotiations may include but not be limited to project costs/fee schedule, scope, and schedule. If negotiations are unsuccessful, negotiations will cease with the top ranked proposed Operator, and may begin with the next highest ranked proposed Operator.

4.5.10. Award shall be made to the Operator whose Proposal is judged as providing the best value to the City while meeting the objectives of the Project.

5. SPECIAL CONSIDERATIONS

5.1. Reservations

5.1.1. This RFP does not commit City to award a contract, to defray any costs incurred in the preparation of a proposal pursuant to this RFP, or to procure or contract for work.

5.2. Public Records

5.2.1. All Proposals submitted in response to this RFP become the property of City and public records, and as such, may be subject to public review.

5.3. Right to Cancel

5.3.1. City reserves the right to cancel, in part or in its entirety, this RFP. If City cancels or revises this RFP, City will notify all proposed Operators in writing.

5.4. Additional Information

5.4.1. City reserves the right to request additional information and/or clarifications from any or all proposed Operator to this RFP.

5.5. Insurance Requirements, Permits, Licenses, Agreement

5.5.1. The successful firm shall maintain in force at its own cost at all times during the performance of the assignment insurance in accordance with the requirements as outlined in Attachment #5, Sample Agreement, as attached to this RFP. If the firm cannot or will not provide insurance as identified, the City will not contract with the firm.

5.6. Contractual Requirements

5.6.1. The successful firm will be required to enter into a contract with the City using the City's "Agreement for Operations, Maintenance, and Management Services." A copy of a sample Agreement is Attachment No. 5 to this RFP. Provisions include, but are not limited to, indemnification, insurance requirements, applicable compliance to ordinances, laws, regulations and licenses, City business tax certificate and other terms and conditions. If a firm is not prepared to accept the terms of these general clauses, the firm should not submit a proposal.

5.7. False declaration unlawful.

5.7.1. The information concerning the design-build entity's qualifications and experience shall be verified under oath by the alternative delivery method entity and its members. It is unlawful to submit any declaration under this chapter containing any material matter that is false.

5.8. Withdrawal of proposals.

5.8.1. Proposals may be withdrawn by written notice to the city department for any reason at any time prior to the deadline set forth in the RFP and the proposal guarantee for the proposal shall be returned. Timely withdrawal of a proposal shall not prejudice the right of an alternative delivery method entity to timely file a new proposal.

5.9. Selection method.

6. SCHEDULE

6.1. The projected schedule below will be used during the submittal and review process for this RFP. The dates are used for guidance and are subject to change.

Task No.	Task Description	Task Due Date
1	Council Action	April 14, 2014
2	RFP Distribution Date	April 15, 2014
3	Mandatory pre-proposal conference	April 23, 2014
4	Proposals Accepted by City	May 12, 2014
5	Staff Review of Proposals	May 12 to 16, 2014
6	Optional Interviews with Operators	May 19 to 21, 2014
7	Notify Operators	May 27 to 30, 2014
8	Council Action: Award of Contract	June 9, 2014
9	Notice of Award of Contract	June 10, 2014
10	Notice to Proceed	August 1, 2014

Attachment 1, INTRODUCTION-PROJECT DESCRIPTION

INTRODUCTION

1.1 The City of Auburn is requesting Proposals for the hiring of a Wastewater Treatment Plant and Sanitary Sewer System Operator (hereafter referred as "Operator").

1.2 This RFP provides the basic description; describes the required scope of services in general terms; defines the selection process; and defines the information that must be submitted to be responsive to this RFP.

PROJECT DESCRIPTION:

The City is soliciting professional services to manage the operation, maintenance and administration of Wastewater Division facilities, including but not limited to, wastewater collection system, and wastewater treatment plant. Attachment #5, Sample Agreement for the Operations, Maintenance, and Management Services for the City of Auburn Wastewater Treatment Plant and Sanitary Sewer System, provides a description and detailed sample scope of services for the proposed project.

