

BILL NO. S-16-03-29

SPECIAL ORDINANCE NO. S-_____

AN ORDINANCE approving CONTRACT
FOR THREE RIVERS FILTRATION PLANT
LAB HVAC IMPROVEMENTS PROJECT-
RESOLUTION / WORK ORDER #66199
between PROJECT DESIGN & PIPING,
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 CONTRACT FOR THREE RIVERS
FILTRATION PLANT LAB HVAC IMPROVEMENTS PROJECT -
RESOLUTION/WORKORDER #66199 by and between PROJECT DESIGN &
PIPING, 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
Renovation of Three Rivers Filtration Plant Lab Building's
HVAC and Lighting System that includes removal and
disposal of existing rooftop HVAC units, existing boiler
system, and existing ighting system. Installation of new
rooftop unit, lab exhaust fan system, boilers, building
management system LED lighting and lighting control
system:

involving a total cost of SIX HUNDRED FOUR THOUSAND, FOUR
HUNDRED SEVEN AND 00/100 DOLLARS - (\$604,407.00). A copy of said
Contract is on file with the Office of the City Clerk and made available for
public inspection, according to law.

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

WORK SCHEDULE		00177									
Project Designer		Doug Fasick									
Construction Manager		Brandon Smith									
Manager		Mike Kiester									
Bid Date: (Quote Date)		February 17, 2016									
Funding:		Water									
BID				Engineer's Estimate		Project Design & Piping Inc		Shambaugh & Son		A. Hattersey & Sons	
Item#	Description	Quantity	Unit	Unit Price	Extension	Unit Price	Extension	Unit Price	Extension	Unit Price	Extension
1	MOBILIZATION/DEMOLITION (5% MAXIMUM)	1	LS	\$16,211.50	\$ 16,211.50	\$ 18,000.00	\$ 18,000.00	\$ 30,000.00	\$ 30,000.00	\$ 24,858.00	\$ 24,858.00
2	DEMOLITION AND INSTALLATION OF COMPLETE HVAC SYSTEM AND CONTROLS AND LIGHTING SYSTEM AND CONTROLS EXCLUDING WORK ITEMS 5 THROUGH 9 REFERENCE PROJECT DRAWINGS	1	LS	\$308,018.50	\$ 308,018.50	\$ 345,300.00	\$ 345,300.00	\$ 404,057.00	\$ 404,057.00	\$ 472,302.00	\$ 472,302.00
4	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
5	AAON ROOFTOP UNIT #1: MODEL RN020-30EA0A389;M000U00DR PBBANH000BF REFERENCE DRAWING M4.1	1	LS	\$35,280.00	\$ 35,280.00	\$ 35,280.00	\$ 35,280.00	\$ 35,280.00	\$ 35,280.00	\$ 35,280.00	\$ 35,280.00
6	LOCHINVAR KBN286, 285 MBH NATURAL GAS BOILER REFERENCE DRAWING M4.1	2	EA	\$7,204.00	\$ 14,408.00	\$ 7,204.00	\$ 14,408.00	\$ 7,204.00	\$ 14,408.00	\$ 7,204.00	\$ 14,408.00
7	AIRCUTTY OPTINET MONITORING SYSTEM REFERENCE M4.3	1	LS	\$53,000.00	\$ 53,000.00	\$ 53,000.00	\$ 53,000.00	\$ 53,000.00	\$ 53,000.00	\$ 53,000.00	\$ 53,000.00
8	STROBIC EXHAUST FAN MODEL TS1S050B12 REFERENCE DRAWING M4.1 PHOENIX AIR VALVES REFERENCE SCHEDULE ON DRAWING M4.1	1	LS	\$76,400.00	\$ 76,400.00	\$ 76,400.00	\$ 76,400.00	\$ 76,400.00	\$ 76,400.00	\$ 76,400.00	\$ 76,400.00
9	LAB FUME HOODS: MODEL LV96 - LAB HOOD 107 MODEL LV48 - METALS LAB 110 MODEL LV72 - MICRO LAB MODEL GO4848 - MICRO LAB MODEL GO7230 - INORGANIC LAB REFERENCE DRAWING M1.1	1	LS	\$37,019.00	\$ 37,019.00	\$ 37,019.00	\$ 37,019.00	\$ 37,019.00	\$ 37,019.00	\$ 37,019.00	\$ 37,019.00
TOTAL BASE BID					\$ 565,337.00		\$ 604,407.00		\$ 675,164.00		\$ 738,267.00
Addendum No.1							X		X		
Addendum No.2							X		X		
Addendum No 3							X		X		
Bidder's Bond							X		X		
Form 96							X		X		
Non-Collusion Affidavit							X		X		
Cert In Lieu/Financial Statement							X		X		
EBE Declaration Form							X		X		
Vendor Disclosure Statement Form							X		X		

