

1 **BILL NO. S-12-01-28**

2 SPECIAL ORDINANCE NO. S-_____

3 AN ORDINANCE approving GENERAL OPEN
4 CUT SEWERS 2011 RES. #2399-2011, W.O.
5 #75631 between API CONSTRUCTION
6 CORPORATION and the City of Fort Wayne,
7 Indiana, in connection with the Board of Public
8 Works.

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

11 **SECTION 1.** That the GENERAL OPEN CUT SEWERS 2011
12 RES. #2399-2011, W.O. #75631 by and between API CONSTRUCTION
13 CORPORATION and the City of Fort Wayne, Indiana, in connection with the
14 Board of Public Works, is hereby ratified, and affirmed and approved in all
15 respects, respectfully for:

16 All labor, insurance, material, equipment, tools, power,
17 transportation, miscellaneous equipment, etc., necessary for
18 General Open Cut Sewers 2011" as follows: Approx. 850
19 LF of sewer excavation/replacement, 140.5 LF of sewer
20 point repairs and 3 manhole replacements by means of
21 open-cut excavation to the City as described by project
22 drawings and specifications:

23 involving a total cost of THREE HUNDRED NINETY-ONE THOUSAND, NINE
24 HUNDRED FORTY-FIVE AND 00/100 DOLLARS – (\$391,945.00). A copy
25 said Contract is on file with the Office of the City Clerk and made available for
26 public inspection, according to law.
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28
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30

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.

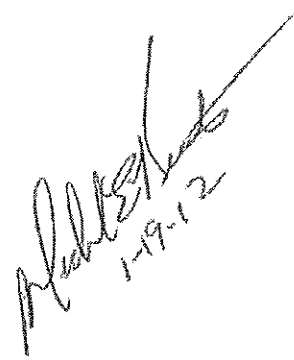
Council Member

APPROVED AS TO FORM AND LEGALITY

Carol Helton, City Attorney

Interoffice Memo

Date: January 16, 2012
To: Common Council Members
From: Michael Kiester, Manager, City Utilities Engineering / ESS
RE: General Open Cut Sewers 2011 Res. #2399-2011, W.O. #75631



The contractor shall furnish all labor, insurance, equipment, materials and power for the completion of the project: "General Open Cut Sewers 2011" as follows: Approx. 850 LF of sewer excavation/replacement, 140.5 LF of sewer point repairs and 3 manhole replacements by means of open-cut excavation to the City as described by project drawings and specifications.

Implications of not being approved: If these sewers are not fixed, they can totally collapse causing basement backups in nearby homes. Also, if they do collapse and cause backups we would have to repair the sewers under an Emergency Repair order which would cost more money.

If Prior Approval is being Requested, Justify: N/A

This project was advertised to contractors on October 14, 2011, October 21, 2011 in the Journal Gazette and the News Sentinel and October 19, 2011 in Frost Illustrated, Inc.

The contract for **Resolution # 2399-2011** awarded to **API Construction Corporation** for \$391,945.00 was the lowest most responsive bidder of 4 bidders and 36% above the Engineer's estimate of \$287,100.00. The second lowest bidder was \$26,559.00 above API Construction Corporation's bid.

The cost of said project funded by: 2011 Sewer Revenue Bond.

Council Introduction Date: January 24, 2012

CC: BOW
Matthew Wirtz
Diane Brown
Construction Manager
Chrono
File.