Attachment 2, GENERAL INFORMATION AND DESCRIPTION

City of Auburn

The City of Auburn, California, is the county seat of Placer County. Auburn is geographically located Northeast of Sacramento and Southwest of Lake Tahoe. It's bordered by the American River Canyon and nestled in the western foothills of the Sierra Nevada Mountains. Located at the crossroads of I-80 and historic Highway 49. The 2010 United States Census reported that Auburn had a population of 13,330. The population density was 1,860.2 people per square mile. The City encompasses approximately 7.5 square miles and is situated at elevations between 1,000 and 1,400 feet.

Wastewater Division

The City of Auburn owns its own wastewater treatment and collection system, which serves the municipal boundaries of the city. Operations Management International (OMI) currently performs operation and maintenance of the wastewater treatment and collection system under contract. The Auburn Municipal Airport and Industrial Park are served by Placer County Sewer Maintenance District #1 (SMD #1).

The City of Auburn WWTP is located west of the city in the Ophir area. The WWTP provides tertiary level treatment and has a permitted capacity to treat 1.67 mgd average dry weather flow. Dry weather flows are currently about 1.2 mgd. The plant uses an oxidation ditch for secondary treatment. Oxidation ditches are large aeration basins that operate with long (>15 day) sludge ages to completely nitrify the wastewater. The oxidation ditch system at the Auburn WWTP is currently operated to nitrify and partially denitrify by timing the aeration rotors to sequence on and off. While the aerators are on, the system nitrifies (bacteria oxidize ammonia to nitrate). When turned off, the system denitrifies (bacteria use nitrate as their oxygen source and nitrate is converted to nitrogen gas). To date, the system has worked well and the City has been monitoring how reliably the process works when colder temperatures and elevated wet weather flow reduce nitrification efficiency.

The City's discharge permit includes the following compliance limits for ammonia: 1.9 mg/L ammonia-N as a maximum monthly average and 5.8 mg/L ammonia-N as a daily maximum condition. Additionally, effluent nitrate-nitrogen must be below a monthly average of 10 mg/L. The plant has been in full compliance since the upgrades were put online in November of 2010. Process performance for this type of process, however, is difficult to predict as the City grows from its current flows (1.2 mgd) to its permitted 1.67 mgd capacity. In addition, the oxidation ditch is older and nearing it's useful life. For these reasons, the City is planning to construct improvements for a new aeration basin capable of nitrification and de-nitrification.

The basin will be constructed directly south of the existing ditch in part of the area currently occupied by Pond 4. The new aeration basin will include a separate anoxic basin for de-nitrification, an aeration basin for nitrification, and recycle pumping systems to promote nitrate removal. After completion the existing oxidation ditch will be taken offline.
It is anticipated the project will be constructed in 2015 and part of 2016.

The city also maintains over 85 miles of wastewater collection lines and over 1,500 manholes throughout the city. This network of pipes collects sewage from residences and businesses within the city and transports it to the treatment plant. The City also maintains 11 sewer lift stations.

Attachment 3, SAMPLE SCOPE OF WORK

SCOPE OF WORK

The scope of services for this project consists of providing the services to operate, maintain and manage the City's Wastewater Treatment Plant and Sanitary Sewer Collection System. Attachment #5, Sample Agreement for the Operations, Maintenance, and Management Services for the City of Auburn Wastewater Treatment Plant and Sanitary Sewer System, provides a description and detailed sample scope of services for the proposed project.

Attachment 4, PROPOSAL PACKAGE REQUIREMENTS

The following provides an outline for submitting any proposed Proposal. The Proposal must contain, at minimum, the following elements:

1. *Cover Letter*

2. *Executive Summary*

2.1. Include an overview of the entire proposal describing the highlights of the proposal.

3. *Firm Profile and Experience*

3.1. Include a profile of the firm history and structure; number and makeup of the firm-wide and local resources; firm corporate office and local office locations; and profiles of at least three (3) representative projects that best demonstrate your qualifications and experience applicable to the services, your knowledge of the local environment, and your record of success as measured by client satisfaction.

3.2. The profiles on your representative projects shall identify the Client Contact Persons with current telephone numbers, e-mail addresses, and services provided by the firm.

4. *Project Organization and Key Personnel*

4.1. Include a description of the proposed project organization, including identification of key personnel and their qualifications, experience, experience with the firm, and project responsibilities.

