10th Street Road Repairs

Job No. 1136

BID OPENING AT 2:00 PM on Thursday, September 13, 2012

Note: all bids must be written, signed and transmitted in a sealed envelope, plainly marked with the bid number, subject matter and opening date. The City of Duluth reserves the right to split award where there is a substantial savings to the City, waive informalities and to reject any and all b.d.s. Bidder should state in proposal if bid price is based on acceptance of total order. Sales tax is not to be included in the unit price. Bidder to state freight charges if the proposal F.O.B. is shipping point, freight not allowed. Low bid will not be the only consideration for award of bid. All pages shall be signed or initialed by authorized bidder's representative as indicated at the bottom of the page(s) of the request for bid form.

RETURN BID IN DUPLICATE WITH DUPLICATE DESCRIPTIVE LITERATURE
FOR BID RESULTS, ENCLOSE A SELF-ADDRESSED, STAMPED ENVELOPE WITH BID

BID DEPOSIT REQUIREMENTS: 5% OF BID AMOUNT
Deposit shall mean cash, cashier's check or corporate surety bond payable to or in favor of the City of Duluth.

A PERFORMANCE BOND AND A PAYMENT BOND shall be required of the successful bidder, BOTH in the full amount of the bid.

INSURANCE CERTIFICATE required per attached requirements.

Designated F.O.B. Point:
Engineering Division

Vendor Email Address: __________________________

NAME: __________________________

ADDR1: __________________________
ADDR2: __________________________
ADDR3: __________________________

BY: __________________________
(Print) __________________________
(Tele. #)

RETURN BY BID OPENING TIME TO:
PURCHASING DIVISION
100 CITY HALL
Duluth, MN 55802
Dennis Sears
PHONE: 218-730-5340
FAX: 218-730-5921

FREIGHT CHARGE $ __________________________
TOTAL BID PRICE $ __________________________
TO INCLUDE ANY ADDITIONAL PAGES.

PAYMENT TERMS $ __________________________
P.O.B. POINT $ __________________________
DELIVERY DATE $ __________________________

The City of Duluth is an Equal Opportunity Employer.

I:\PW\ENGINEER\PROJECTS\2012\1136_W_10th_St.at_Coffee_Creek_Repair\Bidding Documents\Request For Bid 1136
**********SCHEDULE OF PRICES**********
10th Street Road Repairs

City Project # 1136

Make all extensions and total the bid.

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TOTAL $ 

ADDENDUM NO. , DATED 

ADDENDUM NO. , DATED 

TOTAL BID IN WORDS: 

CONTRACTOR NAME: 

THE CONTRACTOR AGREES TO ALL OF THE PROVISIONS CONTAINED IN THE CONTRACT DOCUMENTS. ENCLOSED HEREWITH FIND A CERTIFIED CHECK OR BID BOND IN THE AMOUNT OF AT LEAST 5% OF THE AMOUNT OF PROPOSAL MADE PAYABLE TO THE CITY OF DULUTH AS A PROPOSAL GUARANTEE WHICH IT (see additional page(s))
IS AGREED BY THE UNDERSIGNED WILL BE FORFEITED IN THE EVENT THE FORM OF CONTRACT AND BOND IS NOT EXECUTED, IF AWARDED TO THE UNDERSIGNED.

The bidder hereby certifies that he/she has utilized the City of Duluth Public Works/Utilities Department - Engineering Division Standard Construction Specifications 2011 booklet and any and all amendments and has incorporated the terms hereof in its bid.

SIGNED: ___________________________ FOR

______________________________
A PARTNERSHIP (OR)

______________________________
A CORPORATION INCORPORATED UNDER THE LAWS OF THE STATE OF:

______________________________
PRESIDENT

______________________________
VICE-PRES.

______________________________
SECRETARY

______________________________
 TREASURER

______________________________
ADDRESS(ES)

BEING EULLY SWORN, DEPOSES AND SAYS THAT THERE ARE NO OTHER PERSONS COMPRISING ABOVE COMPANY OR FIRM THAN THE ABOVE NAMES, AND THAT THERE ARE NO PERSONS OR CORPORATIONS INTERESTED IN THE FORGOING PROPOSALS, EITHER AS PRINCIPAL OR SUBCONTRACTOR, OTHER THAN THE ABOVE NAMES; ALSO THAT THE PROPOSALS ARE MADE WITHOUT ANY CONNECTION WITH ANY PERSON OR PERSONS MAKING ANY PROPOSAL FOR THE ABOVE WORK; THAT THEY ARE IN ALL RESPECTS FAIR AND WITHOUT COLLUSION OR FRAUD; AND THAT NO PERSON ACTING IN ANY OFFICIAL CAPACITY FOR THE CITY OF DULUTH IS DIRECTLY OR INDIRECTLY INTERESTED THEREIN, OR IN ANY PORTION OF THE PROFIT THEREOF.

