



City of Homer, Alaska

Request for Proposal

Deep Water Dock Expansion Feasibility Study
Professional Engineering Services



Carey S. Meyer P.E., MPA
Public Works Director/City Engineer
Homer Public Works Department
11/26/2014

NOTICE OF REQUEST FOR PROPOSALS

**By the City of Homer, Alaska, for the
Homer Deepwater Dock Feasibility Study**

The City of Homer intends to enter into a negotiated agreement for professional engineering and economic analysis services to complete a feasibility study for the expansion/improvement of the Deepwater Dock.

A complete description of services is contained in the RFP Package. Estimated period for performance of the Agreement is approximately February, 2015 to July, 2016. Cost of these professional services is expected to be in the range of \$1,400,000 to \$1,600,000.

Sealed proposals for the construction of the **Homer Deepwater Dock Feasibility Study** will be received at the office of the City Clerk, City Hall, City of Homer, 491 East Pioneer Avenue, Homer, Alaska, until **4:00 PM, Thursday, January 15, 2015**. The time of receipt will be determined by the City Clerk's time stamp.

A pre-proposal conference will be held from 1:00 PM to 2:30 PM on-site (4666 Freight Dock Road) on Tuesday, December 9, 2014.

Proposals received after the time fixed for the receipt of the bids shall not be considered. **All proposers must submit a City of Homer Proposal Holders Registration form to be on the Proposal Holders List and to be considered responsive.** The Proposal holder registration form and the RFP package are available on line at <http://www.cityofhomer-ak.gov/rfps>

Individuals with disabilities, including the hearing impaired, who may need auxiliary aids, services, and/or special modifications to secure or submit a proposal should contact the City Clerk: (907) 435-3106, to make any necessary arrangements.

DATED this 20th day of November, 2014.

CITY OF HOMER



Walt Wrede, City Manager

Homer News – November 27 & December 4, 2014
Alaska Dispatch News – November 30, 2014
State's Online Public Notice – ADOT/PF procurement web site
City of Homer procurement web site

Fiscal Note: 415-0921

REQUEST FOR PROPOSAL

By the City of Homer, Alaska

**PROFESSIONAL ENGINEERING SERVICES FOR
Deep Water Dock Expansion Feasibility Study
City of Homer, Alaska**

The City of Homer, Alaska is requesting proposals from a team of engineering and economic analysis firms for the project described herein. The City reserves the right to accept or reject any or all proposals, to waive irregularities or informalities in the proposals, and to award a contract to the respondent that best meets the selection criteria.

The following subjects are discussed in this RFP to assist you in preparing your proposal.

- I. Introduction
- II. Scope of Services
- III. General Requirements
- IV. Proposal Format and Content
- V. Evaluation Criteria and Selection Process
- VI. Proposed Project Schedule

I. INTRODUCTION

The City of Homer has for many years depended on an aging marine infrastructure to provide commercial fishing support and cargo/freight/timber/fuel on and off-loading. The new Pioneer Dock and the older Deep Water Dock are the central components of what is considered to be the marine transportation hub for the southern Kenai Peninsula. The City's docks provide for USCG vessel, Alaska Marine Highway ferry, cruise ship, fuel deliveries and other transient vessel berthing requirements. In 2003, the City completed the replacement of the main dock (now known as the Pioneer Dock) intended to provide improved berthing facilities for the USCG, docking facilities for the state ferry, small to medium size cruise ships, and roll-off/roll-on freight capabilities. Security considerations associated with the USCG vessel limits some of the intended Pioneer Dock uses. In 2004, the timber/chip industry left Homer and the Deep Water Dock conveyor system was removed from the structure. In 2005, the cathodic protection system on the Deep Water Dock was replaced. A new fendering system was installed in 2012. The City is also in the early stages of planning for an expansion of the Small Boat Harbor (near the proposed Deep Water Dock expansion) with the assistance of the U.S. Army Corp of Engineers.

The City is now ready to make improvements to the Deep Water Dock. The original structure, constructed in the late 80's, has limited structural capacity and a single approach trestle. The general plan is to improve the size and capacity of the dock and provide a crane or similar

facility to accommodate efficient freight off loading capability. The expectation is that with the growth of the economy of the southern Kenai Peninsula, the economics of barge service to Homer, increased oil/gas exploration, the economic activity associated with LNG exports, and increased vessels using arctic shipping routes; the time is right to start planning for improvements to the Deep Water Dock.

The City initiated a conceptual study of the project in 2005 consisting of a basic evaluation of the economics and justification for a dock expansion project and developing a conceptual design/cost estimate. The project is currently envisioned to consist of the lengthening of the dock face to 950 feet (with increased width and deck load capacity), widening of the existing trestle or construction of a second approach (combination embankment/trestle), strengthening of the existing dock structure (including pile corrosion repair/coating replacement) to accommodate container offloading and barge freight service to serve the Kenai Peninsula and lower Cook Inlet area. The results of the conceptual planning effort produced a report (attached to the end of this request for proposal) that presents the reasons for the dock expansion, justification for the project, and the design/construction cost associated with the envisioned dock improvement project. Using this report, the City has secured approximately \$1.7 million in planning and design funding for the feasibility report stage of the project. The City is currently discussing with various funding agencies and potential users the need for additional design and construction monies. An additional \$1M has been secured through a legislative grant (expected to be utilized for preliminary design engineering) after the preparation of the feasibility report.

II. SCOPE OF SERVICES

The City intends to partner with a team of professionals capable of:

- Identifying regional/state/federal/global **economic drivers** that could reasonably be expected to result in the need for improved dock facilities at the Deep Water Dock site and quantify **benefits** (revenue) associated with serving the expected need,
- Define innovative engineering solutions to the expected needs, complete conceptual designs, determine associated **costs**, and complete cost/benefit analysis's

with the goal of meeting the needs of existing and potential Port customers; identifying appropriate and frugal capital project investment strategies; and effectively increasing healthy economic activity within the Port/Harbor and in the community as a whole.

The City of Homer envisions this to be the first stage of a three stage project (feasibility, design and construction). The **feasibility stage** would consist of preparation of a Design Study Report presenting alternatives, advantages and disadvantages, economic feasibility, results of public involvement, environmental considerations, and cost estimates in a manner consistent with funding requirements. The completion of this stage would consist of identifying the most economically feasible and cost effective alternatives (based on environmental impacts, user needs, economic viability, and construction/maintenance costs).

Report preparation tasks:

- Review existing conditions
- Evaluate economic feasibility
- Develop conceptual alternatives
- Scope environmental considerations
- Coordinate public involvement
- Complete construction/maintenance cost estimates
- Complete engineering calculations
- Prepare preliminary and final reports

The project consists of furnishing all labor, materials, equipment, tools, supervision, and other facilities necessary to prepare a feasibility study. The feasibility study would consist of, but may not be limited to, preparation of a Design Study/Feasibility Report presenting alternatives, advantages and disadvantages, developing conceptual alternative designs and cost estimates, evaluating economic feasibility, scoping to identify environmental considerations, obtaining required geotechnical and bathymetry field data, preparation of construction/maintenance cost estimates, and preparing cost benefit analysis.

Deliverables: Design Study/Feasibility Stage

- Preliminary Design Study/Feasibility Report with evaluation/presentation of alternatives
- Final Design Study/Feasibility Report with evaluation and presentation of alternatives
- Preliminary Geotechnical Report
- Final Geotechnical Report
- Final Survey/Bathymetry Information

The intention of the City is to negotiate and award a contract under which the feasibility stage of the project would initially be established. Award of future design and construction services for this project would be based on successful completion of the feasibility stage and securing additional funding. These future services could be awarded as a modification to the feasibility study contract or secured through a separate new RFP process.

The successful Proposer (and sub-consultants) will be required to show evidence of appropriate State business licenses; professional licensing; and auto, general liability and errors and omissions insurance. Proposers will also be expected to meet DBE participation goals.

The successful Proposer will be required to retain all project records that document costs incurred and actual expenditures in accordance with accepted accounting practice, procedures of the U.S. Department of Transportation, and ADOT/PF. The records shall be open to inspection by the City, ADOT/PF and FHWA at all reasonable times and shall be retained and made available for such inspection period of not less than three years from the

City’s approval of the final payment voucher/closeout of the project. Copies of any of these records shall be furnished to the City, ADOT/PF or FHWA upon request.

ADOT/PF may perform an audit of any consultant or sub-consultant who works on this project, including but not limited to, the evaluation of the consultants labor rates, overhead, salaries, rent, equipment rates, and vehicle use rates.

The successful Proposer shall comply with all federal, state and local laws, regulations, and ordinances related to civil rights.

III. GENERAL REQUIREMENTS

The following information is presented as a guideline for the preparation of the proposals:

- a. To achieve a uniform review process and obtain the maximum degree of comparability, it is required that the proposals be organized in the manner specified below. Proposals that do not address the items listed in this section may be considered incomplete and may be deemed non-responsive by the City. Interested firms shall submit one original and nine copies (and a disk containing a pdf version) of the completed proposal in an opaque envelope marked as follows:

DEEP WATER DOCK EXPANSION FEASIBILITY STUDY
HOMER, ALASKA
PROPOSAL DATED: _____
PROPOSER’S NAME: _____

- b. The Proposals shall be addressed to:

City of Homer, City Clerk
491 E. Pioneer Ave.
Homer, Alaska 99603

Proposals shall be received at the office of the City Clerk until December 18 at 4:00 PM.

- c. Direct technical questions regarding this proposal to Carey Meyer, Public Works Director, City of Homer, (907) 235-3170. Direct proposal submission questions to Jo Johnson, City Clerk, (907) 235-3130.

IV. PROPOSAL FORMAT AND CONTENT

Proposals shall comply with the Evaluation Criteria shown on Part C (see Appendix).

V. Evaluation Criteria and Selection Process

Submittals will be evaluated and scored in accordance with the following criteria shown in Part C (see Appendix):

The City of Homer reserves the right to reject any and all proposals submitted and shall not be liable for any costs incurred by any proposer in response to this solicitation or for any work done prior to the issuance of a notice to proceed.

A selection committee will evaluate the proposals and make a recommendation to the City Manager. Evaluators may discuss factual knowledge of and may investigate proposer’s and subcontractor’s prior work experience and performance, including projects referenced in the proposal, available written evaluations and may contact listed references or other persons knowledgeable of a proposer’s and/or subcontractor’s past performance. Factors such as overall experience relative to the proposed contract, quality of work, cost control, and the ability to meet schedules may be address during the evaluation.

The City of Homer reserves the right to award a contract to the highest ranked firm based solely on the written proposal or request oral interviews with a “short list” of the highest ranked firms. The highest ranked proposer will be invited to enter into negotiations with the City of Homer for the purposes of contract award. If an agreement with any proposer cannot be reached, the next highest ranked proposer may be contacted for negotiations. The City of Homer reserves the right to terminate negotiations with any proposer should it be in the City of Homer’s best interest.