4.2. Project Management Plan

4.2.1. Provide all professional and support services required to manage, control, track and report on the progress of work and expenditures provided under this scope of work, including but not limited to:

4.2.1.1. Coordination and management of all Operator's management and staff.

4.2.1.2. Quality Assurance / Quality Control measures.

4.2.1.3. Project coordination meetings.

4.2.1.4. Coordination and management using qualified engineers, with California Professional Engineer registration, as required for regulatory compliance, capital improvement needs, process improvements and optimizations.

4.3. Plant Operation

4.3.1. Provide Grade IV Wastewater Treatment Plant Operator to supervise and manage the operation of the Auburn Wastewater Treatment Plant, wastewater collection system, source control division, and Advanced Water Purification Facility (AWPF):

4.3.2. Provide certified operator(s) as outlined in the Sample Agreement.

4.3.3. Oversee daily plant operation and maintenance.

4.3.4. Supervise plant staff included operators in training.

4.3.5. Ensure compliance with all permits and regulations.

4.4. Permitting

4.4.1. Provide all necessary services, and qualified staffing, to maintain and update all required permits including, but not limited to:

4.4.2. Regional Water Quality Control Board.

4.4.3. State Water Resources Control Board.

4.5. Plant Optimization

4.5.1. Provide all necessary services, including qualified staffing, to optimize plant operations and maintenance including but not limited to:
4.5.2. Perform plant optimization analysis.
4.5.3. Develop maintenance and capital improvement project plan.
4.5.4. Review and update computerized maintenance management system (CMMS)
4.5.5. Develop technical memorandum and reports as required.

4.6. Organization Optimization

4.6.1. Provide all necessary services to optimize administrative functions including, but not limited to:
4.6.1.1. Review and update administrative procedures.
4.6.1.2. Review and update health and safety procedures.
4.6.1.3. Review and update operations and maintenance manuals.
4.6.1.4. Review and update laboratory procedures.
4.6.1.5. Review and update permits administration and management procedures.

4.7. Support

4.7.1. Provide all required professional and administrative support including, but not limited to:
4.7.1.1. Record keeping.
4.7.1.2. Procurement.
4.7.1.3. Training.
4.7.1.4. Develop financial information and management requirements.
4.7.1.5. Develop operating budget.
4.7.1.6. Community outreach
4.7.1.7. Regulatory compliance
4.7.1.8. Wastewater treatment process improvements.

4.8. Transition

4.8.1. Provide all necessary services to facilitate a smooth and rapid transition to full City staffing including, but not limited to:
4.8.1.1. Recruit required staff.
4.8.1.2. Train existing and new staff.

5. Compensation Table

5.1. Complete the Compensation Table as provided in Appendix G-Compensation Table, which is included in Attachment #5, Sample Agreement.
5.2. The Compensation Table shall be separated and placed in a separate sealed envelope, and submitted concurrently with the separated sealed Proposal.
5.3. The Compensation Table envelope must be marked "RFP –WASTEWATER TREATMENT PLANT/SANITARY SEWER SYSTEM OPERATOR Compensation Table", and must show the Operator's name and address clearly on the outside of each sealed envelope.

6. Conflict of Interest

6.1. Name of entities associated with Service Provider who may have a conflict of interest with any activity of this RFP should be included in the proposal. Provide details and reasons. Service providers are subject to disqualification on the basis of conflict of interest as determined by the City.

7. *Exceptions*

7.1. Service Providers shall certify that they take no exception to this RFP, including but not limited to the provisions of the City of Auburn Agreement, included as Attachment 5. These provisions will be included in any agreement with Service Provider. If the Service Provider does take exception to any portion of the RFP, the specific portion of the RFP to which exception is taken shall be identified and fully explained.

8. *Appendix A – Pre-Qualification Forms*

8.1. The City has determined that pre-qualification criteria is in the best interest of the city to achieve a best value with the receipt of Proposals, and seeks information about each proposed Operator in order to evaluate qualifications.