(see additional page(s))
SUBSCRIBED AND SWORN TO BEFORE ME THIS

DAY OF A.D.,

NOTARY PUBLIC

IMPORTANT NOTE BIDDERS:
1) PLEASE DISREGARD THE NOTE ON PAGE 1 REGARDING SALES TAX
FOR THIS BID. ALL APPLICABLE SALES AND/or USE TAX ARE TO BE
INCLUDED IN BID PRICING. ALSO, ALL BIDS ARE TO BE F.O.B. JOBSITE
THE BLANK ON PAGE ONE FOR FREIGHT IS TO BE LEFT BLANK.

2) THIS PROJECT WILL USE A COMBINATION OF FUNDING
TO FINANCE THIS PROJECT. BOTH FEDERAL DAVIS BACON
PREVAILING WAGES AND STATE OF MINNESOTA PREVAILING
WAGES APPLY TO THIS PROJECT. PAYMENT OF THE WAGE AND
FRINGE BENEFITS THAT ARE MOST BENEFICIAL TO THE
EMPLOYEES ARE REQUIRED.

DELIVERY CONTACT: TOM JOHNSON, ENGINEERING
218-730-5103

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**EXHIBIT A**

**TOTAL**

**Estimated Total Price**

**City of Duluth Project No. 1136**

**10th Street Road Repairs**

**Bid # 12-0468**
1) **Use of Separate Bid Forms.** These contract documents include a complete set of bidding and contract forms which are for the convenience of bidders and are not to be detached from the contract document, completed, or executed. **Separate copies of bid forms are furnished for that purpose.**

2) **Interpretations or Addenda.** No oral interpretation will be made to any bidder as to the meaning of the contract documents or any part thereof. Every request for such an interpretation shall be made in writing to the city of Duluth. Any inquiry received seven or more days prior to the data fixed for opening of bids will be given consideration. Every interpretation made to a bidder will be in the form of an addendum to the contract documents, and when issued, will be on file in the office of the city engineer at least five days before bids are opened. In addition, all addenda will be mailed to each person holding contract documents, but it shall be the bidder’s responsibility to make inquiry as to the addenda issued. All such addenda shall become part of the contract and all bidders shall be bound by such addenda, whether or not received by the bidders.

3) **Inspection of Site.** Each bidder should visit the site of the proposed work and fully acquaint himself with the existing conditions there relating to construction and labor, and should fully inform himself as to the facilities involved, the difficulties, and the restrictions attending the performance of the contract. The bidder should thoroughly examine and familiarize himself with the drawings, technical specifications, and all other contract documents. The contractor, by the execution of the contract, shall in no way be relieved of any obligation under it due to his failure to receive or examine any form or legal instrument or to visit the site and acquaint himself with the conditions there existing; the city of Duluth will be justified in rejecting any claim based on facts regarding which he should have been on notice as a result thereof.

4) **Alternative Bids.** No alternative bids or bid items will be considered unless alternative bids are specifically requested by the technical specifications.

5) **Bids**

   a) All bids must be submitted on forms supplied by the city engineer and shall be subject to all requirements of the contract documents, including the drawings, and these **Instructions to Bidders.** All bids must be regular in every respect; no interlineations, excisions, or special conditions shall be made or included in the bid form by the bidder.

   b) Bid documents, including the bid and the bid guaranty, shall be enclosed in an envelope which shall be sealed and clearly labeled with the project number, if any, name of bidder, and date and time of bid opening, in order to guard against premature opening of the bid. If the proposal is mailed, this envelope shall be placed in another envelope which shall be sealed and labeled with project number, if any, name of bidder, and date and time of bid opening -- and addressed to city of Duluth purchasing manager, 100 City Hall, Duluth, Minnesota 55802.

   c) The city of Duluth may consider as irregular any bid on which there is an alteration or departure from the bid form hereto attached and, at its option, may reject the same.

   d) If the project is awarded, it will be awarded by the city of Duluth to the lowest responsible bidder assuming that the bids are within funds available based on the lowest base bid and or in combination with selected alternates (if any). The alternates will be accepted in descending order. By the award of the contract, it is assumed that the work will be completed within the time-frame as specified within the contract documents.

   e) Each bidder shall include in his bid the following information:

      - **Principals** – names, home addresses including city, state, and zip code
      - **Firm** – name, federal i.d. number, address, city, state, and zip code
      - **Mechanical & Electrical Subcontractors** -- names of firms that will do the mechanical and electrical work and the amounts of the mechanical and electrical sub-bids, if applicable and when (where indicated on Bid Proposal form).