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

Resolution 66199

Work Order 66199

THIS AGREEMENT is by and between the Board of Public Works of the City of Fort Wayne, Indiana (hereinafter called Owner) and Project Design & Piping (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:

Renovation of Three Rivers Filtration Plant Lab Building's HVAC and Lighting System that includes removal and disposal of existing rooftop HVAC units, existing boiler system, and existing lighting system. Installation of new rooftop unit, lab exhaust fan system, boilers, building management system, LED lighting and lighting control system.

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:

Three Rivers Filtration Plant Lab HVAC Improvements Project

ARTICLE 3 – ENGINEER

3.01 The Project has been designed by Design Collaborative, 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 **120 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 **150 days** after the date when the Contract Times commence to run.
- B. Definitions of Substantial Completion for this Work shall consist of complete HVAC System and Controls installed, tested, balanced and commissioned prior to occupation. Lighting System and Controls installed and tested prior to occupation.

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 Contract Price Schedule, an amount equal to the sum of the established contract price for each separately identified item of Contract Price Items times the actual quantity of that item:

CONTRACT PRICE SCHEDULE

CONTRACT PRICE SCHEDULE					
No.	Item	Qty	Unit	Unit Price	Extended Price
1	MOBILIZATION/ DEMOBILIZATION (5% MAXIMUM)	1	LS	\$ 18,000.00	\$ 18,000.00
2	DEMOLITION AND INSTALLATION OF COMPLETE HVAC SYSTEM AND CONTROLS AND LIGHTING SYSTEM AND CONTROLS EXCLUDING WORK ITEMS 5 THROUGH 9 REFERENCE PROJECT DRAWINGS	1	LS	\$ 345,300.00	\$ 345,300.00
3	WORK ALLOWANCE	1	LS	\$ 25,000.00	\$ 25,000.00
4	ASSIGNMENT OF: AAON ROOFTOP UNIT #1: MODEL RN020- 30EA0A389:M000U00DR PBBANH000BF REFERENCE DRAWING M4.1	1	LS	\$ 35,280.00	\$ 35,280.00
5	ASSIGNMENT OF: LOCHINVAR KBN286, 285 MBH NATURAL GAS BOILER REFERENCE DRAWING M4.1	2	EA	\$ 7,204.00	\$ 14,408.00
6	ASSIGNMENT OF: AIRCUIITY OPTINET MONITORING SYSTEM REFERENCE DRAWING M4.3	1	LS	\$ 53,000.00	\$ 53,000.00
7	ASSIGNMENT OF: STROBIC EXHAUST FAN MODEL TS1S050B12 REFERENCE DRAWING M4.1 PHOENIX AIR VALVES REFERENCE SCHEDULE ON DRAWING M4.1	1	LS	\$ 76,400.00	\$ 76,400.00