8.1.1. As discussed in Attachment 2, General Information and Description, herein, the City is planning to construct process performance improvements at the WWTP as the plant flows increase from the current 1.2 mgd flow rate to its permitted 1.67 mgd capacity. Improvements include a new aeration basin capable of nitrification and de-nitrification that will be constructed directly south of the existing ditch in part of the area currently occupied by Pond 4. It is anticipated the project will be constructed during the term of this proposed operations contract, in 2015 and 2016; therefore, the City is also assessing the qualifications of the Operator's firm's capabilities to provide engineering support services to the operations staff as needed for transitional and indirect process needs as process improvements are incurred at the WWTP.

8.2. The assessment topics for the Pre-qualifications Criteria includes:

8.2.1. Company Information

- 8.2.1.1. Type of Company
- 8.2.1.2. Organization
- 8.2.1.3. Bonding Capacity
- 8.2.1.4. Performance Claims History
- 8.2.1.5. Safety
- 8.2.1.6. Regulatory
- 8.2.1.7. Insurance
- 8.2.1.8. References

8.2.2. Staffing

- 8.2.2.1. Project Manager and/or Chief Plant Operator
- 8.2.2.2. Supervisor
- 8.2.2.3. Operator
- 8.2.2.4. Operator-in-Training
- 8.2.2.5. Support staff, to be used on an as needed

Except for the Compensation Table as discussed above, the proposal must be submitted in a separate and sealed envelope and marked "RFP –WASTEWATER TREATMENT PLANT/SANITARY SEWER SYSTEM OPERATOR", and must show the Operator's name and address clearly on the outside of each sealed envelope, and in the cover letter of introduction described below.

Attachment 5, SAMPLE AGREEMENT FOR THE OPERATIONS, MAINTENANCE, AND MANAGEMENT SERVICES FOR THE CITY OF AUBURN WASTEWATER TREATMENT PLANT AND SANITARY SEWER SYSTEM

Attachment 6, COMPENSATION TABLE

The Following Table Is Taken From "Appendix G – Compensation Table" of the *Sample Agreement (Attachment #5).*

	(A)
	PROPOSED
	EXPENDITURE
Labor	
Labor-Site	
Overtime	
Bonus Hourly	

Other Direct Costs:	
Physical_Exams	
Uniform Expense	
Employee Morale	
Dues_Subscriptions	
Meeting_Facilities	
Tuition_Fees	
Books	
Safety_Training	
Auto_Mileage_Reimbursement	
Auto_Rentals	
Air_Transportation	
Meals_Travel	
Moving_Relocation	
Lodging	
Travel_Other	
Electricity	
Chemicals	
Outside_Services	
Laboratory_Services	
Temporary_Help_Agency	
Contract_Hauling	
Tip_Fees	
Natural_Gas	
Fuel_Oil	
Water	
Subcontract_Service_Other	
Supplies_Miscellaneous	
Material	
Telephone_Mobile	
Telephone_Office	
Auto_Leases	

Fleet_Vehicle_Expense	
Auto_Maintenance	
Equipment_Maintenance	
Equipment_Supplies	
Equipment_Rental	
Supplies_Office	
Furniture_Fixtures	
Computer_Expense	
Other_Office_Expense	
Jobsite_Trash_Removal	
Advertising_Recruiting	
Building_Maintenance	
Contributions	
Office_Rent	
Safety_Equipment	
Licenses_Fees	
Meals_Business	
Postage_Freight	
Sales_Use_Tax	
Other_Taxes	
Client_Plant_Equipment	
Insurance_Other	
Fines_Penalties	
Net_Asset_Charge	

Sub Total	

Management Fee	

Incentives	

TOTAL

Attachment 7, OPERATOR PRE-QUALIFICATION CRITERIA

The City has determined that pre-qualification criteria is in the best interest of the city to achieve a best value with the receipt of Proposals, and seeks information about each proposed Operator in order to evaluate qualifications.