VI. PROPOSED PROJECT SCHEDULE

Deep Water Dock Expansion Feasibility Study - Homer, Alaska

Advertise Design RFP	November, 2014
Proposals Due	January, 2014
Selection Committee Recommends Consultant Selection	February, 2015
Begin Fee Negotiations	March, 2015
Finalize Fee Negotiations	April, 2015
Notice to Proceed to Consultant	April, 2015

RFP for Deep Water Dock Expansion Feasibility Study

City of Homer, Alaska

Submit Preliminary Geotechnical Report

August, 2015

Submit Preliminary Survey/Bathymetry Information

September, 2015

Submit Preliminary Design Study/Feasibility Report

December, 2015

Submit Final Design Study/Feasibility Report
(including final Geotech/Survey/Bathymetry)

June, 2016

Appendix

RFP – Deep Water Dock Feasibility Study

1) 2006 Deep Water Dock Concept Study	24 pages
2) RFP Proposal submittal checklist - Part A	4 pages
3) RFP Proposal submittal checklist - Part B	2 pages
4) RFP Proposal evaluation criteria - Part C	3 pages
5) RFP Proposal Form - Part D	3 pages
6) ADOT Form 25A257 (Pre-Audit Statement)	2 pages
7) ADOT Form 25A269 (Indemnification and Insurance)	2 pages

Draft Report

Homer Deep Water Dock Expansion Concept Study Homer, Alaska

August 2004



Prepared for:

City of Homer Public Works Department

Prepared by:

Tryck Nyman Hayes, Inc.
911 W. 8th Avenue
Anchorage, Alaska 99501

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1.0 EXECUTIVE SUMMARY

The City of Homer wishes to expand the freight handling capabilities of its Deep Water Dock. The dock was constructed in 1988-89 in accordance with the general arrangement outlined by Tippet-Abbet-McCarthy-Stratton in their 1980 report Engineering Study and Preliminary Design for Port of Homer Development. Available funds in 1988 did not permit the development proposed by TAMS and so the initial work was based on the need for future upgrade and expansion; that time has come.

This study recommends construction of the next phase followed by two future phases as demand and funds warrant. Phase One will enlarge the dock from 345 feet long by 40 feet wide to 745 feet long by 88 feet wide and widen the approach trestle to about 40 feet to permit two-way traffic. The existing structures will be strengthened to support heavier loads, and crane beams will be added to enable the dock to be outfitted with a gantry crane for containerized cargo. In addition, the outer 18 feet of the dock will be designed to support mobile cranes. The wider trestle will also accommodate a portable ramp for Roll-On/Roll-Off type cargo operations. The objective is to make the dock as flexible as possible in terms of the type of cargo it can handle.

Phase Two will lengthen the dock to about 950 feet and supply a terminal building and upland improvements; Phase Three will widen the entire dock to 130 feet and add a second trestle, if required.

The U.S. Army Corps of Engineers is looking at ways to expand the small boat harbor. One of their concepts places a new harbor between the existing harbor and the Deep Water Dock (DWD). There is a potential conflict between the proposed DWD expansion and the entrance channel in this concept. Coordination between the plans is imperative.

Phase One is estimated at \$30.0 million, including contingencies, engineering, legal and administrative costs. Phases Two and Three are estimated to be \$12.5 and \$16.5 million, respectively. Assuming Phase One design begins in autumn 2004, construction can be completed by autumn 2006.

2.0 INTRODUCTION

Homer is located in on Kachemak Bay in Lower Cook Inlet, about 200 air miles south of Anchorage. The Homer Spit is a prominent peninsula that extends approximately 4.5 miles into the bay. The spit contains several port and harbor related facilities and is an important area for local commerce and recreation.

The City Homer wishes to expand and upgrade the Deep Water Dock (DWD). The dock is located north of the small boat harbor near the end of the Homer Spit. It was completed in 1989 and is a pile-supported platform type structure.

The purpose of this study is to review options for lengthening and widening the dock, improving access and increasing the load capacity of the existing structure including provisions to permit the dock to handle containerized cargo.

The current dock is located in accordance with recommendations contained in a study prepared by Tippets-Abbett-McCarthy-Stratton Engineers (TAMS) in 1980.

3.0 DESCRIPTION OF EXISTING FACILITIES

Virtually all port and harbor facilities in Homer are located near the end of the Homer Spit. These include the small boat harbor, the new Multi Purpose Ocean Dock (MOD), or Pioneer Dock, and the DWD. Both the DWD and the MOD are located out side of the small boat harbor near the entrance to the harbor on the end of the spit.

The DWD is located immediately north of the small boat harbor entrance. It is approximately 344 feet long by 40 feet wide. A 525-foot long by 24-foot wide single lane trestle connects the dock to the shore. The trestle is connected at the south end of the dock. There is a 100-foot by 110-foot truck-turning area at the intersection of the trestle and the dock. Both dock and trestle are constructed of precast concrete elements, which are supported by steel pipe piling. There are three mooring and breasting dolphins, one on the north end and two on the south end, and two floating moorings, one on each end. The dolphins are not connected to the dock by catwalks. The mudline at the face of the dock is -38 feet Mean Lower Low Water (MLLW).

The MOD is located southeast of the entrance to the small boat harbor. It is a U-shaped structure and like the DWD it is constructed of precast concrete elements supported by steel pipe piling. The dock serves as berth for the US Coast Guard, an Alaska Marine Highway System terminal, as well as cargo and cruise ship traffic. The Coast Guard berth is on the west face of the dock; all other berthing is on the north face. The trestle spacing allows for possible RO-RO service from the older Totem Ocean Trailer Express vessels. Minimum water depth on the north face is -35 feet MLLW. The west face is shallower.

The small boat harbor is approximately 3000 feet long by 750 feet wide; it contains about 920 permanent moorage slips and about 6000 lineal feet of transient moorage. There are two fuel floats and a pile supported "fish dock" (primarily used by commercial fisherman) within the harbor. The U.S. Army Corps of Engineers is presently studying ways to expand the small boat harbor. One of the options is a new mooring basin north of the existing harbor separated by the existing land area. The proposed entrance to the new harbor is currently shown on the south side of the basin about 500 feet north of the mooring dolphins of the DWD. As currently shown, there will be a conflict between this small boat harbor expansion entrance channel option and the expansion of the DWD.

4.0 DESIGN FLEET

The DWD should be designed for a range of vessels, including container ships, barges, petroleum tankers and barges, and dry bulk vessels. Important design parameters include the length overall, beam, loaded draft and the displacement or total loaded weight of the vessel. Examples of various types of vessels are shown in graphic form in the drawings at the end of this report.

4.1 Container and Cargo Vessels

Container ships come in a variety of sizes. These range from older C8s which were 787 feet long to Post Panamax vessels over 1000 feet long (Note the term Post Panamax refers to ships that can not fit thru the Panama Canal). Current Military cargo ships are 948 feet long. For the purposes of this project, the design container and cargo vessel will be 950 feet long and will displace 65,000 DWT.

4.2 Barges

The facility will likely see a wide range of barges, including cargo and petroleum barges. The design barge for this project is assumed to be a 400-foot long by 100-foot wide barge.

4.3 Roll-on Roll-off (RO-RO) Vessels

Totem Ocean Trailer Express (TOTE) currently provides RO-RO service between Alaska and the Washington State. The MOD was specifically arranged to support TOTE's older Ponce Class ships. The DWD may be called upon to accommodate RO-RO traffic as well. Accordingly, the position of trestles and trestle geometry is an important aspect of this type of operation and must be considered in the design process.

4.4 Cruise Ships

It is generally not good practice to mix cargo and cruise ship operations at the same dock at the same time for reasons of safety. The MOD was specifically arranged to handle cruise ship vessels. It may be necessary from time to time to accommodate cruise ships at the DWD, for example, if more than one cruise ship were to request a berth on the same day. Modern passenger liners are often over 1000 feet in length. They are generally lighter than cargo vessels and should not control design elements of the dock.

4.5 Petroleum Vessels

There is sufficient POL storage in Homer to justify tanker operations. Petroleum barges currently off load at the MOD. The primary operation is to supply (import) fuel products to the tank farm on the spit, which in turn supplies fuel to the local market. There is a small market supplying fuel to vessels calling at the dock. There have been discussions over the years to relocate the tanks near the south end of the spit. The logical location for new or relocated tanks is near the DWD. Accordingly, upgrades should consider pipe racks along the access trestles and fenders for barges, possibly on the inboard face of the dock. Fuel barges and ships often have heavier displacements than other vessels of their size. This of course is due to the fact that the liquid bulk fills large areas in the holds and weighs a lot. It is important to understand the largest size of the vessel that will call at the facility so that the dock can be designed to handle the berthing loads. This primarily affects the design of the fender system and mooring bollards. Typical petroleum vessels are shown in the drawings attached to this report.



Photo No.1 – Typical Petroleum Barge

6.0 CARGO

A number of cargoes can be expected at the DWD. These include containers, liquid bulk, break bulk and dry bulk.

6.1 Containers

6.1.1 Wheeled Operations

Wheeled operations refer to the situation when containers are maintained on chassis, or when the cargo is transported in trailers. This type of operation is often associated with RO-RO. However, this has been the predominant form of both RO-RO and containerized cargo handling in Alaska since Sealand Service (now Horizon Lines) started in the 1960s. Chassis operations generally require more land than stacking. The decision to use chassis or to stack is often a function of the amount of cargo handled and the value and availability of land. Typically, yard layouts include parking the chassis in stalls, perpendicular to access aisles. The layout must accommodate the chassis and container as a unit, provide proper turning radii and access between rows. A modern upland stall for a wheeled 53-foot container would be 10 feet wide and 55 feet long. The aisle width for these trailers is about 60 feet (65-70 containers per acre).



Photo No.2 – A Container Being Loaded onto a Wheeled Chassis

6.1.2 Grounded Operations

This method of operation applies to containers that are set directly on the ground or stacked. In this mode containers are moved about the yard with special handling equipment such as forklifts, reach stackers, or rubber tired gantry cranes. The containers may be stored in rows or blocks dependent on the type of handling equipment used. Typical stacking heights vary between two and five containers high; empties can be stacked higher. The layout of yard for grounded containers depends on the characteristics of the handling equipment, including reach and turning radius.