6) **Bid Guaranty**

   a) The bid must be accompanied by a bid guaranty which shall not be less than five percent (5%) of the amount of the bid. At the option of the bidder, the guaranty may be a certified check, bank draft, negotiable U.S. Government bond (at par value), or a bid bond. No bid will be considered unless it is accompanied by the required guaranty. Certified check or bank draft must be made payable to the order of the city of Duluth, Minnesota. Cash deposits will not be accepted. The bid guaranty shall insure the execution of the agreement and the furnishing of the surety bond or bonds by the successful bidder, all as required by the contract documents.
b) Revised bids submitted before the opening of bids, whether forwarded by mail, fax, or in person, if representing an increase in excess of two percent (2%) of the original bid, must have bid guaranty adjusted accordingly; otherwise, the bid will not be considered.

c) Certified checks or bank drafts, or the amount thereof, bid bonds, and negotiable U.S. Government bonds of unsuccessful bidders, will be returned as soon as practical after the opening of bids.

7) Collusive Agreements
   a) The successful bidder on each city of Duluth construction project shall be required to execute a city of Duluth non-collusive affidavit to the effect that he has not entered into a collusive agreement with any other person, firm, or corporation in regard to any bid submitted.
   b) Before executing any subcontract, the successful bidder shall submit the name of any proposed subcontractor for prior approval on the MnDOT Request to Sublet Form (Standard Specification 1801) TP-21834 (5/18/2007).

8) Unit Prices  The unit price, for each of the several items in the proposal of each bidder, shall include its prorata share of overhead so that the sum of the products obtained by multiplying the quantity shown for each item by the unit price bid represents the total bid. Any bid not conforming to this requirement may be rejected as informal. The special attention of all bidders is called to this provision; for should conditions make it necessary to revise the quantities, no limit will be fixed for such increased or decreased quantities nor extra compensation allowed. Provided the net monetary value of all such additive and subtractive changes in quantities of such items of work (i.e., difference in cost) shall not increase or decrease the original contract price by more than twenty-five percent (25%), except for work not covered in the drawings and technical specifications.

9) Corrections  Erasures or other changes in the bids must be explained or noted over the signature of the bidder.

10) Time for Receiving Bids
    a) Bids received prior to the advertised hour of opening will be securely kept, sealed. The officer, whose duty it is to open them, will decide when the specified time has arrived and no bid received thereafter will be considered; except that when a bid arrives by mail after the time fixed for opening, but before the reading of all other bids is completed, and it is shown to the satisfaction of the city purchasing office that the non-arrival on time was due solely to delay in the mails for which the bidder was not responsible, such bid will be received and considered.
    b) Bidders are cautioned that, while fax modifications of bids may be received as provided above, such modifications, if not explicit and if in any sense subject to misinterpretation, shall make the bid so modified or amended, subject to rejection.

11) Opening of Bids  At the time and place fixed for the opening of bids, the city purchasing manager will cause to be opened and publicly read aloud every bid received within the time set for receiving bids, irrespective of any irregularities therein. Bidders and other persons properly interested may be present in person or by representative.

12) Withdrawal of Bids  Bids may be withdrawn on written or faxed request dispatched by the bidder in time for delivery in the normal course of business to the time fixed for opening; provided, that written confirmation of any faxed withdrawal over the signature of the bidder is placed in the mail and postmarked prior to the time set for bid opening. The bid guaranty of any bidder withdrawing his bid in accordance with the foregoing conditions will be returned promptly.

13) Award of Contract: Rejection of Bids
    a) The contract will be awarded to the responsible bidder submitting the lowest bid complying with the conditions of the Invitation to Bid. The bidder, to whom the award is made, will be notified at the earliest possible date. The city of Duluth, however, reserves the right to reject any and all such bids and to waive any informality in bids received whenever such rejection or waiver is in its interest.
    b) The city of Duluth reserves the right to consider as unqualified to do the work of general contract, any bidder who does not habitually perform with his own forces the major portions of the work involved in construction of the improvements embraced in the contract documents. A project labor agreement will be included in all contracts exceeding $150,000.
14) **Execution of Agreement: Performance and Payment Bond.**

a) Subsequent to the award and within ten (10) days after the prescribed forms are presented for signature, the successful bidder shall execute and deliver to the city of Duluth an agreement in the form as furnished by the City, in such number of copies as the city of Duluth may require.

b) Having satisfied all conditions of award as set forth elsewhere in these documents, the successful bidder shall, within the period specified in paragraph "a" above, furnish:

1) A performance bond for the use and benefit of the city of Duluth to complete the contract according to its terms, and conditioned on saving the city of Duluth harmless from all costs and charges that may accrue on account of completing the specified work; and

2) A payment bond for the use and benefit of all persons furnishing labor and materials for the performance of the contract conditioned upon the payment, as they become due, of all just claims for labor and materials.