Objectives of the Pre-qualifications criteria includes:

A. Obtaining documentation that establishes that the proposed Operator has the appropriate level of experience and is a State certified wastewater treatment operator;
B. Obtaining documentation that establishes that the proposed Operator has the appropriate level of experience with sanitary sewer collection systems, and is a certified sanitary sewer operator through the California Water Environment Association's TCP;
C. Obtaining documentation that establishes that the proposed Operator has access to professional engineering support with the appropriate level of experience in matters related to regulatory and process improvement in compliance with the State of California.
D. Obtaining documentation that establishes that the Operator has completed projects of similar size, scope, structure, or complexity, and that proposed key personnel have sufficient experience and training to competently manage and operate the Project.
E. Obtaining documentation that the Operator has the experience, competence, and capacity needed to effectively operate the Project on schedule.
F. Obtaining documentation that the Operator has the capacity to obtain all required payment and performance bonding, liability insurance, and errors and omissions insurance, as well as a financial statement assuring the City that the Operator has the capacity to perform the services for the Project.
G. Obtaining documentation that the Operator to provide detail, for the past five years, concerning Civil, criminal, or administrative violations or any written accusations by a government entity against the Operator and/or any of its members for submitting a false or fraudulent claim to a public agency.
H. Other information related to a project designed to assess the qualification of the Operator.

COMPANY INFORMATION:
Proposed Operator Name:

_____

Address: _____

_____

Phone Number: _____ Fax #: _____

Contact Name: _____ Email: _____

TYPE OF COMPANY:
Check the appropriate type of company:

☐ Corporation ☐ Limited Liability Company ☐ Partnership

☐ Joint Venture* ☐ Sole Proprietorship

If proposed Operator is a corporation, answer the following:

Date of Incorporation: _____
State of Incorporation: _____
Name of Officers: _____
President: _____
Vice President: _____
Secretary: _____
Treasurer: _____

If proposed Operator is a limited liability company, answer the following:

Date of Organization: _____
State of Organization: _____
Name(s) of Managing Member(s): _____/_____
Name(s) of Members: _____/_____
_____/_____
_____/_____

If proposed Operator is a partnership, answer the following:

Date of Organization: _____
Jurisdiction Where Filed: _____
Type of Partnership (if applicable): _____
Names of General Partner(s): _____
_____

If proposed Operator is individually owned, answer the following:

Date of Organization: _____
Jurisdiction Where Trade Name is Filed: _____
Name of Owner(s): _____/_____
_____/_____

*If a joint venture, provide a copy of joint venture agreement.

All parties shall submit Pre-Qualification Statement and history of each member of the joint venture.

Attached? Yes ☐ No ☐

ORGANIZATION:

- How many years has proposed Operator been in business to provide operations management? _____
- How many years has proposed Operator been in business under its present name? _____
- How many personal are located within the Placer/Sacramento county region? _____
- Under what other or former names has proposed Operator operated? _____
- Does the Proposed Operator have access, within its firm, to professional engineering support for regulatory compliance and wastewater processing that is experienced with the RWQCB or SWRCB? Yes ☐ No ☐

Tax Identification Numbers:

California State Tax ID#: _____

Federal Tax ID#: _____

Number of Employees: _____

Office _____ Field _____ Shop _____

List jurisdictions and trade categories in which proposed Operator is legally qualified to do business.

_____

_____

_____

State of California license, registration or certificate number (and if a joint venture, provide for each joint venture partner) for wastewater treatment and/or sanitary sewer operations:

	California Professional Engineer	California WWTP Operator Grade	CWEA TCP\ Sanitary Sewer Grade
Project Manager:			
Chief Operator:			
Supervisor:			
Operator #1:			
Operator #2:			
Operator #3:			

If there have been any significant changes to the ownership (by more than 10%), management or structure of Proposed Operator's business within the last three (3) years, please explain (use separate sheet if necessary):

_____

_____

BONDING CAPACITY:

Please take special note that the information provided by you relevant to your bonding status requires that your bonding agent provide a letter authenticating the information contained in items 1 through 4 below.

Is Proposed Operator able to provide Proposal, payment and performance bond?