8	LAB FUME HOODS: MODEL LV96 – LAB HOOD 107 MODEL LV48 – METALS HOOD 110 MODEL LV72 – MICRO LAB MODEL GO4848 – MICRO LAB MODEL GO7230 – INORGANIC LAB REFERENCE DRAWING M1.1	1	LS	\$ 37,019.00	\$ 37,019.00
9	TOTAL BID PRICE				\$ 604,407.00

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).
 2. Procurement Contracts: Prior to the assignment of the procurement contracts identified in paragraph 10.06 of this Agreement, the Owner will make the first progress payment, for Shop Drawings, to the "seller" of the Goods and Special Services for each procurement contract. Contractor shall make all subsequent payments to the "seller" of the Goods and

Special Services for each procurement contract. Payments shall be made in accordance with the requirements of each procurement contract. Payment by Owner to Contractor for these subsequent payments will be made without retainage.

6.03

- A. 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.
- B. 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

6.04 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 00-17, 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. Local Indiana Business Preference Form (page 00 54 54-1, inclusive);
 5. Performance Bond Form (pages 00 61 13.13-1 to 00 61 13.13-2, inclusive);
 6. Payment Bond Form(pages 00 61 13.16-1 to 00 61 13.16-2, inclusive);
 7. Guaranty Bond Form(pages 00 61 31-1 to 00 61 31-2, inclusive);
 8. General Conditions (pages 00 72 00-1 to 00 72 00-41, inclusive);
 9. Supplementary Conditions (pages 00 73 00-1 to 00 73 00-10, inclusive);
 10. Specifications as listed in the Table of Contents of the Project Manual
 11. Drawings consisting of Drawings A9.1, E1.1,E2.1, ED1.1, M1.1 and M4.1 through M4.4, pages 1 through 10., inclusive, with each sheet bearing the following general title: Three Rivers Filtration Plant Lab HVAC Improvements Project;
 12. Addenda (numbers ____ to ____, inclusive);
 13. 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);
 14. 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.F.

- 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.

10.07 Assignment of Procurement Contracts

- A. The contract between Owner as "buyer" and AC EQUIPMENT REPRESENTATIVES, INC. as "seller" for procurement of goods and special services ("procurement contract") for the Three Rivers Filtration Plant, **Rooftop Equipment Procurement** is hereby assigned to Contractor by Owner, and Contractor accepts such assignment. The form documenting the assignment (Exhibit A-1) is attached to the procurement contract, which is enclosed with this Agreement.
- B. The contract between Owner as "buyer" and S15 INC. as "seller" for procurement of goods and special services ("procurement contract") for the Three Rivers Filtration Plant, **Hot Water Boiler Equipment Procurement** is hereby assigned to Contractor by Owner, and

Contractor accepts such assignment. The form documenting the assignment (Exhibit A-1) is attached to the procurement contract, which is enclosed with this Agreement.

- C. The contract between Owner as "buyer" and CONTROLLED ENVIRONMENTAL SYSTEMS, INC as "seller" for procurement of goods and special services ("procurement contract") for the Three Rivers Filtration Plant, **Aircuity Monitoring System, Strobic Fan and Phoenix Valve Equipment Procurement** is hereby assigned to Contractor by Owner and Contractor accepts such assignment. The form documenting the assignment (Exhibit A-1) is attached to the procurement contract, which is enclosed with this Agreement
- D. The contract between Owner as "buyer" and LAB INTERIORS GROUP as "seller" for procurement of goods and special services ("procurement contract") for the Three Rivers Filtration Plant, **Laboratory Fume Hoods and Accessories Procurement** is hereby assigned to Contractor by Owner and Contractor accepts such assignment. The form documenting the assignment (Exhibit A-1) is attached to the procurement contract, which is enclosed with this Agreement

IN WITNESS WHEREOF, Owner and Contractor have signed this Agreement (Contract/Resolution Number 66199). 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:

OWNER:

CITY OF FORT WAYNE

BY: _____
(Name)