Both the performance bond and the payment bond shall be in a penal sum of not less than the amount of the contract awarded. Such bonds shall be in the same form as that included in the contract documents and shall bear the same date as, or a date subsequent to, that of the agreement. A current power of attorney for the person who signs for any surety company shall be attached to such bonds.

c) The failure of the successful bidder to execute such agreement to supply the required bond or bonds within ten (10) days after the prescribed forms are presented for signature, or within such extended period as the city of Duluth may grant, based on reasons determined sufficient by the city of Duluth, shall constitute a default, and the city of Duluth may either award the contract to the next lowest responsible bidder or re-advertise for bids, and may charge against the bidder the difference between the amount of the bid and the amount for which a contract for the work is subsequently executed, irrespective of whether the amount thus due exceeds the amount of the bid bond. If a more favorable bid is received by re-advertising, the defaulting bidder shall have no claim against the city of Duluth for a refund.

15) **Wages and Salaries**

a) Attention of bidders is particularly called to the requirements concerning the payment of not less than the prevailing wage and fringe benefit rates specified in the contract documents and the conditions of employment with respect to certain categories and classifications of employees.

b) The rates of pay set forth in prevailing wage schedule(s) are potentially the minimums to be paid during the life of the contract. Project funding sources, bid opening date, contract award date, and the contract start date may be factors resulting in a change of prevailing wage schedules. It is, therefore, the responsibility of bidders to inform themselves as to local labor conditions, such as the length of work day hours in conjunction with the project's funding sources, overtime compensation, health and welfare contributions, labor supply, and prospective changes or adjustments of rates. A project labor agreement will be included in all contracts exceeding $150,000.

16) **Equal Employment Opportunity** Attention of bidders is particularly called to the requirement for ensuring that employees and applicants for employment are not discriminated against because of their race, color, religion, sex, or national origin. (See Supplementary General Conditions, Part II, Section 11).

17) **Employment and Business** Attention of bidders is particularly called to the requirement that, to the greatest extent feasible, opportunities for training and employment made possible by this project shall be given to lower income residents of the city of Duluth. Additionally, if any work is subcontracted, efforts should be made to award subcontracts to concerns located in or owned in substantial part by persons residing in the city of Duluth.

18) **Sales and Use Taxes** It is assumed that, in the preparation of his proposal, the bidder has taken into consideration his/her liability from any sales, use, or excise tax that might be assessed in the purchase of, storage, use, or consumption of any materials, services, or supplies for performance of the contract work. Any such tax paid by the contractor will be considered as his/her expense, for which no direct compensation will be made by the city to the contractor over and above the accepted bid.

19) **Pre-Bid/Pre-Construction Meetings**

a) Should a pre-bid meeting will be held, it will be conducted fourteen (14) days prior to the bid date (see Bid Form for time and place). All prime bidders are requested to attend. All bidders will be allowed to make inquiries regarding the contract documents. All formal decisions will be documented by addendum. Failure of
any prime bidders to attend this meeting could jeopardize the contract award.

b) Approximately seven (7) days after city council approval of contract award, the successful bidder is required to attend a pre-construction meeting. At this meeting, the successful bidder will present his/her construction schedule, cost breakdown, required submittals, etc.


a) The successful bidder on each city of Duluth construction project shall be required to execute a certificate substantially in the form herein provided.

b) Before executing any subcontract in excess of $2,500, the successful bidder shall require the subcontractor to execute a form similar in nature to the form herein provided.
City of Duluth
Insurance Requirements
(Updated July 13, 2009)

INDEMNIFICATION CLAUSE
Contractor agrees to defend, save harmless, and indemnify the City of Duluth, its agents and
employees from any loss, cost, or damage by reason of Personal Injury or Property Damage of
whatsoever nature or kind arising out of, or as a result of, the performance of the work by the
Contractor, its employees, agents, or subcontractors.

INSURANCE
Contractor shall provide Public Liability and Automobile Liability Insurance with limits not less
than $1,500,000 Single Limit, and twice the limits provided when a claim arises out of the release
or threatened release of a hazardous substance; shall be with a company approved by the city of
Duluth; and shall provide for the following: Liability for Premises, Operations, Completed
Operations, Independent Contractors, and Contractual Liability.

City of Duluth shall be named as Additional Insured under the Public Liability, Excess/Umbrella
Liability*, and Automobile Liability, or as an alternate, Contractor may provide Owners-
Contractors Protective policy, naming itself and the City of Duluth. Contractor shall also provide
evidence of Statutory Minnesota Worker’s Compensation Insurance. Contractor to provide
Certificate of Insurance evidencing such coverage with 30-days notice of cancellation, non-renewal
or material change provisions included. The City of Duluth does not represent or guarantee that
these types or limits of coverage are adequate to protect the Contractor’s interests and liabilities.