Yes ☐ No ☐

Bonding Company: _____

Address: _____

Agent Contact: _____ Phone: _____

1. Provide the most current rating the A.M. Best Company has assigned your bonding company
2. Total bonding capacity of proposed Operator, as of the first working day of this month (state in dollars, not as a range): $ _____
   a. Total bonding committed, as of the first working day of this month: $ _____
   b. Maximum bonding permitted by your bonding company, for a single project. $ _____
   c. Provide a listing of your anticipated completion of current bonded work, to indicate when additional capacity will be available (such listing may be made via separate attachment).
3. Does your bonding company hold a certificate of authority as an acceptable surety acceptable to the U.S. Department of Treasury? Yes ☐ No ☐
4. Provide the maximum single amount bond limitation established by the U.S. Department of Treasury for your bonding company. $ _____
5. Has any surety which issued a performance bond on your behalf ever completed the work in its own name or financed such completion on your behalf? Yes ☐ No ☐

PERFORMANCE AND CLAIMS HISTORY:

Within the last five years, has proposed Operator been defaulted, terminated or had any liquidated damages or other contractual penalties for failure to timely or properly perform a contract assessed against proposed Operator? Yes ☐ No ☐

(If yes, please provide a detailed explanation, on a separate page, indicating the current status of any claim or litigation involving those transactions.)

Within the last five years, has any officer or principal of proposed Operator ever been an officer or principal of another organization when it failed to complete a assignment or project? Yes ☐ No ☐

(If yes, please provide a detailed explanation, on a separate page, identifying the project and reason for failing to complete the construction contract.)

Within the past five years, has proposed Operator been declared to be a non-responsible bidder or proposer on any public works project? Yes ☐ No ☐

(If yes, please provide a detailed explanation, on a separate page, indentifying the project and date of findings.)

Has proposed Operator ever been involved in bankruptcy or re-organization in the past five (5) years?

Yes ☐ No ☐

(If yes, please provide a detailed explanation, on a separate page)

Are there pending, or have there ever been, any claims or suits (including arbitration or administrative proceedings) by or against proposed Operator in relation to proposed Operator's job performance or compliance with applicable laws on wastewater and/or water operations assignment or project, either pending or resolved, within the last five (5) years? Yes ☐ No ☐

(If yes, please provide a detailed explanation of all such claims or suits, on a separate page, including case name, docket number, jurisdiction, description of the claims at issue, and the final outcome.)

Are there any unpaid debts that are past due or alleged to be past due under arbitration awards or judgments against proposed Operator? Yes ☐ No ☐

(If yes, please provide a detailed explanation, on a separate page.)

Within the past five years has proposed Operator, or any part of proposed Operator's organization, any owner, or partial owner of proposed Operator's organization, or any person in any way associated with or employed by proposed Operator, ever been barred, suspended, disqualified or otherwise precluded from bidding or offering a proposal on contracts by any municipality, any agency of the State of California, other states, or the Federal Government?

Yes ☐ No ☐

(If yes, please provide a detailed explanation, on a separate page, including copies of any notice of reinstatement.)

Has proposed Operator or any of its principals (owner of more than 5% interest) ever been convicted of, or entered a plea of guilty, or *nolo contendere* or similar acknowledgment, for criminal violations relating to, or arising out of, its business activities or the bidding or performance of an wastewater and/or water operations assignment or project? Yes ☐ No ☐

(If yes, please provide a detailed explanation, on a separate page, including the case name, docket number, jurisdiction and case description.)

Has proposed Operator or its principals (owners of more than 5% interest) ever been found civilly liable for any criminal activity or civil action involving embezzlement, fraud, forgery, bribery, falsification or destruction of records, receipt of stolen property, collusion, anti-trust, conspiracy or other similar offenses arising out of its business activities or the bidding or performance of a wastewater and/or water operations assignment or project? Yes ☐ No ☐

(If yes, please provide a detailed explanation, on a separate page, including the case name, docket number, jurisdiction and case description.)

SAFETY:

Does Proposed Operator have a written safety program and/or policies? Yes ☐ No ☐

(If yes, please attach a copy)

Does Proposed Operator have a written drug policy: Yes ☐ No ☐

(If yes, please attach a copy)

In the past five (5) years, has Proposed Operator been cited for any (OSHA) safety violations?

Yes ☐ No ☐

(If yes, please provide an explanation on a separate page, including the dates, violation types, description and inspection numbers of each violation, fines or other penalties imposed, injuries sustained, lawsuits filed and now pending, settled or the subject of a judgment or award.)