PROJECT:		General Open-Cut Sewers 2011											
Resolution#:		2399-2011											
Work Order#:		75631											
Project Designer		Hicks/Car											
Manager		Mike Klester											
Construction Manager		Pat Dooley											
Bid Date: (Quote Date)		December 7, 2011											
Funding:		2011 Sewer Revenue Bond											
Bid		Engineer's Estimate		API Construction		Bercot Inc.		T-E Incorporated		Crosby Excavating Inc.			
Item#	Description	Quantity	Unit	Unit Price	Extension	Unit Price	Extension	Unit Price	Extension	Unit Price	Extension	Unit Price	Extension
1	Mobilization and Demobilization	1	LS	\$ 9,000.00	\$ 9,000.00	\$ 7,845.00	\$ 7,845.00	\$ 19,242.00	\$ 19,242.00	\$ 13,380.00	\$ 13,380.00	\$ 18,500.00	\$ 18,500.00
2	Pre-Construction Video	1	LS	\$ 1,500.00	\$ 1,500.00	\$ 1,000.00	\$ 1,000.00	\$ 1,463.00	\$ 1,463.00	\$ 1,900.00	\$ 1,900.00	\$ 1,800.00	\$ 1,800.00
3	Maintenance of Traffic	1	LS	\$ 3,000.00	\$ 3,000.00	\$ 2,500.00	\$ 2,500.00	\$ 2,250.00	\$ 2,250.00	\$ 3,600.00	\$ 3,600.00	\$ 9,000.00	\$ 9,000.00
4	Repair #1	1	LS	\$ 5,000.00	\$ 5,000.00	\$ 10,000.00	\$ 10,000.00	\$ 6,979.00	\$ 6,979.00	\$ 10,500.00	\$ 10,500.00	\$ 15,500.00	\$ 15,500.00
5	Repair #2	1	LS	\$ 12,000.00	\$ 12,000.00	\$ 11,000.00	\$ 11,000.00	\$ 10,586.00	\$ 10,586.00	\$ 14,000.00	\$ 14,000.00	\$ 17,500.00	\$ 17,500.00
6	Repair #3	1	LS	\$ 5,000.00	\$ 5,000.00	\$ 11,000.00	\$ 11,000.00	\$ 10,776.00	\$ 10,776.00	\$ 9,500.00	\$ 9,500.00	\$ 17,310.00	\$ 17,310.00
7	Repair #4	1	LS	\$ 8,000.00	\$ 8,000.00	\$ 10,000.00	\$ 10,000.00	\$ 9,816.00	\$ 9,816.00	\$ 17,000.00	\$ 17,000.00	\$ 24,445.00	\$ 24,445.00
8	Repair #5	1	LS	\$ 4,000.00	\$ 4,000.00	\$ 8,000.00	\$ 8,000.00	\$ 5,667.00	\$ 5,667.00	\$ 5,000.00	\$ 5,000.00	\$ 11,520.00	\$ 11,520.00
9	Repair #6	1	LS	\$ 8,000.00	\$ 8,000.00	\$ 11,000.00	\$ 11,000.00	\$ 7,713.00	\$ 7,713.00	\$ 10,000.00	\$ 10,000.00	\$ 15,605.00	\$ 15,605.00
10	Repair #7	1	LS	\$ 10,000.00	\$ 10,000.00	\$ 13,000.00	\$ 13,000.00	\$ 11,270.00	\$ 11,270.00	\$ 11,000.00	\$ 11,000.00	\$ 21,430.00	\$ 21,430.00
11	Repair #8	1	LS	\$ 12,000.00	\$ 12,000.00	\$ 44,000.00	\$ 44,000.00	\$ 42,972.00	\$ 42,972.00	\$ 54,000.00	\$ 54,000.00	\$ 54,290.00	\$ 54,290.00
12	Repair #9	1	LS	\$ 24,000.00	\$ 24,000.00	\$ 73,000.00	\$ 73,000.00	\$ 71,245.00	\$ 71,245.00	\$ 79,000.00	\$ 79,000.00	\$ 125,585.00	\$ 125,585.00
13	Repair #10	1	LS	\$ 55,000.00	\$ 55,000.00	\$ 90,000.00	\$ 90,000.00	\$ 78,378.00	\$ 78,378.00	\$ 89,000.00	\$ 89,000.00	\$ 150,920.00	\$ 150,920.00
14	Repair #11	1	LS	\$ 42,000.00	\$ 42,000.00	\$ 39,000.00	\$ 39,000.00	\$ 26,147.00	\$ 26,147.00	\$ 27,000.00	\$ 27,000.00	\$ 66,570.00	\$ 66,570.00
15	Sewer Lateral Repair and Reconnection	44	EA	\$ 900.00	\$ 39,600.00	\$ 300.00	\$ 13,200.00	\$ 1,424.00	\$ 62,656.00	\$ 580.00	\$ 25,520.00	\$ 721.50	\$ 31,746.00
16	Manhole Replacement (Repair #3 & #8)	4	EA	\$ 3,000.00	\$ 12,000.00	\$ 2,600.00	\$ 10,400.00	\$ 3,586.00	\$ 14,344.00	\$ 5,400.00	\$ 21,600.00	\$ 3,905.00	\$ 15,620.00
17	Utility Pole Bracing and Line Dropping Allowance (Repairs #1,2,7,9,10,&11)	1	LS	\$ 12,000.00	\$ 12,000.00	\$ 12,000.00	\$ 12,000.00	\$ 12,000.00	\$ 12,000.00	\$ 12,000.00	\$ 12,000.00	\$ 12,000.00	\$ 12,000.00
18	Work Allowance	1	LS	\$25,000.00	\$ 25,000.00	\$ 25,000.00	\$ 25,000.00	\$ 25,000.00	\$ 25,000.00	\$ 25,000.00	\$ 25,000.00	\$ 25,000.00	\$ 25,000.00
TOTAL BASE BID					\$ 287,100.00		\$ 391,945.00		\$ 418,504.00				