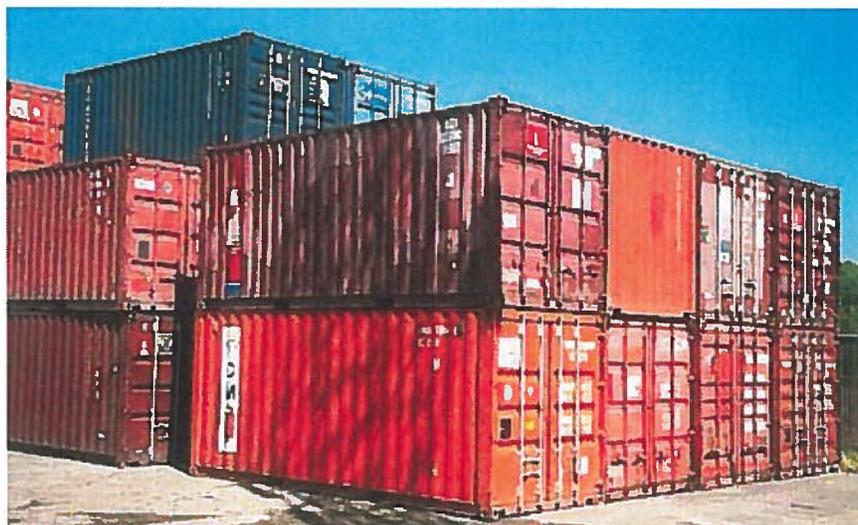


Photo No.3 – Stacked Containers on the Ground

6.1.3 Container Through-Put

The 1980 TAMS report estimated about 9,000 containers annually for Homer with about 75% of those incoming. This works out to about 173 containers per week for average conditions and about 300 containers per week for peak periods. The ships that currently service the Port of Anchorage typically hold about 500 each 40-foot containers. However, these projections are quite old and need to be updated.

It is likely that container service in Homer would start out as a barge operation where the barges carry mixed cargo with some containers along with other types of cargo.

6.2 Liquid Bulk

Petroleum operations are important to many marine applications. The MOD includes a utility trestle designed primarily to support petroleum cargo operations. As noted above, a utility trestle should be included in the design and retrofit of the existing access trestle. Further study should be undertaken to determine the potential of this market segment and to define the size of the tanks and the amount of uplands that could be required to support the operation.

6.3 Break Bulk

Break bulk refers to materials not containerized. These typically include construction and project materials. An example would be stacks of lumber, roofing, and other building materials for a construction project. Break bulk can also refer to consumer goods too large to fit in a container, such as, boats and modular homes. Break bulk may require special handling equipment and requires a dedicated upland yard for staging.

For this project the primary requirement for break bulk is to provide sufficient lifting capacity to handle a wide range of loads and to provide an adequate upland staging area.

6.4 Dry Bulk

Dry bulk consists of wood chips, coal, cement, gravel and other items. The recently dismantled wood chip facility had all the major elements of a dry bulk operation. These include the stockpile area, a conveyor, and a ship loader. It is possible to support a conveyor and ship loader on a separate trestle or series of piling. This would be designed specifically for the type of operation and equipment required.

7.0 CARGO OPERATIONS AND EQUIPMENT

Containers are the dominant form of marine cargo today. They have the advantage of better security, ease of handling, the ability to be stacked and they lend themselves to multi-modal

transportation. It is not uncommon for a container to travel by rail, truck, and ship to get from point of origin to final destination.

Containers are measured by size. The standard is called a TEU or twenty foot equivalent unit based on units 20 feet long, 8 feet wide and 8 feet high. A container that is 40 feet long by 8 feet wide and 8 foot high is equivalent to two TEUs. Common container sizes are now 40, 45, and 53 foot long. The 53 foot containers are likely near the maximum practical size as these required special regulations to allow them to be highway legal and they can carry weights that approach normal highway load limits.

Container cranes have special requirements. Typically the loads are between 60,000 and 80,000 pounds. They must move the load rapidly and accurately. Speed of operation has become increasing important. Time at berth is a key factor in the efficiency of container operations. Many operations are designed to "turn a ship around" (or unload and load it) in one 12 hour shift.

7.1 Gantry Cranes

Rail-mounted gantry cranes have been used throughout the world for many years to rapidly load and unload large numbers of containers. The cranes often weigh millions of pounds and have wheel loads of 50,000 pounds per foot or more. The cranes are either powered by onboard diesel engines or by shore power through bus bars or cables. The crane rails are generally mounted on special beams which in turn are supported by a row of piling. Older cranes commonly have a 50 foot gauge (other gauges do occur) whereas newer cranes have a 100 foot gauge. The wider gauge allows more traffic lanes between the rails. It is also becoming more usual to place the outboard crane rail 15-20 from the face of the dock to allow for a traffic lane between the crane and the dock face.

Outreach is a measure of the cranes boom length and is generally stated in numbers of containers. For example, an 8 wide outreach is able to load or unload vessels with containers stacked 8 deep across the deck. Cranes with an outreach of 18-20 are not uncommon. A container is slightly greater than 8 feet wide. Obviously the size of the ship will have a great effect on the requirement for the cranes.

The lifting capacity of gantry cranes is 30-50 long tons. In Alaska, 40 LT units have been in service at Anchorage, Kodiak and Unalaska for many years. Loaded containers are lifted at 100-150 feet per minute, whereas empties are handled at 250-360 feet per minute.

New gantry cranes cost \$5-6 million, or more. Older cranes with a 50-foot gauge and up to 12-wide outreach can be purchased for very little. The cost to move and set up a used crane is estimated to start at about \$500,000.



Photo No.4 – Typical Gantry Cranes



*Photo No.5 – Truck Lanes between the Legs of Gantry Cranes
(Note that each crane has a dedicated lane.)*

Photo number 4 shows typical large gantry cranes. Note that there are typically 3 to 4 of these units working together to unload a ship. Photo number 5 shows the truck lanes under a gantry crane. Each crane typically has a dedicated lane. The ability of these cranes to work in conjunction with the trucks and loading lanes adds to the overall efficiency of this system.

7.3 Crawler Cranes

Crawler or track-mounted cranes can be fitted with container attachments. These cranes move along the edge of the dock picking containers off of the vessel and placing directly on truck chassis or on the deck where they can be picked up and moved by forklifts or straddle carriers. The size of the crane will depend on the weight of the containers and the required vertical and horizontal reach. These types of cranes can place very serve loads on the deck. Track pressures on a hard surface over 10,000 psf are not unusual. The advantage of these types of cranes is that they can also be used for non-containerized cargo and they are commonly available throughout Alaska. Crawler cranes are particularly attractive where mixed cargo is involved, such as barges with both containers and general or break-bulk cargo. The Port of Valdez uses a crawler crane to unload container barges as is shown in the attached photo.



Photo No.7 – Typical Track Crane Unloading a Barge

7.4 Pass-Pass

The term pass-pass is used to describe an operation where forklifts on a barge set containers on a “table”, or occasionally directly onto a dock, where shore side forklifts pick them up and place them in a stack or on a truck chassis for delivery to the final destination. Particularly in Alaska, these operations have to occur within a narrow window around high tide. This is a simple operation that is effective for limited service areas and where volumes are low and speed and efficiency are not at a premium.

7.5 RO- RO

Roll On – Roll Off involves driving cargo on and off a vessel; either ships or barges. In this arrangement the cargo may be in the form of tractor-trailers (semis), straight body trucks or other over-the-road type vehicles. However, container type cargo may also be transported by through the use of special trailers, forklifts, yard tractors and feeder trucks. Ships can be either stern-ramp or quarter ramp type vessels or they can load from the side.

Ramps are needed to accommodate tide fluctuations during loading and off-loading operations. This is significant in Cook Inlet due to the large variations in tide levels. Special fixed or movable ramps are provided to address the movement. Movable ramps are rolled out on fixed trestles. The trestles to accommodate the ramps must be a minimum of 30 feet wide and line up with the doors on the vessels. Because of the length Homer trestles (over 500 feet) the cost to provide RO-RO access at the DWD is substantial.

8.0 EXPANDED MARINE FACILITIES

The purpose of this project is to expand the DWD. The work will include lengthening and widening the dock, increasing the load capacity of the existing structure, adding a second trestle and including provisions to permit the dock to handle containerized cargo.

The existing dock has been used as a general cargo facility. Immediately after completion it was used to load log ships. A chip loader was added shortly after that (recently removed) and the dock was used to load wood chips on ships. It has been used for other break-bulk cargo. The expanded facility should also allow for multiple uses.

The plan is to develop a berth that is ultimately 900-1000 feet long. Depending on available funds, it may be necessary to expand the dock in phases. The existing structure is about 345 feet long. Based on a 900 foot berth, an additional 555 feet is needed. This additional length can be achieved by building 200 additional feet on the south end of the existing dock and 355 feet on the north end, or the entire 555 feet on the north end. Adding part of the expansion on the south with avoid intersecting the -40 foot MLLW contour which curves eastward as you move north. Moving the dock face seaward will also help avoid that problem.

A second objective is to improve access. The 1980 TAMS study did not anticipate a second trestle. A new trestle at the north end of the expanded dock will be almost 1000 feet long and cost about \$7.5 million. Based on a one-way traffic pattern (enter on the south trestle, exit on the north) average cycle times will be similar if the south trestle is widened to permit two-way traffic. The only difference is the requirement to turn the trucks around on the dock. We estimate it will cost \$3.0 million less to strengthen the existing ramp and widen it to 40 feet than to build a second trestle. The cost for a second trestle will not be justified until a very high volume of containers flows over the dock.

8.1 Design Criteria

The original TAMS study envisioned a 700-foot dock with a single trestle that would accommodate 35,000 DWT vessels up to 650 foot in length on the outboard face and shallower draft vessels up to 500 foot in length on the inboard face. The dock was to be 90 feet wide and the approach trestle 30 feet wide. The proposed deck design was for a uniform load of 650 psf or 45-ton forklifts, whichever controlled. In addition, the dock was to include crane rail beams for a 50-foot gauge, 40LT gantry crane and for 100-Ton mobile crane with 40-ton maximum outrigger loads to be positioned at the bullrail. The trestle design called for HS20-44 loads or a 45-Ton forklift.

In the 25 years since the TAMS report was prepared there have been significant changes in the shipping industry; ships are getting larger. They are longer, wider and have deeper drafts. Accordingly, the expanded and upgraded DWD should be capable of berthing vessels up to 65,000 DWT and with a length overall of about 950 feet. It is also proposed that the upgraded dock have an allowable deck loading of 650 psf, or 1000 psf if container stacking is allowed. In addition, the deck should be capable of supporting loads from container cranes and forklifts. Container cranes can either be track-mounted gantry cranes, or mobile cranes; either rubber-tired or track- type.

8.2 Alternatives

Several options for satisfying the proposed objectives of the DWD upgrade were considered. Some of the options expand on others and the ultimate build-out can be accomplished under a multi-year construction program. There are some basic design issues that must apply to all of the alternatives, particularly with regard to the overall width and strength of the structures. The biggest single issue is the type of cranes.

