

BILL NO. S-14-09-27

SPECIAL ORDINANCE NO. S-113-14

AN ORDINANCE approving CONSTRUCTION CONTRACT - ROYAL OAK PARK - RES. #66289, W.O. #66289 between ROTHENBERGER CO., INC. and the City of Fort Wayne, Indiana, in connection with the Board of Public Works.

NOW, THEREFORE, BE IT ORDAINED BY THE COMMON COUNCIL OF THE CITY OF FORT WAYNE, INDIANA:

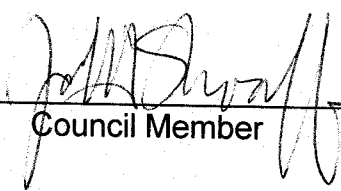
SECTION 1. That the CONSTRUCTION CONTRACT - ROYAL OAK PARK - RES. #66289, W.O. #66289 by and between ROTHENBERGER CO., INC. and the City of Fort Wayne, Indiana, in connection with the Board of Public Works, is hereby ratified, and affirmed and approved in all respects, respectfully for:

All labor, insurance, material, equipment, tools, power, transportation, miscellaneous equipment, etc., necessary for installation of approximately 8,336 LF HDD of 6 inch and 1.750 LF HDD of 12 inch water main replacement, 14 fire hydrants, 28 valves, 134 services, and all other appurtenances and work as necessary for the main replacement project:

involving a total cost of SEVEN HUNDRED THIRTY-ONE THOUSAND, SIX HUNDRED SIXTY-FOUR AND 55/100 DOLLARS - (\$731,664.55). A copy of said Contract is on file with the Office of the City Clerk and made available for public inspection, according to law.

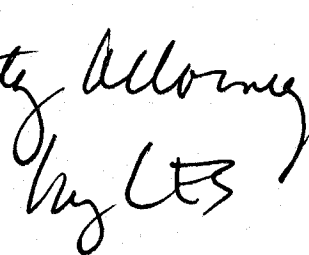
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SECTION 2. That this Ordinance shall be in full force and effect from and after its passage and any and all necessary approval by the Mayor.



Council Member

APPROVED AS TO FORM AND LEGALITY

Carol Helton, City Attorney
Carol Helton, City Attorney

May 13

AGREEMENT
BETWEEN OWNER AND CONTRACTOR
ON THE BASIS OF A STIPULATED PRICE

Resolution 66289

Work Order 66289

THIS AGREEMENT is by and between the Board of Public Works of the City of Fort Wayne, Indiana (hereinafter called Owner) Rothenberger Co, Inc. (hereinafter called Contractor).

Owner and Contractor, in consideration of the mutual covenants hereinafter set forth, agree as follows:

ARTICLE 1 – WORK

1.01 Contractor shall complete all Work as specified or indicated in the Contract Documents. The Work is generally described as follows:

Installation of approximately 8,364 LF HDD of 6 inch and 1,750 LF HDD of 12 inch water main replacement, 14 fire hydrants, 28 valves, 104 services, and all other appurtenances and work as necessary for the main replacement project.

ARTICLE 2 – THE PROJECT

2.01 The Project for which the Work under the Contract Documents may be the whole or only a part is generally described as follows:

Royal Oak Park

ARTICLE 3 – ENGINEER

3.01 The Project has been designed by City Utilities Engineering, which is to act as Owner's representative, assume all duties and responsibilities, and have the rights and authority assigned to Engineer in the Contract Documents in connection with the completion of the Work in accordance with the Contract Documents. Owner will confirm to Contractor prior to issuance of Notice to Proceed as to who will serve as Engineer.

ARTICLE 4 – CONTRACT TIMES

4.01 Time of the Essence

A. All time limits for Milestones, if any, Substantial Completion, and completion and readiness for final payment as stated in the Contract Documents are of the essence of the Contract.

4.02 Days to Achieve Substantial Completion and Final Payment

- A. The Work will be substantially completed within **200 days** after the date when the Contract Times commence to run as provided in Paragraph 2.03 of the General Conditions, and completed and ready for final payment in accordance with Paragraph 14.07 of the General Conditions within **230 days** after the date when the Contract Times commence to run.
- B. Definitions of Substantial Completion for this Work shall consist of **satisfactory completion of water main, hydrants, backfilling and compaction, successful testing of pipe begun within one week of installation, transfer of all services begun within two weeks after successful testing of pipe and worked on continuously until complete, cutting/plugging of abandoned mains, and all other work complete with the exception of final seeding and restoration.**

4.03 Liquidated Damages

- A. Contractor and Owner recognize that time is of the essence as stated in Paragraph 4.01 above and that Owner will suffer financial loss if the Work is not completed within the times specified in Paragraph 4.02 above, plus any extensions thereof allowed in accordance with Article 12 of the General Conditions. The parties also recognize the delays, expense, and difficulties involved in proving in a legal or arbitration proceeding the actual loss suffered by Owner if the Work is not completed on time. Accordingly, instead of requiring any such proof, Owner and Contractor agree that as liquidated damages for delay (but not as a penalty), Contractor shall pay Owner **\$500.00** for each day that expires after the time specified in Paragraph 4.02 above for Substantial Completion until the Work is substantially complete. After Substantial Completion, if Contractor shall neglect, refuse, or fail to complete the remaining Work within the Contract Time or any proper extension thereof granted by Owner, Contractor shall pay Owner **\$500.00** for each day that expires after the time specified in Paragraph 4.02 above for completion and readiness for final payment until the Work is completed and ready for final payment.