BY: _____
THOMAS C. HENRY, MAYOR

TITLE: _____

DATE: _____
(Date signed by Contractor)

Address for giving notices:

BOARD OF PUBLIC WORKS

BY: _____
ROBERT P. KENNEDY, CHAIR

BY: _____
MIKE AVILA, MEMBER

BY: _____
KUMAR MENON, MEMBER

ATTEST: _____
LYNDSEY RICHARDS, CLERK

DATE: _____
(Date signed by Board)

ACKNOWLEDGMENT (CONTRACTOR)

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 _____ who under penalty of perjury says that he is the _____ of _____ 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

Printed Name of Notary

My Commission Expires:

Resident of _____ 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 Kennedy, Mike Avilla, Kumar Menon and Lyndsey Richards, 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

EXHIBIT A-1 to Agreement Between Buyer and Seller Dated _____

ASSIGNMENT OF CONTRACT; CONSENT TO ASSIGNMENT; AND ACCEPTANCE OF ASSIGNMENT

This assignment will be effective on the Effective Date of the Agreement between Buyer and Construction Contractor.

The Contract between _____ CITY OF FORT WAYNE _____ ("Buyer")

and _____ ("Seller")

for furnishing Goods and Special Services under the Contract Documents entitled Three Rivers Filtration Plant, **Rooftop Equipment Procurement**, is hereby assigned, transferred, and set over to _____ ("Construction Contractor"). Construction Contractor shall be totally responsible for the performance of Seller and for the duties, rights and obligations of Buyer, not otherwise retained by Buyer, under the terms of the Contract between Buyer and Seller.

ASSIGNMENT DIRECTED BY:

_____ Buyer

(If Buyer is a corporation, attach evidence of authority to sign. If Buyer is a public attach evidence of authority to sign other documents authorizing execution of Buyer-Seller Agreement.)

By: _____ body,
(Signature) (Title) and resolution or

ASSIGNMENT

ACKNOWLEDGED AND ACCEPTED BY:

_____ Seller

(If Seller is a corporation, attach of authority to sign.)

By: _____ evidence
(Signature) (Title)

ASSIGNMENT ACCEPTED BY:

_____ Construction Contractor

(If Construction Contractor is a corporation, attach evidence of authority

By: _____ to sign.)

EXHIBIT A-1 to Agreement Between Buyer and Seller Dated _____

ASSIGNMENT OF CONTRACT; CONSENT TO ASSIGNMENT; AND ACCEPTANCE OF ASSIGNMENT

This assignment will be effective on the Effective Date of the Agreement between Buyer and Construction Contractor.

The Contract between CITY OF FORT WAYNE ("Buyer")
and _____ ("Seller")

for furnishing Goods and Special Services under the Contract Documents entitled Three Rivers Filtration Plant, **Hot Water Boiler Equipment Procurement**, is hereby assigned, transferred, and set over to _____ ("Construction Contractor"). Construction Contractor shall be totally responsible for the performance of Seller and for the duties, rights and obligations of Buyer, not otherwise retained by Buyer, under the terms of the Contract between Buyer and Seller.

ASSIGNMENT DIRECTED BY:

(If Buyer is a corporation, attach evidence of authority to sign. If Buyer is a public attach evidence of authority to sign other documents authorizing execution of Buyer-Seller Agreement.)

Buyer
By: _____ body,
(Signature) (Title) and resolution or

ASSIGNMENT

ACKNOWLEDGED AND ACCEPTED BY:

(If Seller is a corporation, attach of authority to sign.)

Seller
By: _____ evidence
(Signature) (Title)

ASSIGNMENT ACCEPTED BY:

(If Construction Contractor is a corporation, attach evidence of authority

By: _____ to sign.)

EXHIBIT A-1 to Agreement Between Buyer and Seller Dated _____

ASSIGNMENT OF CONTRACT; CONSENT TO ASSIGNMENT; AND ACCEPTANCE OF ASSIGNMENT

This assignment will be effective on the Effective Date of the Agreement between Buyer and Construction Contractor.