The alternatives outlined below are primarily based on the use of gantry cranes. Gantry cranes may be the most efficient system for this dock because of the fact that used cranes of this type can be purchased for comparatively little. This is due to the fact that many large ports are going to larger cranes and there is little market for used cranes. The costs for used cranes are mainly related to transportation and set up costs.

The required width of the dock for a 50 foot gauge gantry crane is about the same as for a dock with a turning radius for a wheeled container chassis; just over 80 feet. The require dock width for a 100 foot gauge crane is about 130 feet.

8.3 Upgrade Existing Dock

The existing dock needs to be widened and strengthened. There are a few options for widening the dock.

The concept outlined in the attached plans includes constructing new crane beams at a 50-foot gauge. The water side or outboard crane rail would be placed about 2 feet from the face of the existing dock on a special crane rail girder supported by a new row of steel piling. The new dock

face would be about 16 feet from this crane rail and outboard of the existing structure. The area between the outboard crane rail and the new face of the dock would be designed for mobile crane loads.

The landside crane rail would be placed on a new crane rail girder and row of piling along the back face of the existing dock. Additional decking about 30 wide would be placed along the back face of the existing dock. This decking would be designed to handle 650 psf loads. The entire width of the new and existing dock would be 88 feet.

Another option would be to design the dock for 100-foot gauge cranes. In this alternative, the waterside crane rail would remain the same but the landside rail would be placed further back and the dock would be widened toward the land to accommodate the larger cranes.

The existing dock can be strengthened through a cast-in-place concrete structural topping and by adding piling. Currently the deck has a load capacity of 500 psf or a 30-ton forklift.

It is possible to salvage equipment from the existing dock to be used on the expanded facility. For example, the existing fenders can be used on an inside berth. We estimate the fenders have a value of several hundred thousand dollars. Some of the bits and bollards can also be reused.

Seismic codes have changed dramatically since the existing DWD was constructed. Expansion of the facility will likely require upgrading of the lateral load capacity of the dock. We recommend that seismic design for the facility be deflection-based using the Marine Oil Terminal Engineering and Maintenance Standards (MOTEMS), June 2003. MOTEMS uses a push-over analysis to establish capacity.

The existing trestle has been criticized for not being strong enough. It was designed for 30-ton loaded forklifts and HS20-44 highway loads. If a second trestle is not constructed the existing trestle should be widened and strengthened. The trestle can be strengthened by removing the existing channel slabs and replacing them with prestressed concrete box girders, or with shorter span haunched deck panels. The first option will require strengthening the existing pile bents, the second option will involve installing intermediate pile bents. The existing bents are spaced at 40.5 feet on center. Widening the trestle will necessitate lengthening the caps for either option.

8.4 New Dock

We recommend the use of concrete decking and pile caps versus steel structural elements for marine facilities wherever possible because of its superior maintenance characteristics. With recent improvements in pile driving technology (large vibratory and hydraulic hammers) we prefer fewer large diameter piling. For example, for the proposed upgrade and expansion we recommend using 48-60 inch diameter steel pipe piling. Although heavier to lift, the setup time for driving is only slightly more than smaller diameter piling (24-36 inch). To take advantage of the structural efficiency of the larger piling, we also suggest investigating the use of longer span deck elements, and where possible “ganging” them to speed field erection. Given the potential

size of this project it will likely attract marine contractors with barge cranes that have lifting capacities up to 500 tons, or more.

8.5 Cathodic Protection

Uniform corrosion rates of between 5 and 10 mils (one mil equals 1/1000 of an inch) per year for bare steel in saltwater are common. Localized corrosion rates can be much higher. Therefore cathodic protection (CP) is a key element in the service life of steel components of a marine structure. There are several acceptable methods to provide protection including, coating, galvanizing, sacrificial anodes, and impressed current CP systems.

Galvanizing is a coating of zinc that sacrifices its self to protect the underlying steel; it has a finite life of 15-20 years. When the galvanizing is consumed, a bare steel structure remains that requires coating or a CP retrofit.

The pilings on the existing DWD are galvanized. Since the existing dock was built in the late 1980s, the service life of the galvanizing can be considered nearly over. This is confirmed by a recent condition assessment and by visible inspection of the piling, which show evidence of very little remaining zinc coating and light corrosion in some areas.

Coating is one of the best ways to protect steel in a marine environment. The coating shields the steel from the corrosive effects of the seawater. If it were possible to install a perfect coating, the service life for corrosion would be indefinite; in practice this never happens.

Sacrificial anodes typically consist of zinc and aluminum. They work by becoming the anode in an electrochemical system or loop that sets the steel structure up as a cathode. In this system, an electrical current will flow in such way as to protect the steel structure while gradually consuming the anode. Like galvanizing, sacrificial anodes have a finite life, typically 20 years, more or less.

Impressed current anodes are similar to the sacrificial anodes in that they are designed to set the steel structure up as a cathode in an electro chemical system. As the name implies, a current is impressed upon the anode from an outside source. These anodes are generally made of graphite, high silicon cast iron, titanium or other alloys. The impressed current anodes are typically powered by a DC power source or rectifier connected to the domestic power supply. An impressed current system has the advantage of being able to put out considerably more current per anode than a sacrificial unit. Impressed current systems require more care and maintenance than a sacrificial anode-type system. Impressed current systems have a poor record of performance in Alaska as a result of lack of proper maintenance.

For this project a combination of coatings and sacrificial anodes are recommended. All new steel should be coated with a heavy-duty marine coating system and sacrificial anodes should be attached to all piling. All piling on the existing dock should likewise have sacrificial anodes installed. Anode size will vary based on the amount of bare steel requiring protection and on service life of the anodes.

We estimate 400-500 pounds of anodes will be required for each existing 24-inch diameter steel piling for a 20 year life, whereas 100-150 pounds of anodes will be required for each new coated piling for a similar design life. A more detailed analysis should be completed in final design.

8.6 Lighting and Electrical

Lighting and electrical are a significant item for any industrial facility. Sufficient power must be provided to meet all anticipated needs. These include:

- Dock lighting
- Uplands lighting
- Power for the terminal building
- Power for the gate and related operations
- Power for reefers
- Power for gantry cranes if supplied
- Power for related industrial facilities such as pumps and other equipment

8.7 Utilities

Utilities must be provided to the dock; these include potable water and fire protection. Fire hydrants must be spaced at a maximum of 200 feet on center and the system protected from freezing. This is typically accomplished by using insulated and heat traced piping.

9.0 UPLANDS

Uplands are a key component for any container facility. The uplands must contain several items including, a container yard, an area for reefers, an area for general or project cargo, a gate facility, an operations center, and a hazardous materials area.

A typical modern container terminal will require 25 to 30 acres of land for these facilities. The TAMS report (completed in 1980) recommended a general storage area of 13 acres, a marshalling yard for containers only of 11.5 acres and a cold storage transit shed, as well as office space for several types of services.

9.1 Fenced Cargo Yard

As mentioned above, there is a need for a cargo yard to accommodate both containers and general or project cargo. The container yard must be able to accommodate both wheeled and grounded operations. It must also provide for reefers. Modern port security requirements mandate that the area be fenced and secured. The concept design shown in the drawings attached to this report shows an 8-foot high security fence around an approximate 18-acre yard.

9.2 Yard Surfacing

Container and general cargo yards typically require heavy-duty pavement sections to handle the large loads imposed both by the cargo and by handling equipment, such as forklifts, reach stackers, and rubber tired gantry cranes. These items can exert greater stresses on pavements compared to normal highway loads. There are several common materials used in surfacing the yards, including asphalt, concrete, and paving blocks.

9.2.1 Asphalt

The most common pavement type used for container handling facilities is asphalt. This type of surfacing has a relatively low initial cost, is flexible to changes in operations, and can be easily maintained. Asphalt surfacing should be designed in accordance with the Asphalt Institute's MS 23, Thickness Design, Asphalt Pavements for Heavy Wheel Loads.

9.2.2 Concrete

Concrete is one of the most durable materials for a pavement surface. However, with few exceptions concrete pavements have not been used in Alaska due to cost and frost heaving problems. Some concrete pavement may be appropriate for "landing strips" where containers or other equipment exert heavy or repetitive loads.

9.2.3 Pavers

Concrete pavers are becoming increasingly popular in container yards. These units are interlocking blocks arranged to form a continuous surface. The pavers are strong and allow for easy repair/replacement if damaged. They also can be reused if the configuration of the yard changes. These units are not manufactured in Alaska and shipping costs will likely preclude their use except in discreet, specialized situations. One such use may be over a buried utilities right of way area. For example pavers could be used to run underground power to a refer area. This would allow for comparatively simple modifications to the layout of the refer yard in the future.

9.3 Hazardous Materials (HAZMAT) Area

A hazardous material area must be provided if hazardous materials are handled such as chemicals or gases. The area should fenced and include a closed containment system. The area must be well lighted and have fire protection. The hazmat area should be remote from the operations center and other areas where personnel congregate.

9.4 Operations Building

The operations center houses several important functions under one roof: administration offices, stevedore break room, gatehouse operations, and a courtesy room for the public and ship personnel. The administration facilities are the on site headquarters for shippers. Communications with vessels and coordination with other shippers can take place in this space.

If multiple tenants use the site separate offices are normally provided for each user. The building will need all of the normal utilities: water, sewer, power and natural gas (if available). This structure will evolve over time as need develops. Accordingly, it should be sited and designed to allow for expansion.

9.5 Refrigerated Vans

Modern containers have the ability to be refrigerated. Refrigerated vans typically have both plug-ins and self-contained (diesel) refrigeration systems. Power requirements for these units can be 220 or 440 volt, 3 phase and draw 30-50 amps. Refrigerated vans typically comprise about 20% of containers in the Alaska trade. There should be a designated area in the yard for these units.

9.6 Uplands Site Plans

Attached is a concept site plan for the uplands. The fenced area contains about 18 acres. Of this area about 15 acres can be used for cargo storage, including break bulk, and wheeled and grounded containers. The plan shows a preliminary location for the terminal building near the current access trestle. The location of the terminal building allows it to function gatehouse to control access to the site.

10.0 IMPLEMENTATION

10.1 Phase One

Phase one widens the existing dock to 88 feet and adds 200 feet to each end of the structure. The completed dock will be about 65,000 square feet, with an overall length of 744 feet. The project will include widening the existing trestle to 40 feet and strengthening it. The completed trestle will be approximately 21,000 square feet.

The existing dock will be widened by adding 18 feet on the front and 30 feet on the back of the existing dock. Crane beams for a 40LT, 50-foot gauge gantry crane are included. The outer 18 feet of dock along the face will be designed for mobile crane loads. The balance of the deck will be designed for a uniform load of 650 psf or forklift loads, whichever control. The outer crane rail beam will be designed for a future 100-foot gauge crane and will be positioned immediately outboard of the existing dock face.