ARTICLE 5 – CONTRACT PRICE

5.01 Owner shall pay Contractor for completion of the Work in accordance with the Contract Documents an amount in current funds equal to the sum of the amounts determined pursuant to Paragraphs 5.01.A, 5.01.B, and 5.01.C below:

- A. Not Used
- B. For all Unit Price Work, an amount equal to the sum of the established unit price for each separately identified item of Unit Price Work times the actual quantity of that item:

See Article 5 (itemized Bid Schedule) of the Bid Form 00 41 00-3 to 00 41 00-4

Seven Hundred Thirty-One Thousand, Six Hundred Sixty-Four Dollars, and Fifty-Five Cents.

(\$731,664.55)

ADDENDUM 3 ATTACHMENT A

ARTICLE 5 – BASIS OF BID

Circle One: Certalok or Fusible or HDPE

Name: Rothberger Co. Inc.

5.01 Bidder will complete the Work in accordance with the Contract Documents for the following price(s):

ITEM NO.	WORK ITEM #	DESCRIPTION OF ITEM	UNIT	ESTIMATED QUANTITY	UNIT PRICE (FIGURES)	COMPUTED TOTAL COST (FIGURES)
1	00 95 00-A	Mobilization and Demobilization (5% Maximum)	LS	1	10,100.00	10,100.00
2	00 95 00-B	Work Allowance	LS	1	\$40,000.00	\$40,000.00
3	01 55 26-A	Maintenance and Protection of Traffic	LS	1	3,000	3,000-
4	01 71 16.13-A	Video Documentation of Conditions	LS	1	1,200	1,200-
5	32 10 16-A	Concrete Drive Restoration (6" PCCP Min., 4" No. 53 Comp. Base)	SYD	16	85.00	1,360-
6	32 12 16-A	Asphalt Pavement Patching (4" HMA, 3" binder and 1" surface, 14" No. 53 Comp. Base)	SYD	250	59.00	14,750-
7	32 16 00-A	Concrete Sidewalk Replacement (4" Depth)	SYD	210	59.00	12,390-
8	32 92 00-A	Mulched Seeding (Undistributed)	SYD	1,400	1.50	2,100-
9	32 92 00-B	Topsoil for Mulched Seeding (Min. 2" Depth) (Undistributed)	SYD	1,400	3.00	4,200-
10	33 05 37.24-A or 33 05 37.34-A or 33 05 38.16-A	6" Pressure Utility Piping, DR 18 Certalok PVC or DR 18 Fusible PVC or DR 11 HDPE, HDD Installation, All Depths	LFT	8,336	25.72	214,401.92
11	33 05 37.24-C or 33 05 37.34-C or 33 05 38.16-C	6" Ductile Iron Fittings Restrained Joint Installation	EA	12	430.00	5,160-
12	33 05 37.24-I or 33 05 37.34-I or 33 05 38.16-I	8" Ductile Iron Fittings Restrained Joint Installation	EA	1	572.00	572-
13	33 05 37.24-E or 33 05 37.34-E or 33 05 38.16-E	6" x 6" Tee, Restrained Joint Installation	EA	15	620.00	9,300-
14	33 05 37.24-H or 33 05 37.34-H or 33 05 38.16-H	6" Plug, Restrained Joint Installation	EA	1	562.00	562-
15	33 11 00-A	Water Main Connection (All Sizes Tapping Sleeve and Valve)	EA	3	2,513.00	7,539-
16	33 11 00-B	Water Main Connection (Connect to Existing Valve or Water Main "Cut in Fittings")	EA	12	2,846.00	34,152-
17	33 11 00-C	3/4" Test Riser (Temporary)	EA	18	206.00	3,708-
18	33 11 00-D	Removal of Fire Hydrants	EA	10	300.00	3,000-
19	33 11 00-E	Removal of Valve Boxes	EA	21	150.00	3,150-
20	33 11 00-F	Temporary 2" Blow-off Assembly	EA	7	332.00	2,324-
21	33 11 00-G	Cut & Plug (6-inch Pipe Abandonment)	EA	5	2,112.00	10,560-
22	33 11 00-H	Cut & Plug (8-inch Pipe Abandonment)	EA	2	2,140.00	4,280-
23	33 11 00-I	Pipe Plugs (Bulkheads)	EA	1	590.00	590-
24	33 12 00-A	Water Service Replacement Short Side	EA	64	826.00	52,864-
25	33 12 00-B	Water Service Replacement Long Side	EA	40	1,515.00	60,600-
26	33 12 00-C	Fire Hydrant Assembly, Type III (Restrained Joint Tee)	EA	3	3,680.00	11,040-
27	33 12 00-D	Fire Hydrant Assembly, Type I (Restrained Joint Tee)	EA	6	3,680.00	22,080-
28	33 12 00-E	Fire Hydrant Assembly, Type V (Restrained Joint Tee)	EA	5	3,680.00	18,400-
29	33 12 00-F	6" RSW Gate Valve and Box	EA	22	1,103.00	24,266.00
30	33 12 00-G	8" RSW Gate Valve and Box	EA	1	1,457.00	1,457-
Total Base Bid						579,105.92