The Contract between CITY OF FORT WAYNE ("Buyer")

and _____ ("Seller")

for furnishing Goods and Special Services under the Contract Documents entitled Three Rivers Filtration Plant, **Aircuity Monitoring System, Strobic Fan & Phoenix Valves Equipment Procurement**, is hereby assigned, transferred, and set over to _____ ("Construction Contractor"). Construction Contractor shall be totally responsible for the performance of Seller and for the duties, rights and obligations of Buyer, not otherwise retained by Buyer, under the terms of the Contract between Buyer and Seller.

ASSIGNMENT DIRECTED BY:

(If Buyer is a corporation, attach evidence of authority to sign. If Buyer is a public attach evidence of authority to sign other documents authorizing execution of Buyer-Seller Agreement.)

Buyer
By: _____ body,
(Signature) (Title) and resolution or

ASSIGNMENT

ACKNOWLEDGED AND ACCEPTED BY:

(If Seller is a corporation, attach of authority to sign.)

Seller
By: _____ evidence
(Signature) (Title)

ASSIGNMENT ACCEPTED BY:

(If Construction Contractor is a corporation, attach evidence of authority

By: _____ to sign.)

Construction Contractor

EXHIBIT A-1 to Agreement Between Buyer and Seller Dated _____

ASSIGNMENT OF CONTRACT; CONSENT TO ASSIGNMENT; AND ACCEPTANCE OF ASSIGNMENT

This assignment will be effective on the Effective Date of the Agreement between Buyer and Construction Contractor.

The Contract between CITY OF FORT WAYNE ("Buyer")

and _____ ("Seller")

for furnishing Goods and Special Services under the Contract Documents entitled Three Rivers Filtration Plant, **Laboratory Fume Hoods and Accessories Procurement**, is hereby assigned, transferred, and set over to _____ ("Construction Contractor").

Construction Contractor shall be totally responsible for the performance of Seller and for the duties, rights and obligations of Buyer, not otherwise retained by Buyer, under the terms of the Contract between Buyer and Seller.

ASSIGNMENT DIRECTED BY:

Buyer

(If Buyer is a corporation, attach evidence of authority to sign. If Buyer is a public attach evidence of authority to sign other documents authorizing execution of Buyer-Seller Agreement.)

By: _____ body,
(Signature) (Title) and resolution or

ASSIGNMENT

ACKNOWLEDGED AND ACCEPTED BY:

Seller

(If Seller is a corporation, attach of authority to sign.)

By: _____ evidence
(Signature) (Title)

ASSIGNMENT ACCEPTED BY:

Construction Contractor

(If Construction Contractor is a corporation, attach evidence of authority

By: _____ to sign.)

CITY OF FORT WAYNE, INDIANA

Project Design & Piping, Inc.

(Vendor Name)

VENDOR DISCLOSURE STATEMENT RELATING TO:

- 1. FINANCIAL INTERESTS;**
- 2. POTENTIAL CONFLICTS OF INTEREST;**
- 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 \$50,000 or more. Vendors shall disclose their 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 for a contract awarded by the City. This Disclosure Statement must be completed and submitted together with the 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% ☒ (X)

(ii) Distributable income share exceeding 5% ☒ (X)

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

Name: Curtis E. Mirwaldt

Name: _____

9224 Laurel Hurst Place

Address: Fort Wayne, IN 46835

Address: _____

- b. For each individual listed in Section 1a. show his/her type of equity ownership:

sole proprietorship ☐ () stock ☒ (X)

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:

Name: Curtis E. Mirwaldt 100 %

Name: _____ %

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 X

- 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

- c. Relationship to Member of Immediate Family holding appointive City office currently or in 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 _____ No X

If "Yes", identify each current contract with descriptive information including purchase order or contract reference number, contract date and City contact below (attach additional pages as necessary).

b. Does Vendor have pending contracts (including leases), bids, proposals, or other pending procurement relationship with the City? Yes X 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).