It is also possible to build the entire 400-foot addition on the north end of the existing dock. The total area of dock and associated costs are unchanged by this modification.

10.2 Phase Two

This phase will expand the dock to 900 feet overall length, add a terminal building, and provide upland improvements including lighting, electrical, paving, fencing, and fire protection. The basic dock design will be the same as in Phase One. It will add about 13,600 square feet to the dock for a total of 78,600 square feet. If funds are available, Phase Two can be combined with Phase One as a single project.

10.3 Phase Three

Phase Three adds about 13,500 square feet to the dock by widening it to an overall width of 130 feet and adding a rail for a 100-foot gauge gantry crane. The dock area will total 92,100 square feet upon completion of this phase. A second trestle may be added to provide U shaped truck circulation to support the larger gantry crane. The second trestle will eliminate inside berths.

11.0 COSTS

The following are planning level estimates. They are what we consider to be fair market value for competitively bid public marine facilities with a design life of 50-60 years. Since these are schematic or planning level concepts, a 20% contingency is added to all the estimates. In addition, 15-20% should be added for engineering, legal and other administrative costs through project start-up. No allowances are included for land acquisition, complicated or difficult permitting issues or equipment. Costs are in 2004 dollars.

Phase	Item	Quantity	Unit Price	Cost
PHASE ONE				
	Deck (new)	51,500 sf	\$300/sf	\$15,450,000
	Deck (upgraded)	14,200 sf	\$150/sf	\$ 2,130,000
	Trestle	21,000 sf	\$200/sf	\$ 4,200,000
<i>Subtotal</i>				<i>\$21,780,000</i>
	Contingency	-	20%	\$ 4,356,000
<i>Subtotal</i>				<i>\$26,136,000</i>
	Engr/Legal/Admin	-	15%	\$ 3,920,400
<i>Total</i>				<i>\$30,056,400</i>
SAY				\$30.0 million
PHASE TWO				
	Deck (new)	12,700 sf	\$300/sf	\$ 3,810,000
	Terminal Building	2400 sf	\$250/sf	\$ 600,000
	Yard Upgrades	18 Acres	\$250,000/ acre	\$ 4,500,000
<i>Subtotal</i>				<i>\$ 8,910,000</i>
	Contingency	-	20%	\$ 1,782,000
<i>Subtotal</i>				<i>\$10,692,000</i>
	Engr/Legal/Admin	-	15%	\$ 1,603,800
<i>Total</i>				<i>\$12,295,800</i>
SAY				\$12.5 million
PHASE THREE				
	Deck (new)	14,500 sf	\$300/sf	\$ 4,350,000
	Trestle	30,000 sf	\$250/sf	\$ 7,500,000
<i>Subtotal</i>				<i>\$11,850,000</i>
	Contingency	-	20%	\$ 2,370,000
<i>Subtotal</i>				<i>\$14,220,000</i>
	Engr/Legal/Admin	-	15%	\$ 2,133,000
<i>Total</i>				<i>\$16,353,000</i>
SAY				\$16.5 million

12.0 FURTHER STUDY

It is appropriate to perform an economic analysis to compare costs to build and operate the facility with potential income. The economic study should examine the current cargo market and the potential for various operators to service the Kenai Peninsula area from Homer. The economic study should clearly identify the design vessels that the dock must service as well as the type of crane required and the amount of uplands needed to support the operations. These items will have a direct effect on the size, type, and cost of the infrastructure required. This should be one of the next tasks. Project costs include both construction and operation. If construction is funded with grants then only operation and maintenance will have to be balanced with revenues, other wise debt amortization should be included.

Another issue is the dynamics of sedimentation along the spit. It is important to maintain adequate depth along the face of the dock, preferably without the need to dredge. This issue needs to be examined in more detail. It is also important that new construction not interfere with the sedimentation regime in the vicinity of the DWD, including plans to expand the small boat harbor.

Once a plan is agreed upon, permitting should be started at the earliest possible time. The fact that the plans presented in this study do not include filling on wetlands, should limit environmental objections. The permit process should take six months, more or less.

A bathymetric survey will also be required; it should be completed prior to permitting. The survey should cover an area large enough to assure that vessels turning into and away from the dock are clear of obstructions and will not ground.



City of Homer, Alaska

PART

REQUEST FOR PROPOSALS PACKAGE

(Procurement per Article 3 of AS 36.30)



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- Form 25A270, Part A - Request for Proposals (RFP)
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" " Part D - Proposal Form
Form 25A257, Pre-Audit Statement
Form 25A269, Indemnification & Insurance

Proposed Statement of Services

Other:

ISSUING OFFICE

City Contact & Phone No: Carey S Meyer, P.E; office: (907) 435-3124, cell: (907) 399-7232
Contracting Division: Public Works Department

PROJECT

RFP NUMBER: N/A
Project Numbers.....: 415-0921
Project Site: Homer, Alaska
Project Title & Contract Description: Homer Deep Water Dock Feasibility Study

SCHEDULE & PAYMENT

Anticipated period for performance-Begin/End:

Estimated amount of proposed contract:

- Less than \$200,000
\$200,000 to \$250,000
\$250,000 to \$500,000
\$500,000 to \$1,000,000
\$1,000,000 or greater
Proposed Method(s) of Payment:
Fixed Price Plus Expenses (FPPE)
Firm Fixed Price (FFP)
Other:
Cost Plus Fixed Fee (CPFF)

SUBMITTAL DEADLINE AND LOCATION

OFFERORS ARE RESPONSIBLE TO ASSURE DELIVERY PRIOR TO DEADLINE
ONLY PROPOSALS RECEIVED PRIOR TO THE FOLLOWING DATE AND TIME WILL BE OPENED.

DATE: January 15, 2015 PREVAILING TIME: 4:00 PM

HAND DELIVER ONLY DIRECTLY TO FOLLOWING LOCATION

Jo Johnson - City Clerk
491 E Pioneer Avenue
Homer, Alaska 99603

IMPORTANT NOTICE: If you downloaded this solicitation from the State's Website, you must register with the City of Homer to be placed on the plan holders list and to receive subsequent addenda. Failure to register may adversely affect your proposal. It is the Offeror's responsibility to insure that he has received all addenda affecting this RFP. To be registered, call (907) 235-3130 and provide the project name & number, company name & contact person, address, phone number & fax number or access City registration form at http://www.cityofhomer-ak.gov/rfps

SELECTION PROCEDURE

1. Competitive Sealed Proposals will be evaluated by a committee. Evaluation of responses to criteria set forth in Part C results in a numerical score for each proposal. Each criterion in Part C has an assigned weight for this RFP which demonstrates its relative importance. The total of all weights is 100 (100%). Each one-percent weight equates to a range of 0-5 points per Evaluator. The maximum points (score) obtainable for any proposal is equal to the product of 100 multiplied by the number of Evaluators.
2. Scoring of proposals will be accomplished as follows:
 - 2.1 Each Evaluator will individually read and rate each Offeror's response to each criterion described in Part C - Section I - Technical Proposal. Ratings will be based solely on contents of proposal and in compliance with the Contracting Agency's standard Instructions for Evaluation Committee. Except as may be stated within any criterion description in Part C, a rating of "5" = Best Response from all Offerors; "4" to "1" = Progressively Less Responsive; "0" = Non-Responsive. Ratings are multiplied by the assigned weights for each criterion to obtain criteria scores.
 - 2.2 After completion of individual ratings in Part C, Section 1, Technical Proposal, the Evaluation Committee will meet to discuss proposals. Evaluators may then alter their ratings; however, any changes shall be based solely on the criteria set forth in Part C.
 - 2.2 After scoring Part C - Section I - Technical Proposal, criteria scores for Part C - Section II – Preferences will be calculated based on criteria descriptions.
 - 2.4 The total score for each Offeror will be obtained by summing the scores determined for each criterion in Sections I and II of Part C. The order of ranking for negotiations shall be as follows: highest scored Offeror will be ranked first, next highest scored second, and etcetera.
3. Evaluators may discuss factual knowledge of, and may investigate Offerors' and proposed Subcontractors' prior work experience and performance, including projects referenced in proposal, available written evaluations, etcetera, and may contact listed references or other persons knowledgeable of a Contractor's and/or a Subcontractor's past performance. Factors such as overall experience relative to the proposed contract, quality of work, control of cost, and ability to meet schedules may be addressed. If any issues of significant concern to the proposed contract are discovered, the Committee may:
 - 3.1 Provide written recommendations for consideration during contract negotiations;
 - 3.2 Conduct discussions in accordance with paragraph 4, below.
4. The Committee may decide to conduct discussions (or "interviews") with responsible Offerors whose proposals are determined to be reasonably susceptible of being selected for award for the purpose of clarification to assure full understanding of, and responsiveness to, the solicitation requirements (AS 36.30.240 & 2 AAC 12.290). Offerors selected by the Committee for discussions may be permitted to submit Best and Final Offers (BAFO) for final Committee Evaluation. After discussions and any BAFO's, Evaluators will determine the final scoring and ranking for contract negotiations by evaluating written and oral responses using only the criteria set forth in Part C of this RFP (2 AAC 12.260(b)).
5. All Offerors will be advised of the Offeror selected for negotiation and, after completion of negotiations, a Notice of Intent to Award will be provided to all Offerors. If contract negotiations are unsuccessful with Offeror(s) selected for negotiation, the Contracting Agency may either cancel the solicitation or negotiate with other Offerors in the order of ranking.

NOTICES

PART



1. The Contracting Agency is an equal opportunity employer.
2. Copies of contract documents are available for review at the Contracting Agency's office. Offerors located outside the general vicinity of the Contracting Agency's office may telephone the Agency Contact identified on page one of this Part A for a discussion of such items.

General Conditions of the Professional Services Agreement are contained in the Small Procurement Standard Provisions Booklet, which is located on the Department's website under "Procurement".

The General Conditions are the **same** for both Competitive Sealed Proposals and Small Procurements.

3. Offerors are specifically advised that a contract shall not be in effect until a written agreement is executed by an authorized agent of the Contracting Agency. The Contracting Agency shall not be liable for any cost incurred by an Offeror in response to this solicitation, including any work done, even in good faith, prior to execution of a contract and issuance of a Notice to Proceed.

4. The Contracting Agency expressly reserves the right to waive minor informalities, negotiate changes or reject any and all proposals and to not award the proposed contract, if in its best interest. "Minor Informalities" means matters of form rather than substance which are evident from the submittal, or are insignificant matters that have a negligible effect on price, quantity, quality, delivery, or contractual conditions and can be waived or corrected without prejudice to other Offerors (2 AAC 12.990).