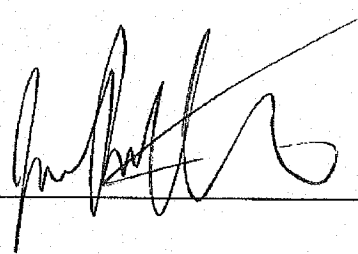
ADDENDUM 3 ATTACHMENT A

Alternate A HDPE						
ITEM NO.	WORK ITEM #	DESCRIPTION OF ITEM	UNIT	ESTIMATED QUANTITY	UNIT PRICE (FIGURES)	COMPUTED TOTAL COST (FIGURES)
1	33 05 38.16-B	16" Pressure Utility Piping DR 11 HDPE, HDD Installation, All Depths		1,753		
2	33 05 38.16-D	16" Ductile Iron Fittings Restrained Joint Installation		1		
3	33 05 38.16-F	16" x 8" Tee, Restrained Joint Installation		1		
4	33 05 38.16-G	16" x 12" Tee, Restrained Joint Installation		1		
5	33 05 38.16-J	16" x 6" Reducer		1		
5	33 05 38.16-K	16" x 12" Reducer		2		
6	33 12 00-J	16" RSW Gate Valve and Box		2		
7	33 12 00-K	Water Service Replacement Short Side 16" Main (State Blvd)	EA	30		
Total Alternate A Bid						N/A
Alternate B Certalok and Fusible PVC						
ITEM NO.	WORK ITEM #	DESCRIPTION OF ITEM	UNIT	ESTIMATED QUANTITY	UNIT PRICE (FIGURES)	COMPUTED TOTAL COST (FIGURES)
1	33 05 37.24-B or 33 05 37.34-B	12" Pressure Utility Piping, DR 18 Certalok PVC or DR 18 Fusible PVC, HDD Installation, All Depths	LIFT	1,753	60.71	106,424.63
2	33 05 37.24-D or 33 05 37.34-D	12" Ductile Iron Fittings Restrained Joint Installation	EA	1	1,377	1,377
3	33 05 37.24-F or 33 05 37.34-F	12" x 8" Tee, Restrained Joint Installation	EA	1	1,478	1,478
4	33 05 37.24-G or 33 05 37.34-G	12" x 12" Tee, Restrained Joint Installation	EA	1	1,595	1,595
5	33 05 37.24-J or 33 05 37.34-J	12" x 6" Reducer	EA	1	738	738
6	33 12 00-H	12" RSW Gate Valve and Box	EA	2	2,863	5,726
7	33 12 00-I	Water Service Replacement Short Side 12" Main (State Blvd)	EA	30	1,174	35,220
Total Alternate B Bid						152,558.63

TOTAL BASE + ALT B = 731,664.55

Unit prices have been computed in accordance with Paragraph 11.03.B of the General Conditions.

Bidder acknowledges that estimated quantities are not guaranteed, and are solely for the purpose of comparison of Bids, and final payment for all Unit Price Bid items will be based on actual quantities determined as provided in the Contract Documents.



The Bid prices for Unit Price Work set forth as of the Effective Date of the Agreement are based on estimated quantities. As provided in Paragraph 11.03 of the General Conditions, estimated quantities are not guaranteed, and determinations of actual quantities and classifications are to be made by Engineer as provided in Paragraph 9.07 of the General Conditions.

C. Not Used.

ARTICLE 6 – PAYMENT PROCEDURES

6.01 Submittal and Processing of Payments

A. Contractor shall submit Applications for Payment in accordance with Article 14 of the General Conditions. Applications for Payment will be processed by Engineer as provided in the General Conditions.

6.02 Progress Payments; Retainage

A. Owner shall make progress payments on account of the Contract Price on the basis of Contractor's Applications for Payment within 30 days of receipt during performance of the Work as provided in Paragraph 6.02.A.1 below. All such payments will be measured by the schedule of values established as provided in Paragraph 2.07.A of the General Conditions (and in the case of Unit Price Work based on the number of units completed) or, in the event there is no schedule of values, as provided in the General Requirements.