If a certificate of insurance is provided, the form of the certificate shall contain an unconditional
requirement that the insurer must notify the City without fail not less than 30 days prior to any
cancellation, non-renewal or modification of the policy or coverage’s evidenced by said certificate
and shall further provide that failure to give such notice to the City will render any such change or
changes in said policy or coverages ineffective as against the City.

The use of an “Acord” form as a certificate of insurance shall be accompanied by two forms –
1) ISO Additional Insured Endorsement (CG 2010 pre 2004); and 2) Notice of Cancellation
Endorsement (IL 7002) or equivalent, as approved by the Duluth City Attorney’s Office. (See
attached examples of Endorsements).

*An umbrella policy with a “following form” provision is acceptable if written verification is
provided that the underlying policy names the City of Duluth as an additional insured.

Procedure verified by:

Don Douglas, Claims Adjuster
Duluth City Attorney’s Office

Date 8/14/09
A. **Section II - Who Is An Insured** is amended to include as an insured the person or organization shown in the Schedule, but only with respect to liability arising out of your ongoing operations performed for that insured.

---

**NOTICE OF CANCELLATIONS ENDORSEMENT**

All Coverage Parts Included in this policy are subject to the following condition:

If we cancel this policy, for any reason other than nonpayment of premium, we will mail advance notice to the person(s) or organization(s) as shown in the Schedule.

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<td>City of Duluth Purchasing Div Room 100 City Hall 411 West First Street Duluth, MN 55802</td>
<td>30</td>
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City of Duluth Purchasing Division

General Specifications

This document is intended to serve the city of Duluth, its Agents and Authorities. Each authority may issue their own purchase order and will be responsible for it. The City of Duluth Authorities are as follows:

1. Duluth Airport Authority
2. Spirit Mountain Recreational Area Authority
3. Duluth Entertainment and Convention Center
4. Duluth Transit Authority
5. Duluth Economic Development Authority
6. Duluth Housing and Redevelopment Authority

The city has a cooperative purchasing agreement with St. Louis County allowing the county to purchase from this bid when requested. St. Louis county will issue and be responsible for its own purchase orders.

10. Qualifications of Bidder
The city may make such investigations as deemed necessary to determine the ability of the bidder to perform the work, and the bidder shall furnish to the city all such information and data for this purpose as the city may request. The city reserves the right to reject any bid if the evidence submitted by, or investigation of, such bidder fails to satisfy the city that such bidder is properly qualified to carry out the obligations of the contract and to complete the work contemplated therein. Conditional bids will not be accepted.

11. Addenda and Interpretations
Responses to general questions and clarifications of bids may be made at the discretion of the city. However, no interpretation of the meaning of the specifications or other pre-bid documents will be made to any bidder orally.

Every request for such interpretation should be in writing and delivered or sent by facsimile to the city purchasing agent or the buyer shown on the bid request, Duluth, Minnesota 55802, and to be given consideration must be remitted at least five days prior to the date fixed for the opening of bids.

12. Award of Contract - Rejection of Bids
In determining the successful bidder, there will be considered in addition to price (per Ordinance 7050)

A. The ability, capacity and skill of the bidder to perform the contract.
B. The character, integrity, reputation, judgement, experience and efficiency of the bidder.
C. The quality of performance of previous contract.
D. The sufficiency of the financial resources, equipment available and ability of the bidder to perform the contract.

13. Quantities
The city reserves the right to increase or decrease the quantities of items on this bid as required. Any exception to this provision must be noted by the vendor in its bid or proposal.

14. Wages and Salaries
A. Attention of bidders is particularly called to the requirements concerning the payment of not less than the prevailing wage and salary rates specified in the contract documents and the conditions of employment with respect to certain categories and classifications of employees for all "Public Works" type projects estimated to exceed $2,000.

15. Validity of Bids
All bids shall be valid for 60 days from the date of bid opening, unless an other period is noted in bid documents or if an extension is agreed upon, in writing prior to the end of the 60 day period.

16. Facsimile Bids
Facsimile bids are acceptable if bids are received at the designated facsimile number prior to the scheduled bid opening and an original copy of the bid, identical to the "faxed" bid, is received within 48 hours of the bid opening. Facsimile bid deposits are not acceptable. The city shall endeavor to keep bids confidential, but will accept no responsibility for the confidentiality of facsimile bids. All bids or proposals returned by facsimile are understood to incorporate these general specifications.

17. Insurance
All vendors doing work on city property, except vendors making routine deliveries, shall submit an insurance certificate indicating insurance coverage as per current city requirements.

18. Website
ci.duluth.mn.us/city/service/purchasing/index.htm

The word "City" used in these specifications shall mean the city of Duluth and/or it Authorities.

1. Instruction to Bidders:
A. All bids must be completed in a non-erasable format on the form provided by city of Duluth, errors are to be crossed out and initialed.
B. All bids must be enclosed in a seal ed envelope.
C. The enclosed blue and white sticker must be placed on the outside of envelope.
D. The bid envelope shall be addressed to the city of Duluth, Purchasing Division, Room 100 City Hall, Duluth, Minnesota 55802.

2. Non-Competition Clause:
Vendor, their agents/employees each hereby agree to comply and fully perform in accordance with the law and state that they have not, directly or indirectly, entered into an agreement or understanding, participated in any collusion, or otherwise taken any action in restraint of free competitive bidding in connection with the proposal submitted with respect to the above-referenced invitation to bid. Vendor fully acknowledges that such an act of non-compliance may be deemed unlawful and would be considered a violation of the law and subject to prosecution.

3. Award of Contract - Rejection of Bids:
The Contract will be awarded to the responsible bidder submitting the lowest bid complying with the conditions of the Invitation for bids. The bidders, to whom the award is made, will be notified at the earliest possible date. The city of Duluth, however, reserves the right to reject any and all bids and to waive any irregularity in bids received whenever such rejection or waiver is in its interest.

4. Obligation of Bidder:
At the time of the opening of bids, each bidder will be presumed to have read and to be thoroughly familiar with the plans, specifications and contract documents (including all addenda). The failure or omission of any bidder to examine any form, instrument, or document shall in no way relieve any bidder from any obligation in respect to their bid.

5. Liquidated Damages for Failure to Enter Into Contract:
The successful bidder, upon their failure or refusal to accept a purchase order or execute and deliver the contract and bonds required within 10 days after receipt of a notice of the acceptance of their bid, shall forfeit to the city, as liquidated damages for such failure or refusal, the security deposited with their bid (if required).

6. Completion of Bid Request:
The city may consider as irregular any bid on which there is an alteration of or departure from the Bid Form hereto attached and at its option may reject the same.

8. EEO Regulations:
Contractor will be required to comply with all applicable Equal Employment Opportunity (EEO) laws and regulations. Affirmative action must be taken to insure that the employees and applicants for employment are not discriminated against because of their race, color, creed, sex or national origin.

9. Participation:

FORM 17: 01/28/94
Revised: 08/28/02
**Prime Contractor Information**

<table>
<thead>
<tr>
<th>Prime Contractor:</th>
<th>Telephone Number: ( )</th>
</tr>
</thead>
<tbody>
<tr>
<td>State Project Number:</td>
<td>Fax Number: ( )</td>
</tr>
<tr>
<td>Project Location:</td>
<td>Email:</td>
</tr>
</tbody>
</table>

**Important Notices and Instructions**

1. The Prime Contractor must complete all sections of this form, acquire all applicable signatures and submit it to the Project Engineer (P.E.) **10 days** prior to the first day of work for each Subcontractor; if necessary, the Prime Contractor may attach additional sheets. In order to ensure compliance with Mn/DOT Specification 1801, the Prime Contractor shall utilize the Request to Sublet Summary Form; [http://www.dot.state.mn.us/const/labor/documents/contractdocs/rtssummary.xls](http://www.dot.state.mn.us/const/labor/documents/contractdocs/rtssummary.xls)

2. The Prime Contractor's organization shall perform work amounting to not less than 40 percent of the total original Contract. If the contract contains Disadvantaged Business Enterprise (DBE) and/or Targeted Group Business (TGB) established goals, the Prime Contractor's organization shall perform work amounting to not less than 30 percent of the total original Contract.

3. A First Tier Subcontractor may sublet up to 50 percent of its original Contract.

4. A Second Tier Subcontractor may not sublet any portion of its work under the Contract.

5. Upon approval, the P.E. will sign the form and provide a copy to the Prime Contractor.

6. Upon request, the Prime Contractor will provide a copy of its subcontracts to the P.E. or the Department.

7. Each Subcontractor must complete and submit a IC-134 form to the Department before the State of Minnesota or its Subdivisions will issue final payment to the Prime Contractor.

**First Tier Subcontractor Information**

<table>
<thead>
<tr>
<th>First Tier Subcontractor:</th>
<th>Federal Tax I.D. Number:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Street Address:</td>
<td>State Tax I.D. Number:</td>
</tr>
<tr>
<td>City, State, Zip Code:</td>
<td>Email:</td>
</tr>
<tr>
<td>Telephone Number: ( )</td>
<td>Certified DBE Contractor: ☐ Yes ☐ No</td>
</tr>
<tr>
<td>Fax Number: ( )</td>
<td>Currently Debarred or Suspended: ☐ Yes ☐ No</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Specification or Item No.</th>
<th>Specification or Item Description</th>
<th>Quantity</th>
<th>Unit of Measurement</th>
<th>Unit Price</th>
<th>Amount</th>
</tr>
</thead>
</table>

The Prime Contractor and/or First Tier Subcontractors shall not sublet any portion of its Contract without prior written consent from the P.E. The total amount is $0.00.
## Second Tier Subcontractor Information

<table>
<thead>
<tr>
<th>Second Tier Subcontractor:</th>
<th>Federal Tax I.D. Number:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Street Address:</td>
<td>State Tax I.D. Number:</td>
</tr>
<tr>
<td>City, State, Zip Code:</td>
<td>Email:</td>
</tr>
<tr>
<td>Telephone Number:</td>
<td>Certified DBE Contractor:</td>
</tr>
<tr>
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<th>Amount</th>
</tr>
</thead>
</table>

| Total $                   |

## CONTRACTOR'S STATEMENT OF COMPLIANCE

**Print Name and Title of Prime Contractor Representative**

**Signature**

**Date**

As a representative of the Prime Contractor, I hereby certify that the information described on this form is truthful and accurate to the best of my knowledge. I certify that all subcontracts contain at a minimum the Federal and/or State Special Provisions Division A, Federal and/or State certified prevailing wage determinations and the State certified truck rental rates. I will ensure that all subcontractors demonstrate compliance with all contract specifications. Additionally, I understand that prior written consent to sublet any portion of the contract does not relieve the Prime Contractor of liabilities and obligations under the Contract and Bonds.

**Print Name and Title of First Tier Subcontractor Representative**

**Signature**

**Date**

As a representative of the First Tier Subcontractor, I hereby certify that all company information is true and accurate and that our company has contracted to perform the work prescribed in the above-mentioned specifications/item descriptions. I’ve reviewed and understand all applicable contract specifications, which include but are not limited to the following: Federal and/or State Special Provisions Division A, Federal and/or State certified prevailing wage determinations, State certified truck rental rates and have provided these specifications to all Second Tier Subcontractors.

**Print Name and Title of Second Tier Subcontractor Representative**

**Signature**

**Date**

As a representative of the Second Tier Subcontractor, I hereby certify that all company information is true and accurate and that our company has contracted to perform the work prescribed in the above-mentioned specifications/item descriptions. I’ve reviewed and understand all applicable contract specifications, which include but are not limited to the following: Federal and/or State Special Provisions Division A, Federal and/or State certified prevailing wage determinations, State certified truck rental rates.

**Print Name and Title of Project Engineer**

**Signature**

**Date**

As a representative of the Department, I approve the Prime Contractor’s utilization of the above-mentioned Subcontractors. Additionally, the Prime Contractor has complied with the terms established in Mn/DOT Standard Specifications for Construction, Section 1801.

All persons signing this form understand that willful falsification of this document may result in civil and/or criminal prosecution under federal and/or state law. See Minnesota Statutes 168, 161.315, Subdivision 2, 177.45, Subdivision 5, 177.44, Subdivision 6, 609.63; or the United States Code 18 U.S.C. 1001, 31 U.S.C. 231, CFR 5.12.

For additional information, visit the Labor Compliance website at: [http://www.dot.state.mn.us/const/labor/](http://www.dot.state.mn.us/const/labor/)
AFFIDAVIT AND INFORMATION REQUIRED OF BIDDERS

Affidavit of Non-Collusion:

I hereby swear (or affirm) under penalty of perjury:

1) That I am the bidder (if the bidder is an individual), a partner in the bidder (if the bidder is a partnership), or an officer or employee of the bidding corporation having authority to sign on its behalf (if the bidder is a corporation);

2) That the attached bid or bids have been arrived at by the bidder independently and have been submitted without collusion with and without agreement, understanding, or planned common course of action with any other vendor or materials, supplied, equipment or services described in the invitation to bid, designed to limit independent bidding or competition;

3) That the contents of the bid or bids have not been communicated by the bidder or its employees or agents to any person not an employee or agent of the bidder or its surety on any bond furnished with the bid or bids and will not be communicated to any such person prior to the official opening of the bid or bids; and

4) That I have fully informed myself regarding the accuracy of the statements made in this affidavit.

Signed:________________________________________

Firm Name:____________________________________

Subscribed and sworn to me before this___ day of ________________, ________

NOTARY PUBLIC_________________________________

My commission expires:_____________________________

Bidder’s E.I. Number_____________________________

(Number used on employer’s quarterly Federal Tax return)
EQUAL EMPLOYMENT OPPORTUNITY (EEO) AFFIRMATIVE ACTION
POLICY STATEMENT & COMPLIANCE CERTIFICATE

TO: City of Duluth, Minnesota PROJECT NUMBER & DESCRIPTION

FROM: (FIRM's name, address, telephone number)

A) Employment: It is the policy of the above named FIRM to afford equal opportunity for employment to all individuals regardless of race, color, creed, religion, national origin, ancestry, age, sex, marital status, status with respect to public assistance and/or disability. The FIRM will take affirmative action to ensure that we will: (1) recruit, hire, and promote all job classifications without regard to race, color, creed, religion, national origin, ancestry, age, sex, marital status, status with respect to public assistance, and/or disability, except where sex is a bona fide occupational qualification; (2) base decisions on employment so as to further the principle of equal employment opportunity; (3) ensure that promotion decisions are in accord with the principles of equal employment opportunity by imposing only valid requirements for promotional opportunities; (4) ensure that all personnel actions such as compensation, benefits, transfers, layoffs, return from layoff, FIRM sponsored training, education tuition assistance, social and recreational programs will be administered without regard to race, color, creed, religion, national origin, ancestry, age, sex, marital status, status with respect to public assistance, and/or disability. The FIRM also intends full compliance with Veteran affirmative action requirements. Additionally, minority and female employees shall be encouraged to participate in all FIRM activities and refer applicants.

I have designated (name) ________________________________ to direct the establishment of and to monitor the implementation of personnel procedures to guide the FIRM's affirmative action program. Where PROJECTS exceed $500,000, this official shall also serve as the liaison officer that administers the FIRM's "Minority Business Enterprise Program." This official is charged with designing and implementing audit and reporting systems that will keep management informed on a monthly basis of the status of the equal opportunity area.

Supervisors have been made to understand that their work performance is being evaluated on the basis of their equal opportunity efforts and results, as well as other criteria. It shall be the responsibility of the FIRM and its supervisors to take actions to prevent harassment of employees placed through affirmative action efforts.

B) Reports: Unless exempted by law and regulation, the FIRM shall make available and file those reports related to equal opportunity as may be required by the City of Duluth and State and Federal compliance agencies. Requirements and Reports are defined in 41CFR60 "Compliance Responsibility for Equal Opportunity" published by the U. S. Department of Labor which is incorporated herein by reference. Additional requirements are defined in various State and Federal Civil Rights Legislation and Rules promulgated thereunder.

C) Nonsegregated Facilities: The FIRM certifies that it does not maintain or provide for its employees any segregated facilities at any of its establishments and that it does not permit its employees to perform their services at any location, under its control, where segregated facilities are maintained. The FIRM certifies that it will not maintain or provide for its employees any segregated facilities at any of its establishments and that it will not permit its employees to perform their services at any location, under its control, where segregated facilities are maintained. The FIRM agrees that a breach of this
certification is a violation of the Equal Opportunity Clause in this certificate. As used in this Certification, the term "segregated facilities" means any waiting rooms, work area, rest rooms and wash rooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation for entertainment area, transportation, and housing facilities provided for employees which are segregated by explicit directive or are, in fact, segregated on the basis of race, color, religion, or national origin, because of habit, local custom, or otherwise.

D) Affirmative Action Compliance Program: Unless exempted by regulation and law, the FIRM—if the FIRM has 50 or more employees and if the value of current contracts with the City of Duluth exceeds $50,000—shall prepare and maintain a written affirmative action compliance program that meets the requirement as set forth in 41CFR60.

E) Non-Compliance: The FIRM certifies that it is not currently in receipt of any outstanding letters of deficiencies, show cause, probable cause, or other such notification of non-compliance with EEO Laws and Regulations.

F) Employment Goals - "Construction" Projects: It shall be the goal of the FIRM if the PROJECT is of a construction nature that in all on-site employment generated that no less than 3% of the on-site workforce will be minority employees and that no less than 7% of the on-site workforce will be female employees. Further, it is the goal of the FIRM if the PROJECT is of a construction nature that in all on-site employment generated that no less than 3% of the work hours generated shall be worked by minority employees and that no less than 7% of the work hours generated shall be worked by female employees.

G) Subcontractors: The FIRM will for all its PROJECT subcontractors regardless of tier (unless exempted by law and regulation) that received in excess of $2,500 require that: (1) the subcontractor shall execute an "EEO Statement and Certification" similar in nature to this "Statement and Certification", (2) said documentation to be maintained on file with the FIRM or subcontractor as may be appropriate.

Executed this _______ day of ________________, 20__ by:

______________________________________________
Printed name and title

______________________________________________
Signature

NOTE: In addition to the various remedies prescribed for violation of Equal Opportunity Laws, the penalty for false statements is prescribed in 18 U.S.C. 1001.