5. All proposals shall be open for public inspection (AS 36.30.230) after a Notice of Intent to Award is issued. Offerors should not include proprietary information in proposals if such information should not be disclosed to the public. Any language within a submittal purporting to render all or portions of a proposal confidential will be disregarded. Proprietary information which may be provided after selection for contract negotiations will be confidential if expressly agreed to by the Contracting Agency (AS 36.30.230).

6. Substitution for any personnel named in a proposal may result in termination of negotiations.

7. If it is discovered that a selected Offeror is in arrears on taxes due the State of Alaska, a contract may not be awarded until the Alaska Department of Revenue approves the payment provisions for the contract.

8. **Offerors and proposed subcontractors shall be in compliance with the statutory requirements for Alaska business licensing and professional registrations included in the certification statement on Page 2 of Part D in this RFP package.**

9. **PRICE COMPETITION:** Price cannot be an Evaluation Criterion in accordance with Article 3 of AS 36.30 for services that must be performed only by Architects, Engineers or Land Surveyors (A/E or LS) licensed in the State of Alaska, UNLESS the provisions of AS 36.30.270(d) apply; i.e., unless the services required are repetitious in nature, and the nature and amount of services required are thoroughly defined by measurable and objective standards to reasonably enable firms or persons making proposals to compete with a clear understanding and interpretation of the services required. If price is a factor, a majority of the evaluation committee must be registered in Alaska to perform architectural, engineering, or land surveying services.

- 9.1 If the services performed do not require an A/E or LS, then all Offerors including any A/E or LS must provide Price Proposals in accordance with AS 36.30.270(b) and 2 AAC 12.260(c).

- 9.2 Price (or any estimate of labor hours) cannot be an Evaluation Criterion for contracts that will receive federal funding (FAA) per 49 CFR 18.36(t), AC 150/5100-14D. For FAA exceptions: see AC 150/5100/14D, para 2-4(c).

10. An audit of the selected Offerors' and proposed Subcontractors' cost accounting systems and business records may be required to ascertain if systems are adequate for segregating contract costs; to establish a maximum allowable Indirect Cost Rate for the Agency's negotiator; and to investigate the accuracy of proposed labor rates and unit prices. In order not to unduly delay contract negotiation or award, be prepared to submit Pre-Audit Statement, DOT&PF Form 25A257 immediately for your firm and any subcontract which may exceed \$250,000. For contract amounts less than \$250,000, the Contracting Agency may require the Offeror and proposed Subcontractor to submit the Pre-Audit Statement if deemed necessary to determine allowable costs under Title 23 CFR requirements. If selected for negotiation, failure to submit properly completed Pre-Audit Statement(s) in a timely manner may disqualify an Offeror from further consideration. Information from Pre-Audit Statements and any Audit conducted for the Contracting Agency is considered proprietary and will be confidential.

11. Standard insurance provisions for Worker's Compensation, General and Automobile Liability, and Professional Liability are contained in DOT&PF Form 25A269, Indemnification and Insurance. Coverages may be modified under very limited circumstances. Offeror should not assume any modification of coverages.

12. Professional Liability Insurance for the proposed contract: is not required
 is required as shown on DOT&PF Form 25A269.

13. The proposed contract will will not be a Federally Assisted Program of the U.S. Department of Transportation. If it will be an assisted program, then the Offeror shall insert the following notification in all subcontract solicitations for bids or proposals pertinent to this RFP:

"In accordance with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 U.S.C. 2000d to 2000d-4 and Title 49, CFR, U.S. Department of Transportation (U.S. DOT), Subtitle A, Office of the Secretary, Part 21, Nondiscrimination in Federally-assisted programs of the U.S. DOT issued pursuant to such Act, in any Subcontract entered into pursuant to this RFP, Disadvantaged Business Enterprise firms will be afforded full opportunity to submit bids or proposals and will not be discriminated against on the grounds of race, color, sex, or national origin, in consideration for an award.

14. Pre-proposal Conference: None As follows:

A pre-proposal conference will be held from 1:00 PM to 2:30 PM on-site (4666 Freight Dock Road) on Tuesday, December 9, 2014.

15. Special Notices:

15.1 Per Alaska Statute (AS) 36.30.210(e): An Alaska Business License is required of Contractors who do business in Alaska at time of award. To qualify for the Alaska Offerors' Preference, under AS 36.30.321, an Offeror shall have a valid Alaska business license as a prerequisite to proposal. Information regarding applying for an Alaska Business License can be found on-line at <http://commerce.alaska.gov/dnn/cbpl/Home.aspx> or by calling 1-907-465-2550. The business license must be in the name of the company under which the proposal is submitted.

Consultants' good faith efforts to meet the DBE goal may be made by their own efforts if they are a DBE and certified in the work category proposed or by proposing DBE subconsultants certified in the work category proposed. Generally, for federally funded contracts, proposed DBE services will be a scored criterion. See RFP Part C for weight. For contracts in which a 5% goal is established, proposed DBE services will count toward race conscious participation. Any questions about this notice may be directed to the Civil Rights Office, 907-269-0850.

For this RFP, there is not a DBE goal, or there is a DBE goal of 5%.

SUBMITTAL CHECKLIST

Offeror may use left margin to check off items when completed.

Prime Contractor shall have a current Alaska Business License on date of submittal, reference item 1, page 2, Part D.

- [] 1. Offerors must carefully review this RFP Package for defects and questionable material and become familiar with submittal requirements. Submit written comments to the address shown under "Submittal Deadline and Location" on page 1 of Part A - RFP. Substantive issues will be addressed in a written addendum to all RFP recipients on record. Failure to comply with directions may result in lower score and may eliminate a submittal from consideration. Protests based on alleged improprieties or ambiguities in a solicitation may be disallowed at the discretion of the Contracting Agency if the protest is not received in writing at least ten Agency work days prior to the Submittal Deadline (AS 36.30.565).
- [] 2. Review Part A - RFP and the proposed Statement of Services and any other attached or referenced materials. If no Statement of Services is attached, telephone the Agency contact person identified on page 1 of Part A.
- [] 3. Review Part C - Evaluation Criteria. Read each criterion in light of the proposed Statement of Services. Note any project specific criteria which may have been added or any changes to standard criteria descriptions which may have been made. Be aware of the assigned weight for each criterion. If a weight is not entered for any criterion on Part C, notify the Agency contact person. Plan your proposal to address the applicable criteria. Criteria Responses shall not exceed the number of pages stated below.
- [] 4. Prepare a distinct Response for each criterion that has a weight more than zero. Failure to respond directly to any criteria weighted more than zero will result in an evaluation score of zero for that criteria. Any Responses to criteria weighted zero will be disregarded. Acceptable Responses must be specific and directly related to the Contracting Agency's proposed Statement of Services. Marketing brochures, federal standard forms 330s, marketing resumes, and other non-project specific materials will be discarded without evaluation and should not be submitted.
- [] 5. **Each criterion Response must be titled, numbered and assembled in the order in which the criteria are listed in Part C**, so the criterion to which information applies shall be plainly evident. Material not so identified or assembled may be discarded without evaluation.
- [] 6. Price is is not an evaluation criterion for the proposed contract.
- [] 7. Complete all entries on Part D - Proposal Form. Note the statutory requirements for Alaska business licenses and professional registrations and be sure to sign and date the Certification. Copies of licenses and registrations may be provided with submittal, and will not count in the requirements of #8 below.
- [] 8. Attach Criteria Responses to Part D - Proposal Form. The maximum number of attached pages (**each printed side equals one page**) for Criteria Responses shall not exceed fifteen (15). Attached page limit does not include the four-page Part D - Proposal Form.
- Criteria Responses shall be presented in **8-1/2" X 11" format**, except for a minimal number of larger sheets (e.g. 11" x 17") that may be used (e.g. for schedules) if they are folded to 8-1/2" X 11" size. Large sheets will count as multiple pages at 93.5 square inches or fraction thereof per page, unless otherwise noted.
- CAUTION:** Criteria Responses which do not comply with the required page limit or presentation size, may result in disqualification. Further, small print or typeface that is difficult to read may negatively influence evaluation of your submittal and affect scoring for "Quality of Proposal."

CHECKLIST IS CONTINUED NEXT PAGE

[] 9. N/A

[] 10. Parts A, B and C of Form 25A270 and the RFP containing the proposed Statement of Services shall not be returned to the Contracting Agency. **Submittals shall consist of the following applicable items assembled as follows and in the order listed:**

[] 10.1 Completed Part D - Proposal Form (generally at least one copy with original signature) and Responses to all evaluation criteria attached. Each copy shall be fastened with one staple in the upper left corner. No other form of binding shall be used and no cover and no transmittal letter will be included. **CAUTION:** Failure to comply with this instruction will negatively influence evaluation of Submittal.

[] 10.2 Number of copies of Part D (**all pages**) and Criteria Responses required is: **ten (10)**

[] 10.3 N/A

[] 10.4 If Item 9, above, is completed for this RFP Package, any submittal items described therein. Unless otherwise stated, one copy only, bound appropriately.

[] 10.5 Pre-Audit Statement, DOT&PF Form 25A257, shall **not** be provided with Submittal. (See Notice #10 on page 3 of Part A - RFP.)

[] 10.6 **CAUTION:** If you replicate (other than by photocopy) Part D or any form in lieu of completing the forms provided by the Contracting Agency, provide a signed certification that lists such forms and attests that they are exact replicas of that issued by the Contracting Agency. Changed forms may result in rejection at the Contracting Agency's discretion. Any alteration - other than completion of the required entries - may be cause for rejection without recourse.

[] 11. Deliver **submittals in one sealed package** to the location and before the submittal deadline cited in Part A - RFP. **Mark the outside of the package** to identify the Project and the Offeror. Proposals must be received prior to the specified date and time. Late proposals will not be opened.

EVALUATION CRITERIA

PART



SECTION I - TECHNICAL PROPOSAL

1. Objectives and Services

1. Weight: 10

Response must **demonstrate your comprehension of the objectives and services** for the proposed contract. Do not merely duplicate the Statement of Services provided with this RFP. Also, consider if Statement of Services is sufficiently explicit; are expressed or implied schedules attainable/economically feasible; etcetera? Explain. **Define any assumptions made** in formulating Criteria Response. If design services for a construction project are included, express any opinions regarding alternative design considerations that could impact construction costs.

2. Methods

2. Weight: 10

Response must outline the methods for accomplishing the proposed contract or, if methodology is contained in the proposed Statement of Services, address its adequacy. Describe what, when, where, how, and in what sequence the work will be done. Address how proximity to the Project site, *particular* geographic familiarity, experience, and capabilities of your firms (Offeror and Proposed Subcontractors) and Project Staff might *specifically* contribute to the proposed methods. Identify the amount and type of work to be performed by any Subcontractors. Consider how each task may be carried out; what services or interaction required from/with the Contracting Agency; etcetera. Suggest alternatives, if appropriate. Identify any **distinct and substantive qualifications** for undertaking the proposed contract such as the availability of specialized equipment or unique approaches or concepts **relevant to the required services** which the firms may use.