**EJCDC
STANDARD FORM OF AGREEMENT
BETWEEN OWNER AND CONTRACTOR
ON THE BASIS OF A STIPULATED PRICE**

Resolution 2399-2011

Work Order 75631

THIS AGREEMENT is by and between the Board of Public Works of the City of Fort Wayne, Indiana (hereinafter called OWNER) and **API Construction Corporation**, (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:

Approx. 850 LF of sewer excavation/replacement, 140.5 LF of sewer point repairs and 3 manhole replacements by means of open-cut excavation to the City as described by project drawings and specifications.

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:

General Open-Cut Sewers 2011

ARTICLE 3 – ENGINEER

- 3.01 The Project has been designed by Fort Wayne City Utilities. Throughout these Contract Documents, the term ENGINEER is used. ENGINEER 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 advise CONTRACTOR prior to issuance of Notice to Proceed as to who will serve as ENGINEER.

ARTICLE 4 – CONTRACT TIMES

- 4.01 Time of 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.

AGREEMENT
00 52 00-1

4.02 Days to Achieve Substantial Completion and Final Payment

- A. The Work will be substantially completed within **150 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 **180 days** after the date when the Contract Times commence to run.
- B. Definitions of Substantial Completion for this Work shall consist of the point in time when **all Work, except asphalt paving & final seeding, has been installed and successfully tested.**

4.03 Liquidated Damages

- A. CONTRACTOR and OWNER recognize that time is of the essence of this Agreement 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 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 **\$250.00** for each day that expires after the time specified in Paragraph 4.02 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 estimated quantity of that item as indicated in this Paragraph 5.01.B:

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 9.08 of the General Conditions. Unit prices have been computed as provided in Paragraph 11.03 of the General conditions.

See Article 5 (Itemized Bid Schedule) of the Bid Form

**Three Hundred Ninety One Thousand, Nine Hundred Forty Five Dollars and Zero Cents
\$391,945.00**

- C. Not Used.

ARTICLE 5 – BASIS OF BID

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

BID SCHEDULE					
ITEM #	DESCRIPTION	ESTIMATED QUANTITY	UNIT	UNIT PRICE	AMOUNT
1	Mobilization and Demobilization	1	LS	7845.00	7845.00
2	Pre-Construction Video	1	LS	1000.00	1000.00
3	Maintenance of Traffic	1	LS	2500.00	2500.00
4	Repair #1	1	LS	10000.00	10000.00
5	Repair #2	1	LS	11000.00	11000.00
6	Repair #3	1	LS	11000.00	11000.00
7	Repair #4	1	LS	10000.00	10000.00
8	Repair #5	1	LS	8000.00	8000.00
9	Repair #6	1	LS	11000.00	11000.00
10	Repair #7	1	LS	13000.00	13000.00
11	Repair #8	1	LS	44000.00	44000.00
12	Repair #9	1	LS	73000.00	73000.00
13	Repair #10	1	LS	90000.00	90000.00
14	Repair #11	1	LS	39000.00	39000.00
15	Tees- Lateral Repair and Reconnection	44	EA	300.00	13200.00
16	48" Manhole Replacement: Repairs #3, #8	4	EA	2600.00	10400.00
17	Utility Pole Bracing and Line Dropping Allowance (Repair #1,2,7,9,10 &11)	1	LS	\$12,000.00	\$12,000.00
18	Work Allowance	1	LS	\$25,000.00	\$25,000.00
19	Undistributed Quantity Concrete Driveway Repair	unknown	SY	75.00	XXX
20	Undistributed Quantity Asphalt Driveway Repair	unknown	SY	75.00	XXX
TOTAL BASE BID				\$391,945.00	