REGULATORY:

Does Proposed Operator have any pending, or within the past 5 years, violations of the NPDES?

Yes ☐ No ☐

(If yes, please attach a description of violations)

Has the Proposed Operator been convicted of fraudulently submitting operational information to the RWQCB or SWRCB: Yes ☐ No ☐

(If yes, please attach a explanation)

In the past five (5) years, has Proposed Operator been cited for any (OSHA) safety violations?

Yes ☐ No ☐

Does the Proposed Operator have access, within its firm, to professional engineering support for regulatory compliance and wastewater processing that is experienced with the RWQCB or SWRCB:

Yes ☐ No ☐

(If yes, please attach a description)

OPERATOR/FIRM REFERENCES:

Municipal References: _____

_____

_____

_____

Bank References: _____

_____

_____

_____

PROJECT MANAGER AND/OR CHIEF PLANT OPERATOR (ONE SHEET FOR EACH INDIVIDUAL PROPOSED):

For the Project Manager and/or Chief Plant Operator, the Proposed Operator shall provide a minimum California certified Grade IV wastewater treatment plant operator. The Operator shall not operate the wastewater treatment plant without a valid, unexpired, California State Water Board-issued operator certificate at a grade level appropriate for the class of wastewater treatment plant being operated as set forth in Sections 3680, 3680.1, and 3680.2 of Title 23. Waters Division 3. State Water Resources Control Board And Regional Water Quality Control Boards, Chapter 26. Wastewater Treatment Plant Classification, Operator Certification, and Contract Operator Registration. For the City's collections system, the Proposed Operator shall provide or demonstrate, to the satisfaction of the City, the equivalent competency as a Collection System Maintenance Grade III Certification, as required under the California Water Environment Association (CWEA) Technical Certification Program (TCP); and are expected to meet the CWEA standards of professional conduct and ethics. The Collection System Maintenance Grade III Certification is designed to demonstrate competency at the lead or advanced technical level.

Projects Best Portraying Qualifications for this Project

1. Project Name: _____
2. Project Location: _____
3. Project Owner: _____
4. Project Role (check all that apply):
   - ☐ Project Manager
   - ☐ WWTP Operator
   - ☐ WWTP Lead Operator
   - ☐ Collections Operator
   - ☐ Collections Lead Operator
   - ☐ SCADA Operator
   - ☐ Maintenance Operator
   - ☐ Maintenance staff
   - ☐ Contractor
   - ☐ Other: _____
5. Percentage of weekly work hours performed by proposed Project Manager and/or Chief Plant Operator: _____%
6. California Grade IV Certification and/or Licensed Engineer? Yes ☐ No ☐
   Description: _____
7. CWEA Collections System Grade III Certification? Yes ☐ No ☐

8. If the operations contract for the referenced project exceeded the original contract cost by more than 3%, provide a brief explanation.

_____

9. If the operations contract for the referenced project incurred an NPDES violation, provide a brief explanation.

_____

10. Major wastewater operations references (minimum three references):

NAME/AGENCY	TELEPHONE	WWTP	Collections
		☐	☐
		☐	☐
		☐	☐

SUPERVISOR STAFF (ONE SHEET FOR EACH INDIVIDUAL PROPOSED):

For the Supervisor, the Proposed Operator shall provide a minimum California certified Grade III wastewater treatment plant operator. The Operator shall not operate the wastewater treatment plant without a valid, unexpired, California State Water Board-issued operator certificate at a grade level appropriate for the class of wastewater treatment plant being operated as set forth in Sections 3680, 3680.1, and 3680.2 of Title 23. Waters Division 3. State Water Resources Control Board And Regional Water Quality Control Boards, Chapter 26. Wastewater Treatment Plant Classification, Operator Certification, and Contract Operator Registration. For the City's collections system, the Proposed Operator shall provide or demonstrate, to the satisfaction of the City, the equivalent competency as a Collection System Maintenance Grade III Certification, as required under the California Water Environment Association (CWEA) Technical Certification Program (TCP); and are expected to meet the CWEA standards of professional conduct and ethics. The Collection System Maintenance Grade III Certification is designed to demonstrate competency at the lead or advanced technical level.