3. Management

3. Weight: 15

Response must describe the administrative and operational structures that will be used for performing the proposed contract. For example consider: who will have overall responsibility for the contract? Who will have direct responsibility for specific disciplines? What will the lines of authority be? For any individual who would be in "responsible-charge" (reference AS 08.48) as an Architect or Chemical, Civil (including Structural), Electrical, Mechanical, Mining or Petroleum Engineer, or Land Surveyor, so state and list his/her Alaska professional registration number. A graphic depiction is preferred in your response to this criterion. Additionally, the Contracting Agency may want to inspect work products in progress and have a close ongoing working relationship with your Project Staff. Accordingly, your response should also identify where the various contract services will be performed, and how communications will be maintained between your Project Staff, the City, and (as applicable) any other government agencies or the public.

4. Proposed Project Staff

4. Weight: 30

Response must name the individuals to perform the following **FUNCTIONS** plus any other professional/technical functions you deem essential to perform the services:

- 1. Contract Management (contract compliance)
 - 2. Project Management (single point-of-contact directly engaged in contract performance)
- *All personnel acting in responsible charge for all Architectural, Engineering and Land Surveying functions require an Alaska Registration and must be identified in your proposal.

Describe the work to be performed by the individuals you name to perform essential functions and detail their specific qualifications and substantive **experience directly related to the proposed contract**. A response prepared specifically for this proposal is required. Marketing resumes often include non-relevant information which may detract from the evaluation of proposal. Lists of projects are not useful. Focus on individual's specific duties and responsibilities and how project experience is relevant to the proposed contract.

For each person named, identify their: employer, professional discipline or job classification and state of residency. List at least 3 professional references (contact persons and telephone numbers) for each person.

5. Workload and Resources

5. Weight: 10

Response must: (1) discuss both current and potential time commitments of your proposed Project Staff to all clients; (2) discuss the projected workload of each firm (Offeror and Proposed Subcontractors) for all clients; and (3) demonstrate adequate support personnel, facilities and other resources to provide the services required. Provide a list of current contracts with the Contracting Agency in which your proposed Project Staff are participating. Include all contracts statewide with regions, divisions, etc., of the Contracting Agency.

Briefly address capabilities for providing additional services and/or services under an accelerated schedule. Address capacity to reassign personnel, equipment and facilities whenever the proposed contract would not require such capabilities or was delayed.

6. Past Performance

6. Weight: 10

Response must describe previous projects the project team has worked on that are related in size and scope to this project. Describe the dollar amount of the projects and a brief narrative of the successes of the projects. Address how the experience will help your team to perform under this contract. Provide references (contact name and phone number) for each project. Indicate which of the proposed firms and project staff was involved in each project. The State reserves the right to investigate referenced projects, contact references and research other projects that the respondent has worked on.

7. Quality of Proposal

7. Weight: 5

Offerors do not respond to this criterion. Committee members will rate this criterion based on their perception of the clarity, completeness and presentation of submittal. Note: This criterion is **NOT** used to evaluate color, graphics or other visual techniques except as they may detract from legibility.

SECTION II - PREFERENCES

8. Disadvantaged Business Enterprises

49 CFR 26

10. Weight: 10

Generally, weight shall be at least "10" for FHWA, FAA, or FTA funded contracts.

- A DBE goal of 5% has been set. Proposed DBE participation is race conscious, or
 A DBE goal of 0% has been set. Proposed DBE participation is race neutral.

To be granted this preference, Offeror's response must identify a certified Disadvantaged Business Enterprise firm(s) (DBEs) in their proposal that will participate in the proposed contract services. The proposed DBE must be certified in the category of work proposed as listed in the DBE AUCP Directory in order to be credited for the services in the proposal and given the DBE preference and the DBE certification must be effective as of the proposal due date. Failure to submit adequate information pertaining to the percentage of work proposed to be completed by the DBE when this preference has been given weight may result in "0" points. Offerors should propose a single percentage number. Specifying a range of percentages (for example 5-8%) is not acceptable. If a range of percentages is proposed, the lowest number will be utilized in the calculation to determine the criterion score.

Certified DBE firms are listed in a DBE Directory which is available from the Alaska Department of Transportation and Public Facilities at its regional Design and Construction Offices in Juneau, Anchorage and Fairbanks or by mail from the Civil Rights Office, ADOT/PF, Box 196900, Anchorage, AK 99519 (telephone 907-269-0851) or at their internet address <http://www.dot.state.ak.us/cvlrts/directory.shtml>.

Response will be scored: Rating x Number of Evaluators x Weight = Criterion Score. Rating will be as follows:

"5" More than 5% DBE Participation;

"3" - 5% DBE Participation;

"1" - Less than 5% but more than 0 % DBE participation;

"0" - No DBE participation.

City of Homer, Alaska PROPOSAL FORM

PART



THIS FORM MUST BE THE FIRST PAGE OF PROPOSAL. Attach criteria responses as explained in Part B - Submittal Checklist. No transmittal letter or cover sheet will be used.

PROJECT

Project Number.....	: 415-0921
Project Title.....	: Homer Deep Water Dock Feasibility Study
RFP No.....	: N/A

OFFEROR (CONTRACTOR)

Contractor	
Street	
P.O. Box	
City, State, Zip	
Alaska Business License Number	
Federal Tax Identification No.	
DOT&PF DBE Certification No. (if any).....	
Individual(s) to sign contract.....	
Title(s).....	
Type of business enterprise (check one)	: [] Corporation in the state of . :
[] Individual	[] Partnership
[] Other(specify)	:

PROPOSED SUBCONTRACTOR(S)

<u>Service, Equipment, etc.</u>	<u>Subcontractor & Office Location</u>	<u>AK Business License No.</u>	<u>DOT&PF DBE Certification No.</u>

CERTIFICATIONS

I certify: that I am a duly authorized representative of the Contractor; that this Submittal accurately represents capabilities of the Contractor and Subcontractors identified herein for providing the services indicated; and, that the requirements of the Certifications on page 2 and 3 of this Part D for 1) Alaska Licenses/Registrations, 2) Insurance, 3) Federal-Aid Contracts exceeding \$100,000, 4) Trade Restrictions/Suspension/Debarment, 5) Foreign Contracting, 6) DBE Commitment, and 7) Former Public Officer - will be complied with in full. These Certifications are material representations of fact upon which reliance will be placed if the proposed contract is awarded. Failure to comply with these Certifications is a fraudulent act. The Contracting Agency is hereby authorized to request any entity identified in this proposal to furnish information deemed necessary to verify the reputation and capabilities of the Contractor and Subcontractors. This proposal is valid for at least ninety days.

Signature: _____

Name: _____

Title.....: _____

Date: _____

Telephone (voice): _____

(fax): _____

Email Address: _____

CERTIFICATION FOR ALASKA BUSINESS LICENSES AND REGISTRATIONS

PART

D

Contractor and all Subcontractors shall comply with the following applicable requirements of Alaska Statutes:

1. **Alaska Business License** (Form 08-070 issued under AS 43.70) at the time contract is awarded as required by AS 36.30.210(e) for Contractor and all Subcontractors. In accordance with Administrative Manual, Section 81.120, proof of application for an Alaska Business license will satisfy this requirement. Per AAM 81.120, acceptable evidence that the offeror possesses a valid Alaska business license consists of any one of the following:
 - a. Copy of the Alaska business license.
 - b. A canceled check that demonstrates payment for the Alaska business license fee.
 - c. A copy of the Alaska business license application with a receipt stamp from the State's business license office.
 - d. A sworn notarized affidavit that the bidder/offeror applied and paid for the Alaska business license.
 - e. Other forms of evidence acceptable to the Department of Law.
2. **Certificate of Registration** for each individual to be in "responsible charge" (AS 08.48.341(14)) for Architecture, Engineering or Land Surveying (Form 08-2407 issued under AS 08.48.211) issued prior to submittal of proposal. Associates, consultants, or specialists under the supervision of a registered individual in "responsible charge" are exempt from registration requirements (AS 08.48.331).
3. **Certificate of Authorization for Corporate Practice** for incorporated Contractors and incorporated Subcontractors for Architecture, Engineering or Land Surveying (Form 08-2407 issued under AS 08.48.241). Corporations offering to provide Architectural, Engineering or Land Surveying services do not need to be registered for such disciplines at the time proposal is submitted provided they obtain corporate registration before contract award (AS 08.48.241).
4. **Certificate of Incorporation** (Alaska firms) or **Certificate of Authorization for Foreign Firm** ("Out-of-State" firms). All corporations, regardless of type of services provided, must have one of the certificates (AS 10.06.218 and other sections of Title 10.06 - Alaska Corporations Code).
5. **Current Board of Director's Resolution** for incorporated Contractors and incorporated Subcontractors for Architecture, Engineering or Land Surveying (reference AS 08.48.241) which names the person(s) designated in "responsible charge" for each discipline. Such persons shall be licensed in Alaska and shall participate as project staff in the Contract/Subcontracts.
6. **All partners** in a Partnership to provide Architectural, Engineering, or Land Surveying **must be legally registered in Alaska** prior to submittal of proposal for at least one of those disciplines (AS 08.48.251) which the Partnership offers.
7. **Joint Ventures**, regardless of type of services provided, must be licensed/registered in the legal name of the Joint Venture as used in this proposal (AS 43.70.020 and 43.70.110(4)).
8. **Contracts for Architecture, Engineering or Land Surveying** may not be awarded to individuals, corporations or partnerships not in compliance, respectively, with the provisions of paragraph 2, 3, and 6, above (AS 36.90.100).

[For information about licensing, Offerors may contact the Alaska Department of Commerce and Economic Development, Division of Occupational Licensing at P.O. Box 110806, Juneau, AK 99811-0806, or at Telephone (907) 465-2550, or at Internet address: <http://commerce.alaska.gov/dnn/cbpl/Home.aspx>]

CERTIFICATION FOR INSURANCE

Contractor will ensure that it and all Subcontractors have insurance coverage to effectuate the requirements of DOT&PF Form 25A269, Indemnification and Insurance.

CERTIFICATION FOR FEDERAL-AID CONTRACTS EXCEEDING \$100,000

The individual signing this proposal certifies to the best of his or her knowledge and belief, that:

- (1) No federal appropriated funds have been paid, by or on behalf of the Contractor, to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Contractor shall complete and submit Standard Form-LLL, Disclosure of Lobbying Activities, in accordance with its instructions. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

This certification is a material representation of fact upon which reliance will be placed if the proposed contract is awarded. Submission of this certification is a prerequisite for making or entering into the proposed contract imposed by Section 1352, Title 31, U.S. Code. The Contractor also agrees by submitting this proposal that Contractor shall require that the language of this certification be included in all lower tier subcontracts which exceed \$100,000 and that all such Subcontractors shall certify and disclose accordingly.