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. ENGINEER will process Applications for Payment 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 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, 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. E.B.E. Good Faith Deposit.
 - 1. The Board will retain 5% of the total owing to insure CONTRACTOR'S compliance with the E.B.E. Rider attached to this contract. Payments to the CONTRACTOR are not to exceed 95% of the total contract amount until the OWNER has verified the CONTRACTOR has made good faith efforts to attain the E.B.E. goal stipulated in the E.B.E. Rider attached hereto.
- D. Escrow Agreement.
 - 1. If the contract is in excess of \$100,000, 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 rate 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 exploration and tests of subsurface conditions at or contiguous to the Site and all drawings of physical conditions in or relating to existing surface or subsurface structures at or contiguous to the site (except Underground Facilities) which have been identified in the Supplementary Conditions as provided in Paragraph 4.02 of the General conditions and (2) reports and drawings of Hazardous Environmental Condition, if any, at the Site which has been identified in the Supplementary Conditions as provided in Paragraph 4.06 of the General Conditions.
- E. CONTRACTOR has obtained and carefully studied (or assumes responsibility for having done so) all additional or supplementary examinations, investigations, explorations, tests, studies, and data concerning conditions (surface, subsurface, and Underground Facilities) at or contiguous to the Site which may affect cost, progress, or performance of the Work or which relate to any aspect of the means, methods, techniques, sequences, and procedures of construction to be employed by CONTRACTOR, including applying the specific means, methods, techniques, sequences, and procedures of construction, if any, expressly required by the Contract Documents to be employed by CONTRACTOR, and safety precautions and programs incident thereto.
- F. CONTRACTOR does not consider that any 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 correlated the information known to CONTRACTOR, information and observations obtained from visits to the Site, reports and drawings identified in the Contract Documents, and all additional examinations, investigations, explorations, tests, studies, and data with the Contract Documents.
- I. CONTRACTOR has given DESIGN MANAGER written notice of all conflicts, errors, ambiguities, or discrepancies that CONTRACTOR has discovered in the Contract

Documents, and the written resolution thereof provided by DESIGN MANAGER is acceptable to CONTRACTOR.

- J. The Contract Documents are generally sufficient to indicate and convey understanding of all terms and conditions for performance and furnishing of the Work.
- K. 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 00-8, inclusive);
- 2. E.B.E. Rider (pages 00 54 33-1 to 00 54 33-3, inclusive);
- 3. Escrow Account Agreement (pages 00 54 43-1 to 00 54 43-3, inclusive);
- 4. E-Verify Affidavit (pages 00 54 53-1);
- 5. Local Indiana Business Preference Form (pages 00 54 54-1)
- 6. Performance Bond (pages 00 61 13.13-1 to 00 61 13.13-2, inclusive);
- 7. Payment Bond (pages 00 61 13.16-1 to 00 61 13.16-2, inclusive);
- 8. Guaranty Bond (pages 00 61 31-1 to 00 61 31-2, inclusive);
- 9. General Conditions (pages 00 72 00-1 to 00 72 00-41, inclusive);
- 10. Supplementary Conditions (pages 00 73 00-1 to 00 73 00-10, inclusive);
- 11. Specifications (as noted in the table of contents)
- 12. Drawings consisting of pages 1-16, inclusive, with each sheet bearing the following general title: General Open-Cut Sewers 2011);
- 13. Addenda (numbers 1 to 3, inclusive);
- 14. Attachments to this Agreement (enumerated as follows);
 - a. CONTRACTOR's Bid Schedule (page 00 41 00-3);
 - b. Documentation submitted by CONTRACTOR prior to Notice of Award (pages ____ to ____, inclusive);
- 15. The following which may be delivered or issued on or after the Effective Date of the Agreement and are not attached hereto:

AGREEMENT
00 52 00-5

- a. Notice to Proceed;
 - b. Written Amendments;
 - c. Work Change Directives;
 - d. Change Order(s)
- 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 indicated in the General 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 Other Provisions

- A. None.