1. Prior to Substantial Completion, progress payments will be made in an amount equal to the percentage indicated below but, in each case, less the aggregate of payments previously made and less such amounts as Engineer may determine or Owner may withhold, including but not limited to liquidated damages, in accordance with Paragraph 14.02 of the General Conditions.

a. 95% of Work completed (with the balance being retainage). and

b. 95% of cost of materials and equipment not incorporated in the Work (with the balance being retainage).

B. Upon Substantial Completion, Owner shall pay an amount sufficient to increase total payments to Contractor to 100 % of the Work completed, less such amounts as Engineer shall determine in accordance with Paragraph 14.02.B.5 of the General Conditions and less 200% of Engineer's estimate of the value of Work to be completed or corrected as shown on the tentative list of items to be completed or corrected attached to the certificate of Substantial Completion.

C. If the contract is in excess of **\$200,000**, the contract will be subject to the standard Board of Public Works escrow agreement unless written notice is received from Contractor prior to execution of the Agreement stating that an Escrow Account is not desired. If an Escrow

Account is not desired, then the Board of Public Works, in accordance with IC 36-1-12-14, shall hold the retainage and will not pay interest on the amounts of retainage that it holds

6.03 Final Payment

- A. Upon final completion and acceptance of the Work in accordance with Paragraph 14.07 of the General Conditions, Owner shall pay the remainder of the Contract Price as recommended by Engineer as provided in said Paragraph 14.07.

ARTICLE 7 – INTEREST

- 7.01 All moneys not paid when due as provided in Article 14 of the General Conditions shall bear interest at the maximum rate allowed by law at the place of the Project.

ARTICLE 8 – CONTRACTOR'S REPRESENTATIONS

- 8.01 In order to induce Owner to enter into this Agreement, Contractor makes the following representations:
 - A. Contractor has examined and carefully studied the Contract Documents and the other related data identified in the Bidding Documents.
 - B. Contractor has visited the Site and become familiar with and is satisfied as to the general, local, and Site conditions that may affect cost, progress, and performance of the Work.
 - C. Contractor is familiar with and is satisfied as to all federal, state, and local Laws and Regulations that may affect cost, progress, and performance of the Work.
 - D. Contractor has carefully studied all: (1) reports of explorations and tests of subsurface conditions at or contiguous to the Site and all drawings of physical conditions relating to existing surface or subsurface structures at the Site (except Underground Facilities), if any, that have been identified in Paragraph SC-4.02 of the Supplementary Conditions as containing reliable "technical data," and (2) reports and drawings of Hazardous Environmental Conditions, if any, at the Site that have been identified in Paragraph SC-4.06 of the Supplementary Conditions as containing reliable "technical data."
 - E. Contractor has considered the information known to Contractor; information commonly known to contractors doing business in the locality of the Site; information and observations obtained from visits to the Site; the Contract Documents; and the Site-related reports and drawings identified in the Contract Documents, with respect to the effect of such information, observations, and documents on (1) the cost, progress, and performance of the Work; (2) the means, methods, techniques, sequences, and procedures of construction to be employed by Contractor, including any specific means, methods, techniques, sequences, and procedures of construction expressly required by the Contract Documents; and (3) Contractor's safety precautions and programs.

- F. Based on the information and observations referred to in Paragraph 8.01.E above, Contractor does not consider that further examinations, investigations, explorations, tests, studies, or data are necessary for the performance of the Work at the Contract Price, within the Contract Times, and in accordance with the other terms and conditions of the Contract Documents.
- G. Contractor is aware of the general nature of work to be performed by Owner and others at the Site that relates to the Work as indicated in the Contract Documents.
- H. Contractor has given Engineer written notice of all conflicts, errors, ambiguities, or discrepancies that Contractor has discovered in the Contract Documents, and the written resolution thereof by Engineer is acceptable to Contractor.
- I. The Contract Documents are generally sufficient to indicate and convey understanding of all terms and conditions for performance and furnishing of the Work.
- J. In connection with the performance of Work under this Contract, Contractor agrees to comply with Anti-Discrimination Under Indiana Code Chapter 5-16-6-1 and be bound by Chapter 93.036, of the Code of the City of Fort Wayne, Indiana of 1974, passed by the Common Council of the City of Fort Wayne, Indiana as General Ordinance No. G-34-78 (as amended) on December 12th, 1978. Contractor shall file a Manpower Utilization Report for this project with the Compliance Office within ten (10) days after completion of the construction or upon request of the Office of Compliance.