66262 - Southwest Pressure Zone Improvements - Chris Ravenscroft

76153 - Screen Facility Wash Water Improvements - Chris Ravenscroft

c. Does vendor have any existing employees that are also employed by the City of Fort Wayne?

Yes No X

If "Yes", provide the employee's name, current position held at vendor, and employment payment terms (hourly, salaried, commissioned, etc.).

Name / Position / Payment Terms:

Name / Position / Payment Terms:

Name / Position / Payment Terms:

d. Does vendor's representative, agent, broker, dealer or distributor (if applicable) have any existing employees that are also employed by the City of Fort Wayne? For each instance, please provide the name of the representative, agent, broker, dealer or distributor; the name of the City employee, and the payment terms (hourly, salaried, commissioned, etc.).

Company / Name / Payment Terms: _____

Company / Name / Payment Terms: _____

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;

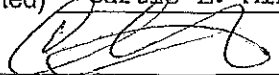
- d. No officer or director of Vendor (or its parent) or individual listed in Section 1a. has, within the five (5) year period preceding the date of this Disclosure Statement, been convicted, adjudged guilty, or found liable in any criminal or civil action instituted by the City, the federal or state 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

Project Design & Piping, Inc.
(Name of Vendor)

3615 Transportation Drive
Address Ft. Wayne, IN 46818
260) 489-7012
Telephone
cmirwaldt@pdpinc.com
E-Mail Address

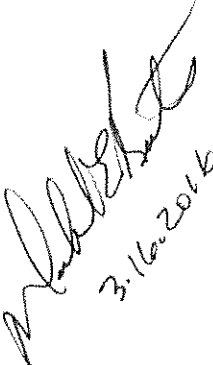
The individual authorized to sign on behalf of Vendor represents that he/she: (a) is fully informed regarding the matters pertaining to Vendor and its business; (b) has adequate knowledge to make the above representations and disclosures concerning Vendor; and (c) certifies that the foregoing representations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

Name (Printed) Curtis E. Mirwaldt Title President
Signature  Date 2/16/2016

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: March 15, 2016
To: Common Council Members
From: Michael Kiester, Manager, City Utilities Engineering / ESS
RE: Three Rivers Filtration Plant Lab HVAC Improvements Project
Resolution/Work Order #66199


3.16.2016

Council District # City-Wide

The contractor shall furnish all labor, insurance, equipment, materials and power for the completion of the project: "Three Rivers Filtration Plant Lab HVAC Improvements Project" as follows:

Renovation of Three Rivers Filtration Plant Lab Building's HVAC and Lighting System that includes removal and disposal of existing rooftop HVAC units, existing boiler system, and existing lighting system. Installation of new rooftop unit, lab exhaust fan system, boilers, building management system, LED lighting and lighting control system.

Implications of not being approved: The original 1991 HVAC, lighting and controls system is antiquated and obsolete and needs replaced due to the system's inability to meet the air quality requirements necessary for a lab facility. Replacement parts are also becoming more difficult to obtain when repairs are required. Without the improvements, the building's system is unable to maintain the heat, cooling, air quality and lighting requirements based upon current building standards.

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

This project was advertised to contractors on January 15, 2016, January 22, 2016 in the Journal Gazette and the News Sentinel and January 20, 2016 in Frost Illustrated, Inc.

The contract for Resolution #66199 awarded to Project Design & Piping for \$604,407.00 was the lowest most responsive bidder of 3 bidders and 7% above the Engineer's estimate of \$565,337.00. The second lowest bidder was \$70,757.00 above Project Design & Piping's bid.

The cost of said project funded by Water Utility.

Council Introduction Date: March 22, 2016

CC: BOW
Matthew Wirtz
Diane Brown
Construction Manager
Chrono
File