IN WITNESS WHEREOF, OWNER and CONTRACTOR have signed this Agreement (Contract/Resolution Number 2399-2011) in triplicate. Two counterparts have been delivered to OWNER, and one counterpart delivered to CONTRACTOR. All portions of the Contract Documents have been signed or identified by OWNER and CONTRACTOR.

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

CONTRACTOR:

API CONSTRUCTION CORPORATION

BY: _____

KIRK BRAUN, PRESIDENT

OWNER:

CITY OF FORT WAYNE

BY: _____

THOMAS C. HENRY, MAYOR

BOARD OF PUBLIC WORKS

BY: _____

ROBERT P. KENNEDY, CHAIR

BY: _____

JOHN SUAREZ, MEMBER

BY: _____

KUMAR MENON, MEMBER

ATTEST: _____

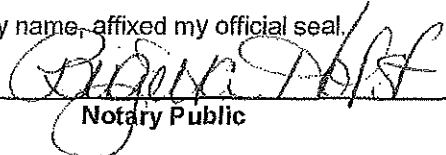
VICTORIA EDWARDS, CLERK

ACKNOWLEDGMENT (CONTRACTOR)

STATE OF INDIANA)
SS :)
COUNTY OF ALLEN)

BEFORE ME, a Notary Public, in and for said County and State, this 11 day of JANUARY, 2012, personally appeared the within named KIRK BRAUN who being under penalty of perjury says that he is the PRESIDENT of API CONST CORP and as such duly authorized to execute the foregoing instrument and acknowledged the same as the voluntary act and deed of _____ for the uses and purposes therein set forth.

IN WITNESS WHEREOF hereunto subscribed my name, affixed my official seal.



Notary Public

BRIGETTA HOLST

Printed Name of Notary

My Commission Expires: 9/10/15

Resident of ALLEN County

ACKNOWLEDGMENT (OWNER)

STATE OF INDIANA)
SS :)
COUNTY OF ALLEN)

BEFORE ME, a Notary Public, in and for said County and State, this _____ day of _____, _____, personally appeared the within named Thomas C. Henry, Robert P. Kennedy, John Suarez, Kumar Menon and Victoria Edwards, by me personally known, who being by me duly sworn said that they are respectively the **Mayor** of the **City of Fort Wayne**, and **Chairman, Members, and Clerk** of the Board of Public Works of the **City of Fort Wayne, Indiana**, and that they signed said instrument on behalf of the City of Fort Wayne, Indiana, with full authority so to do and acknowledge said instrument to be in the voluntary act and deed of said **City** for the uses and purposes therein set forth.

IN WITNESS WHEREOF hereunto subscribed my name, affixed my official seal.

Notary Public

Printed Name of Notary

My Commission Expires:

Resident of _____ County

E.B.E. RIDER

THIS AGREEMENT made and entered into by and between the **CITY OF FORT WAYNE**, hereinafter referred to as **OWNER** and **API Construction Corporation**, hereinafter referred to as **CONTRACTOR**,

WITNESSETH:

WHEREAS, the **CONTRACTOR** is the apparent low bidder on construction project commonly referred to as the **General Open-Cut Sewers 2011**, which project was bid under **Resolution Number 2399-2011**; and

WHEREAS, **CONTRACTOR** agrees that the goal for qualified Emerging Business Enterprises, hereinafter sometimes referred to as **E.B.E.'s**, as subcontractors on this specific project is ten percent (10%) of the Contract Price; and

WHEREAS, **OWNER** has, pursuant to Executive Order 90-01 (as amended 5-8-06), adopted a goal of at least 10% of the Contract Price to Emerging Business Enterprises as defined under said Executive Order (as amended 5-8-06); and

WHEREAS, said Executive Order (as amended 5-8-06) states:

"Section 2, Paragraph C. Each contractor shall be required to make a good faith effort to subcontract 10% of the contract amount to Emerging Business Enterprises on each construction contract he/she is awarded. In the event a contractor is unable to subcontract 10% of the contract amount or secure services of an Emerging Business Enterprise, he/she will be required to submit a completed Request for Waiver form on which he/she will provide a written description of the efforts taken to comply with the participation goals."