ARTICLE 9 – CONTRACT DOCUMENTS

9.01 Contents

- A. The Contract Documents consist of the following:
 - 1. This Agreement (pages 00 52 00-1 to 00 52 00-11, inclusive);
 - 2. Escrow Account Agreement (pages 00 54 43-1 to 00 54 43-3, inclusive);
 - 3. E-Verify Affidavit (page 00 54 53-1, inclusive);
 - 4. Performance Bond Form (pages 00 61 13.13-1 to 00 61 13.13-2, inclusive);
 - 5. Payment Bond Form(pages 00 61 13.16-1 to 00 61 13.16-2, inclusive);
 - 6. Guaranty Bond Form(pages 00 61 31-1 to 00 61 31-2, inclusive);
 - 7. General Conditions (pages 00 72 00-1 to 00 72 00-41, inclusive);
 - 8. Supplementary Conditions (pages 00 73 00-1 to 00 73 00-10, inclusive);
 - 9. Specifications as listed in the Table of Contents of the Project Manual

10. Drawings consisting of Drawing Y-20640, pages 1 through 16, inclusive, with each sheet bearing the following general title: Royal Oak Park;
 11. Addenda (numbers 1 to 3, inclusive);
 12. Attachments to this Agreement (enumerated as follows);
 - a. Contractor's Bid Schedule (page 00 41 00-3 to 00 41 00-4);
 - b. Documentation submitted by Contractor prior to Notice of Award (pages ___ to ___, inclusive);
 13. The following which may be delivered or issued on or after the Effective Date of the Agreement and are not attached hereto:
 - a. Notice to Proceed (pages _____ to _____, inclusive).
 - b. Work Change Directives.
 - c. Change Orders.
- B. The documents listed in Paragraph 9.01.A are attached to this Agreement (except as expressly noted otherwise above).
- C. There are no Contract Documents other than those listed above in this Article 9.
- D. The Contract Documents may only be amended, modified, or supplemented as provided in Paragraph 3.04 of the General Conditions.

ARTICLE 10 – MISCELLANEOUS

10.01 Terms

- A. Terms used in this Agreement will have the meanings stated in the General Conditions and the Supplementary Conditions.

10.02 Assignment of Contract

- A. No assignment by a party hereto of any rights under or interests in the Contract will be binding on another party hereto without the written consent of the party sought to be bound; and, specifically but without limitation, moneys that may become due and moneys that are due may not be assigned without such consent (except to the extent that the effect of this restriction may be limited by law), and unless specifically stated to the contrary in any written consent to an assignment, no assignment will release or discharge the assignor from any duty or responsibility under the Contract Documents.

10.03 Successors and Assigns

- A. Owner and Contractor each binds itself, its partners, successors, assigns, and legal representatives to the other party hereto, its partners, successors, assigns, and legal representatives in respect to all covenants, agreements, and obligations contained in the Contract Documents.

10.04 Severability

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

10.05 Contractor's Certifications

- A. Contractor certifies that it has not engaged in corrupt, fraudulent, collusive, or coercive practices in competing for or in executing the Contract. For the purposes of this Paragraph 10.05:
1. "corrupt practice" means the offering, giving, receiving, or soliciting of any thing of value likely to influence the action of a public official in the bidding process or in the Contract execution;
 2. "fraudulent practice" means an intentional misrepresentation of facts made (a) to influence the bidding process or the execution of the Contract to the detriment of Owner, (b) to establish Bid or Contract prices at artificial non-competitive levels, or (c) to deprive Owner of the benefits of free and open competition;
 3. "collusive practice" means a scheme or arrangement between two or more Bidders, with or without the knowledge of Owner, a purpose of which is to establish Bid prices at artificial, non-competitive levels; and
 4. "coercive practice" means harming or threatening to harm, directly or indirectly, persons or their property to influence their participation in the bidding process or affect the execution of the Contract.

10.06 Emerging Business Enterprise (EBE) Participation

EBE Retainage Requirements – If the Contractor is in compliance with the provisions of the construction Contract the Owner will make payments for such work performed and completed. Pursuant to Executive Order 90-01 (amended 5-8-06); the Owner will retain five percent (5%) of the Contract Price to ensure compliance with the EBE participation requirements. Upon final inspection and acceptance of the Work, and determination by the Fort Wayne Board of Public Works that the Contractor has made a good faith effort to subcontract ten percent (10%) of the Contract Price to emerging business enterprises, the Contractor will be paid in full.

In the event there is a determination that good faith compliance with these EBE participation requirements has not occurred, appropriate reduction in the final payment pursuant to paragraph 10.06.E will be made.

If the Contract Price is in excess of **\$200,000**, the contract will be subject to the standard Board of Public Works escrow agreement. However, payments to the Contractor are not to exceed 95% of the total Contract Price until the Owner has verified that the Contractor has made good faith efforts to attain the **10%** EBE goal stipulated in here within. Payment of the final **5%** of the total Contract Price will be dependent upon acceptance of the Work, in accordance with Paragraph 14.07 of the General Conditions, and good faith efforts to comply with these EBE participation requirements; subject to reduction in the event of non-compliance as provided in paragraph 10.06.E.

- A. **Request for Waiver** – If, at the time final payment application is made, Contractor has not attained the ten percent (**10%**) EBE goal, Contractor shall file with the final payment application a “Request for Waiver.” Said Request for Waiver shall contain a written description of the efforts taken by Contractor to attain the ten percent (**10%**) EBE goal.
- B. **Determination of Waiver Requests** – The Contract Compliance Department of the City of Fort Wayne shall examine all Requests for Waiver to determine if Contractor’s efforts constitute good faith efforts to attain such goal and shall submit recommendations concerning said requests for Waiver for the final determination of the Board of Public Works of the City of Fort Wayne.
- C. **Good Faith Efforts**. – In determining whether or not the Contractor used “good faith” efforts, the following shall be considered:
1. Whether the contract can be subdivided as determined by the Engineer and Administrator of Contract Compliance;
 2. Availability of certified EBE businesses to participate as subcontractors;
 3. Non-competitive price quotes received from EBE firms. The Board of Public Works’ determination for granting a reduction or waiver of the goal because of higher quotes from EBE firms will be based on factors that include, but are not limited to the following:
 - a. The Engineer’s estimate for the work under a specific contract;
 - b. The Contractor’s own estimate for the work under the subcontract;
 - c. An average of the valid prices quoted for the subcontract;
 - d. Demonstrated increase in other contract costs as a result of sub-contracting to EBE firm(s).
 4. Documented measures taken by the Contractor to comply with the EBE participation goal;

5. EBE subcontractor failed to fulfill their obligation in regard to the time delivery of goods and/or services. Also in regards to the quality of the goods and/or services set forth in the bid specifications.

6. Such other matters as the Board of Public Works deems relevant.

D. **Consequences of Noncompliance** – In the event the Board of Public Works approves a recommendation that Contractor failed to make good faith efforts at compliance, the Contract Price shall be reduced by the amount calculated as the difference between the EBE participation goal of **10%** and the actual participation level met by the Contractor, but in no case shall it be reduced by more than **5%**. Said amount shall be added to the City of Fort Wayne EBE Bond Guarantee Fund and Contractor agrees to accept the reduced amount as full payment under the terms of his/her Contract.

E. **Waiver Approved** – In the event the Board of Public Works determines that a good faith effort to comply with these EBE participation requirements has been made, the Contract Price shall not be reduced, and the balance owing to the Contractor shall be paid in full.

IN WITNESS WHEREOF, Owner and Contractor have signed this Agreement (**Contract/Resolution Number 66289**). One counterpart has been delivered to Owner, and one counterpart delivered to Contractor. All portions of the Contract Documents have been signed or have been identified by Owner and Contractor or on their behalf.

This Agreement will be effective on _____, _____ (which is the Effective Date of the Agreement).

CONTRACTOR:

ROTHENBERGER CO INC

BY: _____
(Name)

TITLE: _____

DATE: _____
(Date signed by Contractor)

Address for giving notices:

OWNER:

CITY OF FORT WAYNE

BY: _____
THOMAS C. HENRY, MAYOR

BOARD OF PUBLIC WORKS

BY: _____
ROBERT P. KENNEDY, CHAIR

BY: _____
MIKE AVILA, MEMBER

BY: _____
KUMAR MENON, MEMBER

ATTEST: _____
VICTORIA EDWARDS, CLERK

DATE: _____
(Date signed by Board)

CITY OF FORT WAYNE, INDIANA

Rosenberger Co. Inc.
(Vendor Name)

VENDOR DISCLOSURE STATEMENT RELATING TO:

1. FINANCIAL INTERESTS;
2. POTENTIAL CONFLICTS OF INTERESTS;
3. CURRENT AND PENDING CONTRACTS OR PROCUREMENTS

Vendors desiring to enter into certain contracts with the City of Fort Wayne, Indiana (the "City") shall disclose their financial interests, potential conflicts of interest and current and pending contract or procurement information as set forth below.

The following disclosures by Vendors are required for all contracts with annual payments by the City in the amount of \$25,000 or more. Vendors shall disclose the financial interests, potential conflicts of interest and other contract and procurement information identified in Sections 1, 2 and 3 below as a prerequisite for consideration of an award of contract by the City. This Disclosure Statement must be completed and submitted together with Vendor's contract, bid, proposal, or offer.

A publicly traded entity may submit its current 10K disclosure filing in satisfaction of the disclosure requirements set forth in Sections 1 and 2 below.

Section 1. Disclosure of Financial Interest in Vendor

a. If any individuals have either of the following financial interests in Vendor (or its parent), please check all that apply and provide their names and addresses (attach additional pages as necessary):

(i) Equity ownership exceeding 5%

(ii) Distributable income share exceeding 5%

(iii) Not Applicable (If N/A, go to Section 2)

Name: _____ Name: _____

Address: _____ Address: _____

b. For each individual listed in Section 1a., show his/her type of equity ownership: sole proprietorship () stock () partnership interest () units (LLC) () other (explain) _____

c. For each individual listed in Section 1a., show the percentage of ownership interest in Vendor (or its parent): ownership interest: _____%

Section 2. Disclosure of Potential Conflicts of Interest (not applicable for vendors who file a 10K)

For each individual listed in Section 1a., check "Yes" or "No" to indicate which, if any, of the following potential conflict of interest relationships apply. If "Yes", please describe using space under applicable subsection (attach additional pages as necessary):

a. City employment, currently or in the previous 3 years, including contractual employment for services. Yes _____ No

- b. City employment of "Member of Immediate Family" (defined herein as: spouse, parent, child or sibling) including contractual employment for services in the previous 3 years. Yes No
- c. Relationship to Member of Immediate Family holding elective City office currently or in the previous 3 years. Yes No
- d. Relationship to Member of Immediate Family holding appointive City office currently or in the the previous 3 years. Yes No

Section 3. DISCLOSURE OF OTHER CONTRACT AND PROCUREMENT RELATED INFORMATION

- a. Does Vendor have current contracts (including leases) with the City? Yes No
- b. If "Yes", identify each current contract with descriptive information including purchase order or contract reference number, contract date and City contact using space below (attach additional pages as necessary).
 # 66117 - Package #3 # 75917 - Maplewood LS.
 # 66235 - 2014 Watermain, PKgt #2 # 75771 - Taylor Hill
 # 66233 - Fairfield.
- c. Does Vendor have pending contracts (including leases), bids, proposals, or other pending procurement relationship with the City? Yes No

If "Yes", identify each pending matter with descriptive information including bid or project number, contract date and City contact using space below (attach additional pages as necessary).

Section 4. CERTIFICATION OF DISCLOSURES

In connection with the disclosures contained in Sections 1, 2 and 3 Vendor hereby certifies that, except as described in attached Schedule A:

- a. Vendor (or its parent) has not, within the five (5) year period preceding the date of this Disclosure Statement, been debarred, suspended, proposed for debarment declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- b. No officer or director of Vendor (or its parent) or individual listed in Section 1a. is presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any offense;
- c. Vendor (or its parent) has not, within the five (5) year period preceding the date of this Disclosure Statement, had one or more public transactions (federal, state or local) terminated for cause or default;
- d. No officer or director of Vendor (or its parent) or individual listed in Section 1a. has, within the five

(5) year period preceding the date of this Disclosure Statement, been convicted, adjudged guilty, or found liable in any criminal or civil action instituted by the City, the federal or state government or any other unit of local government; and

- e. Neither Vendor, nor its parent, nor any affiliated entity of Vendor, or any of their respective officers, directors, or individuals listed in Section 1a. is barred from contracting with any unit of any federal, state or local government as a result of engaging in or being convicted of: (i) bid-rigging; (ii) bid-rotating; or (iii) any similar federal or state offense that contains the same elements as the offense of bid-rigging or bid-rotating
- f. Pursuant to IC 5-22-16.5, Vendor hereby certifies they do NOT provide \$20 million dollars or more in goods or services to the energy sector of Iran. Vendor also certifies it is not a financial institution that extends \$20 million dollars or more in credit that will provide goods or services to the energy sector of Iran or extends \$20 million dollars or more in credit to a person identified on the list as a person engaging in investment activities in Iran.

The disclosures contained Sections 1, 2 and 3 and the foregoing Certifications are submitted by

Rotnberger Co Inc
(Name of Vendor)

PO BOX 457, Concord MI 41237
Address
524 8944
Telephone
rci@rotnbergerco.com
E-Mail Address

The individual authorized to sign on behalf of Vendor represents that he/she: (a) is fully informed regarding the matters pertaining to Vendor and its business; (b) has adequate knowledge to make the above representations and disclosures concerning Vendor; and (c) certifies that the foregoing representations and disclosures are true and accurate to the best of his/her knowledge and belief.

Name (Printed) James Rotnberger Title Vice President
Signature [Handwritten Signature] Date 9/2/14

NOTE: FAILURE TO COMPLETE AND RETURN THIS FORM WITH YOUR DOCUMENTATION MAY RESULT IN YOUR CONTRACT, OFFER, BID OR PROPOSAL BEING DISQUALIFIED FROM CONSIDERATION.

Interoffice Memo

Date: 9/16/2014
To: Common Council Members
From: Michael Kiester, Manager, City Utilities Engineering / ESS
RE: Royal Oak Park
Res. #66289, W.O. #66289

Michael Kiester
9-17-14

Council District #1

The contractor shall furnish all labor, insurance, equipment, materials and power for the completion of the project: "Royal Oak Park" as follows: Installation of approximately 8,336 LF HDD of 6 inch and 1,750 LF HDD of 12 inch water main replacement, 14 fire hydrants, 28 valves, 134 services, and all other appurtenances and work as necessary for the main replacement project.

Implications of not being approved: Continued water main breaks on the effected water main, which temporarily shuts off water service to customers. If the project is not approved, the existing mains will continue to experience more breaks in the future, further inconveniencing our customers.

If Prior Approval is being Requested, Justify: n/a

This project was advertised to contractors on August 15, 2014, August 22, 2014 in the Journal Gazette and the News Sentinel and August 20, 2014 in Frost Illustrated, Inc.

The contract for Resolution # 66289 awarded to Rothenberger Co., Inc. for \$731,664.55 was the lowest most responsive bidder of 3 bidders and 16% below the Engineer's estimate of \$871,380.00. The second lowest bidder was \$103,385.45 above Rothenberger Co., Inc.'s bid.

The cost of said project funded by Water Revenue.

Council Introduction Date: 9/23/2014

CC: BOW
Matthew Wirtz
Diane Brown
Construction Manager
Chrono
File

Public Hearing Date, if applicable _____

Read the first time in full and on motion by Councilman John Shoaff
Read the second time by title and referred to the City Utilities Committee
Committee. Read the third time in full and on motion by Councilman
John Shoaff, placed on passage by the following vote:

	<u>AYES</u>	<u>NAYS</u>	<u>ABSTAINED</u>	<u>ABSENT</u>
<u>TOTAL VOTES</u>	<u>9</u>	_____	_____	_____
BENDER	<u>✓</u>	_____	_____	_____
CRAWFORD	<u>✓</u>	_____	_____	_____
DIDIER	<u>✓</u>	_____	_____	_____
HARPER	<u>✓</u>	_____	_____	_____
HINES	<u>✓</u>	_____	_____	_____
JEHL	<u>✓</u>	_____	_____	_____
PADDOCK	<u>✓</u>	_____	_____	_____
SHOAFF	<u>✓</u>	_____	_____	_____
SMITH	<u>✓</u>	_____	_____	_____

DATED: 10-14-14 Sandra E. Kennedy
SANDRA E. KENNEDY, CITY CLERK

Passed and adopted by the Common Council of the City of Fort Wayne, Indiana, as
(ANNEXATION) (APPROPRIATION) (GENERAL) (SPECIAL) (ZONING) ORDINANCE
(RESOLUTION) NO. S-113-14 on the 14th day of
October, 2014

ATTEST:
Sandra E. Kennedy
SANDRA E. KENNEDY,
CITY CLERK

Thomas A. Bender
PRESIDING OFFICER

Presented by me to the Mayor of the City of Fort Wayne, Indiana, on the 15th day
of October, 2014, at the hour of _____ o'clock _____ E.S.T.

Sandra E. Kennedy
SANDRA E. KENNEDY, CITY CLERK

Approved and signed by me this 16th day of OCTOBER
2014, at the hour of 1:00 o'clock _____ E.S.T.

Thomas C. Henry
THOMAS C. HENRY, MAYOR

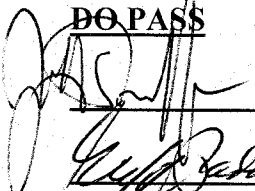
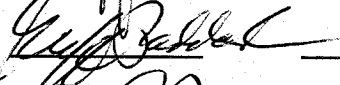
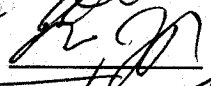
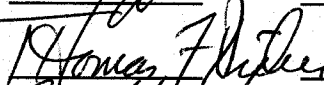
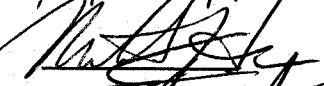
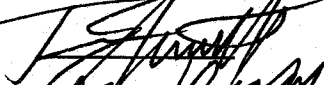
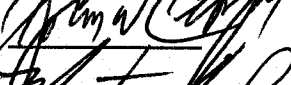

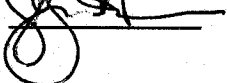
BILL NO. S-14-09-27

REPORT OF COMMITTEE ON CITY UTILITIES

OCTOBER 7, 2014

*John Shoaff, Chair
Geoff Paddock, Co, Chair
All Council Members*

AN ORDINANCE approving Construction Contract - Royal Oak Park - RES. #66289, W.O. #66289 between Rothenberger Co., and the City of Fort Wayne, Indiana, in connection with the board of Public Works. **COMMITTEE ON CITY UTILITIES HAVE HAD SAID** Ordinance under consideration and beg leave to report back to the Common Council that said ordinance

<u>DO PASS</u>	<u>DO NOT PASS</u>	<u>ABSTAIN</u>	<u>NO REC</u>
	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
	_____	_____	_____
	_____	_____	_____

**SANDRA E. KENNEDY
CITY CLERK**