Projects Best Portraying Your Qualifications for this Application

1. Project Name: _____
2. Project Location: _____
3. Project Owner: _____
4. Project Role (check all that apply):
   - ☐ Project Manager
   - ☐ WWTP Operator
   - ☐ WWTP Lead Operator
   - ☐ Collections Operator
   - ☐ Collections Lead Operator
   - ☐ SCADA Operator
   - ☐ Maintenance Operator
   - ☐ Maintenance staff
   - ☐ Contractor
   - ☐ Other: _____
5. Percentage of weekly work hours allocated by proposed SUPERVISOR: _____%
6. California Grade III Certification? Yes ☐ No ☐
   Description: _____
7. CWEA Collections System Grade III Certification? Yes ☐ No ☐
   Description: _____

8. If the operations contract for the referenced project exceeded the original contract cost by more than 3%, provide a brief explanation.

_____

9. If the operations contract for the referenced project incurred an NPDES violation, provide a brief explanation.

_____

10. Major wastewater operations references (minimum three references):

NAME/AGENCY	TELEPHONE	WWTP	Collections
		☐	☐
		☐	☐
		☐	☐

OPERATIONS STAFF (ONE SHEET FOR EACH INDIVIDUAL PROPOSED):

For the operator or operator-in-training staff, the Proposed Operator shall provide a minimum two (2) staff members, and shall not operate the wastewater treatment plant without a valid, unexpired, California State Water Board-issued operator, provisional operator, or operator-in-training certificate at a grade level appropriate for the class of wastewater treatment plant being operated as set forth in Sections 3680, 3680.1, and 3680.2 of Title 23. Waters Division 3. State Water Resources Control Board And Regional Water Quality Control Boards, Chapter 26. Wastewater Treatment Plant Classification, Operator Certification, and Contract Operator Registration. For the City's collections system, the Proposed Operator shall provide or demonstrate, to the satisfaction of the City, the equivalent competency as a Collection System Maintenance Grade III Certification, as required under the California Water Environment Association (CWEA) Technical Certification Program (TCP); and are expected to meet the CWEA standards of professional conduct and ethics. The Collection System Maintenance Grade III Certification is designed to demonstrate competency at the lead or advanced technical level.

Projects Best Portraying Your Qualifications for this Application

1. Project Name: _____
2. Project Location: _____
3. Project Owner: _____
4. Project Role (check all that apply):
   - ☐ Project Manager
   - ☐ WWTP Operator
   - ☐ WWTP Lead Operator
   - ☐ Collections Operator
   - ☐ Collections Lead Operator
   - ☐ SCADA Operator
   - ☐ Maintenance Operator
   - ☐ Maintenance staff
   - ☐ Contractor
   - ☐ Other: _____
5. Percentage of weekly work hours allocated by proposed Operator or Operator-in-Training: _____%
6. California or CWEA Certification? Yes ☐ No ☐
   Description: _____

7. Major wastewater operations references (minimum three references):

NAME/AGENCY	TELEPHONE	WWTP	Collections
		☐	☐
		☐	☐
		☐	☐

OTHER STAFF (ONE SHEET FOR EACH INDIVIDUAL PROPOSED):

Projects Best Portraying Your Qualifications for this Application

1. Project Name: _____
2. Project Location: _____
3. Project Owner: _____
4. Project Role (check all that apply):
   - ☐ Project Manager
   - ☐ WWTP Operator
   - ☐ WWTP Lead Operator
   - ☐ Collections Operator
   - ☐ Collections Lead Operator
   - ☐ SCADA Operator
   - ☐ Maintenance Operator
   - ☐ Maintenance staff
   - ☐ Contractor
   - ☐ Administration
   - ☐ Regulatory Compliance
   - ☐ WWTP Process Improvements
   - ☐ CIP Engineering Support

   Other: _____

5. Certification? Yes ☐ No ☐

   Description: _____

7. Major wastewater operations references (minimum three references):

NAME/AGENCY	TELEPHONE	WWTP	Collections
		☐	☐
		☐	☐
		☐	☐

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