NOW, THEREFORE, in consideration of the foregoing and of the mutual agreements hereinafter contained, the sufficiency of which consideration is hereby acknowledged, the parties hereto agree as follows:

1. **Conditional Award** - Subject to approval by the Common Council of the City of Fort Wayne as stipulated in the construction Contract to which this Rider is attached, **OWNER** awards the construction Contract to the **CONTRACTOR**.
2. **E.B.E. Retainage requirements** - If the **CONTRACTOR** is in compliance with the provisions of the construction Contract to which this Rider is attached, the **OWNER** will make payments for such work performed and completed. However, in any such case, the **OWNER** will retain five percent (5%) of the total amount owing to insure compliance with this **E.B.E. Rider**. 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 this E.B.E. Rider has not occurred, appropriate reduction in the final payment pursuant to paragraph 6 of this E.B.E. Rider will be made.

If the Contract Price is in excess of \$100,000, 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% E.B.E. goal stipulated in this E.B.E. Rider. Payment of the final 5% of the total Contract Price will be dependent upon good faith efforts to comply with this E.B.E. Rider, and subject to reduction in the event of non-compliance as provided in paragraph 6 of this E.B.E. Rider.

3. Request for Waiver - If, at the time final payment application is made, CONTRACTOR has not attained the ten percent (10%) E.B.E. 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%) E.B.E. goal.
4. 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.
5. Good Faith Per Se. - In any case, a CONTRACTOR shall be deemed to have made good faith efforts at compliance where E.B.E.'s have subcontracted for every sub-contract for which there are qualified E.B.E.'s available.
6. Consequence 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 five percent (5%) and the percentage level met. Said amount shall be added to the City of Fort Wayne E.B.E. Bond Guarantee Fund and CONTRACTOR agrees to accept the reduced amount as full payment under the terms of his/her Contract.
7. Waiver approved - In the event the Board of Public Works determines that a good faith effort to comply with this E.B.E. Rider 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, the parties have executed the E.B.E. Rider this _____ day of _____, 20__.

CONTRACTOR

API CONSTRUCTION CORPORATION

BY: _____

KIRK BRAUN, PRESIDENT

BOARD OF PUBLIC WORKS

Robert P. Kennedy, Chair

John Suarez, Member

Kumar Menon, Member

ATTEST:

Victoria Edwards, Clerk

**RE: General Open-Cut Sewers 2011
Resolution No. 2399-2011
Work Order No. 75631**

CITY OF FORT WAYNE, INDIANA

API CONSTRUCTION CORP

(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. X
- c. Relationship to Member of Immediate Family holding elective City office currently or in the previous 3 years. Yes _____ No. X
- d. Relationship to Member of Immediate Family holding appointive City office currently or in the the previous 3 years Yes _____ No X

Section 3. DISCLOSURE OF OTHER CONTRACT AND PROCUREMENT RELATED INFORMATION

- a. Does Vendor have current contracts (including leases) with the City? Yes X 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).
WARFIELD RELIEF SEWER PROJECT - RESOLUTION NO. 2237-2010 DATED 10/20/2010
CONTACT - PAT DOOLEY
CONTRACTED BY CITY OF FORT WAYNE THRU BIDDING PROCESS TO INSTALL SANITARY SEWER
- c. Does Vendor have pending contracts (including leases), bids, proposals, or other pending procurement relationship with the City? Yes _____ No. X

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

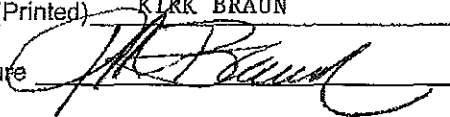
(5) year period preceding the date of this Disclosure Statement, been convicted, adjudged guilty, or found liable in any criminal or civil action instituted by the City, the federal or state government or any other unit of local government; and

- 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.

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

<u>API CONSTRUCTION CORP</u> (Name of Vendor)	<u>P O BOX 191 LAOTTO, IN 46763</u> Address <u>260) 897-2743</u> Telephone <u>k.braun@apiland.net</u> E-Mail Address
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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) <u>KIRK BRAUN</u>	Title <u>PRESIDENT</u>
Signature 	Date <u>12/7/2011</u>

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