CERTIFICATION - COST AND PRICING DATA

In accordance with AS 36.30.400, any cost and pricing data in any future price proposals for the proposed contract, will be accurate, complete and current as of the date submitted and will continue to be accurate and complete during the performance of the contract, if awarded.

The contractor certifies that all costs submitted in any future price proposal are allowable In accordance with the cost principles of the Federal Acquisition Regulations of Title 48, Code of Federal Regulations (CFR), Part 31 and that the price proposal does not include any costs which are expressly unallowable under the cost principles of the FAR of 48 CFR 31. In addition, all known material transactions or events that have occurred affecting the firm's ownership, organization and indirect costs rates have been disclosed.

CERTIFICATION – TRADE RESTRICTIONS AND SUSPENSION AND DEBARMENT

The individual signing this proposal certifies to the best of his or her knowledge that the Contractor and any subcontractors are in compliance with DOT&PF 25A262 Appendix A, General Conditions, Article A25 and Article A26.

CERTIFICATION - FOREIGN CONTRACTING

By signature on this solicitation, the offeror certifies that all services provided under this contract by the contractor and all subcontractors shall be performed in the United States. If the offeror cannot certify that all work is being performed in the United States, the offeror must contact the Contracts Officer to request a waiver at least 10 days prior to proposal deadline. The offeror must provide with their submission a detailed description of the portion of work being performed outside the United States, where, by whom, and the reason the waiver is necessary. Failure to comply with this requirement may cause the state to reject the bid or proposal as non-responsive, or cancel the contract.

CERTIFICATION – DBE COMMITMENT

When the Contractor submits a utilization report that proposes to use certified DBE's in the performance of work, the Contractor certifies that every effort will be made to meet or exceed the proposed percentage.

In addition, the Contractor certifies that a Consultant Registration form shall be submitted to the DBE/Civil Rights Office for their firm and each subconsultant prior to award.

PRE-AUDIT STATEMENT

(Confidential when completed)

Submit this form, completed and with required attachments, **only** if specifically requested, and **only** to the following address: DOT&PF, Attn: Office of Internal Review, PO Box 196900, Anchorage, AK 99519-6900 OR to fax number: (907) 269-0733. Confidentiality may not be ensured if delivered otherwise.

Evaluation of this statement may preclude the necessity for a comprehensive on-site audit of Contractor's records. Entries may be handwritten, if legible.

1. Identify your financial year including beginning and ending dates
2. List your actual costs, by the following categories, for your most recently ended fiscal year. Cost Terminology is defined on the reverse.
 - 2a. Direct Labor \$
 - 2b. Attach a Trial Balance with grouping of accounts used to arrive at the following Indirect Cost amounts:
Fringe Benefits \$
General & Administrative Expenses \$

Sum \$
 - 2c. Indirect Cost Rate (Sum of 2b / 2a)Percent (%):
3. If your records have been audited within the last two years by a government agency, attach a copy of the Audit Report.
4. Attach copies of your most recent Internal and Audited (if performed by other than the Contracting Agency) Financial Statements.
5. Are your accounting methods for recording contract costs based on a job or project identified cost system?
[] Yes [] No If your response is "No", attach an explanation of your project cost accounting system.
6. If you charge projects based on unit rates (e.g.: for computer time, laboratory tests, copies or equipment use, etc.) attach a list of such items and unit rates.
7. Do you offset revenue received from unit rate payments against the applicable Indirect Cost Accounts?
[] Yes [] No

If you have questions concerning this document, please telephone our Auditors at (907) 269-0715.

CERTIFICATION

I certify that I am a duly authorized representative of the Contractor and that information and materials enclosed within this statement accurately represent financial records of the office listed below.

Signature: _____ Date: _____
Name: _____ Telephone: _____
Title: _____ Fax: _____
Contractor: _____ Email: _____

Office Address for which this Submittal is made:

Address where Accounting Records are maintained,
if not at Office Address:

Street: _____
P.O. Box: _____
City, State, Zip: _____

COST TERMINOLOGY

DIRECT LABOR - Base salary or wages paid to employees charged directly to contracts or projects.

OTHER DIRECT COSTS - Actual costs of other than Direct Labor. Some examples of Other Direct Costs are subcontracts, equipment (company owned or rented), unit rate items and reimbursable expenses (travel, computer charges, reproduction, etc.).

INDIRECT COST RATE – A computed rate developed by adding all of a firm's general and administrative costs, and all other indirect costs, then dividing by a base value, usually direct labor dollars to get a percentage. This rate is normally compiled based on the consultant's applicable fiscal year.

INDIRECT COSTS - Indirect costs consist of allowable expenses which, because of their incurrence for common or joint cost objectives, must be prorated (allocated) to jobs or contracts using a specified Indirect Cost Rate. A cost objective is a function, organizational subdivision, contract, project or work unit for which cost data is accumulated under the Contractor's accounting system. Generally, Indirect Costs are segregated into the following categories: Fringe Benefits and General & Administrative Expenses .

Fringe Benefits - Costs for items such as:

Workers' Compensation Insurance
Deferred Compensation/Retirement Plans

Vacation Time and Authorized Leave
Social Security and Unemployment Taxes
Group Medical Plan and Life Insurance Premiums

Overhead costs for items such as the following, if they are not included in Direct Costs:

Indirect Labor (Supervisory, Administrative, etc.)
Travel, Food and Lodging
Maintenance and Depreciation of Equipment/Computers
Business Insurance Premiums Not Billed to Clients
Rent, Heat, Power, Light and Janitorial Services

Office Supplies
Communications
Reproduction Costs
Recruiting Expense
Rentals of Equipment/Computers

UN-ALLOWABLE COSTS - Costs for the following items and certain other costs defined in 48 CFR Part 31 and related regulations are not allowable. Such costs shall not be included as Indirect Costs or in the calculation of the Indirect Cost Rate.

Alcoholic Beverages
Advertising
Interest and Other Financial Costs
Contributions and Donations
Federal Income Taxes
Goodwill

Organization Costs
Lobbying Costs
Bad Debts
Fines and Penalties
Entertainment
Keyman Insurance

NOTE: IF YOUR ACCOUNTING SYSTEM WHOLLY OR PARTIALLY ALLOCATES INDIRECT COSTS ON OTHER THAN A DIRECT LABOR BASIS, ATTACH A DESCRIPTION OF THE COST POOLS OR SERVICE CENTERS YOU USE AND IDENTIFY THE INDIRECT COSTS RATE(S) AND BASE(S).

INDEMNIFICATION AND INSURANCE

Appendix D in Professional Services Agreements

AKSAS Project No: Federal Project No: Date Prepared:
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CONTRACTOR shall include the provisions of this form in all subcontracts which exceed \$25,000 and shall ensure Subcontractor's compliance with such provisions.

ARTICLE D1 INDEMNIFICATION

D1.1 The CONTRACTOR shall indemnify, hold harmless, and defend the CONTRACTING AGENCY from and against any claim of, or liability for negligent acts, errors or omissions of the CONTRACTOR under this Agreement. The CONTRACTOR shall not be required to indemnify the CONTRACTING AGENCY for a claim of, or liability for, the independent negligence of the CONTRACTING AGENCY. If there is a claim of, or liability for, the joint negligent error or omission of the CONTRACTOR and the independent negligence of the CONTRACTING AGENCY, the indemnification and hold harmless obligation shall be apportioned on a comparative fault basis. "CONTRACTOR" and "CONTRACTING AGENCY", as used within this article, include the employees, agents and other contractors who are directly responsible, respectively, to each. The term "Independent Negligence" is negligence other than in the CONTRACTING AGENCY's selection, administration, monitoring, or controlling of the CONTRACTOR and in approving or accepting the CONTRACTOR's Work.

D1.2 The CONTRACTOR shall exercise that degree of skill, care and judgment commensurate with the professional standards for the services of a similar nature. When such standards are in dispute, they shall be established by a panel of three qualified, impartial professionals objectively selected and appointed by the Appeals Officer.

D1.3 The CONTRACTOR shall correct, through re-performance at its expense, any services which are deficient or defective because of the CONTRACTOR's failure to perform said services in accordance with professional standards, provided the CONTRACTING AGENCY has notified the CONTRACTOR in writing within a reasonable time, not to exceed 60 days, of the discovery of any such deficiency during the performance of the services and within 12 months of the date of final payment under this Agreement.

ARTICLE D2 INSURANCE

D2.1 Without limiting the CONTRACTOR's indemnification, it is agreed that CONTRACTOR shall purchase at its own expense and maintain in force at all

times for the duration of this Agreement, plus one year following the date of final payment, the following policies of insurance. Where specific limits are shown, it is understood that they shall be the minimum acceptable limits. If the CONTRACTOR's policy contains higher limits, the CONTRACTING AGENCY shall be entitled to coverage to the extent of such higher limits. Certificates of insurance must be furnished to the CONTRACTING AGENCY and incorporated into this Agreement with copies attached to this document. Certificates must provide for the CONTRACTING AGENCY to receive notice of any policy cancellation or reduction per AS 21.36 Sections 210-310. Failure to furnish certificates of insurance or lapse of the policy is a material breach and grounds for termination of the CONTRACTOR's services and may preclude other Agreements between the CONTRACTOR and the CONTRACTING AGENCY.

D2.1.1 Worker's Compensation Insurance: The CONTRACTOR shall provide and maintain, for all employees engaged in work under this Agreement, coverage as required by AS 23.30.045, and; where applicable, any other statutory obligations including but not limited to Federal USL&H and Jones Act requirements. The policy(s) must waive subrogation against the State of Alaska.

D2.1.2 Commercial General Liability Insurance: Such policy shall have *minimum* coverage limits of \$300,000 combined single limit per occurrence, covering all business premises and operations used by the Contractor in the performance of services under this agreement. The policy shall be written on an "occurrence" form and shall not be written as a "claims-made" form unless specifically reviewed and agreed to by the CONTRACTING AGENCY.

D2.1.3 Comprehensive Automobile Liability Insurance: Such policy shall have *minimum* coverage of \$300,000 combined single limit per occurrence covering all vehicles used by the Contractor in the performance of services under this agreement.

D2.1.4 Professional Liability (E&O) Insurance: Covering all negligent errors or omissions, and negligent acts, which the CONTRACTOR, Subcontractor or anyone directly or indirectly employed by them, make in the performance of this Agreement which result in financial loss to the State of Alaska. Limits required are per the following schedule:

