



Project: Crabtree Interceptor Phase III Improvements-Utility Tunnels Only  
Department/Division: Raleigh Water  
Project Manager: Perry Allen, P.E.  
RFQ #: 274-WS-2014-54 UT  
Date Issued: February 19, 2024

### SOLICITATION

Applications for Prequalification of Bidders will be received electronically by the City of Raleigh until **2:00 p.m.** local prevailing time on **April 4, 2024**. **Applications should be submitted directly to the contact below.** Questions about the prequalification submittal package shall be submitted electronically via email no later than **March 8, 2024** to the contact below.

*Applications for Prequalification of Bidders may be obtained in electronic format only, through the following contact information:*

Mark W. Fisher, P.E.  
Project Manager  
McKim & Creed  
(919) 616-6874  
[mfisher@mckimcreed.com](mailto:mfisher@mckimcreed.com)

Because documents will only be transmitted in electronic format, there is no fee to obtain the prequalification package.

In an effort ensure the quality of its infrastructure, the City of Raleigh – Raleigh Water wishes to engage in a prequalification process for these large diameter sewer tunnels, which are described below. **Only prequalified contractors will be allowed to bid on this project.**

### **Crabtree Interceptor Phase III Improvements (Utility Tunnels):**

The Crabtree Interceptor Phase III Improvements Project involves the installation of approximately 19,000 LF of 54-, 48-, 42-, 36-, 24-, 12-, 8-, 6-, and 4-inch gravity sewer, ranging up to 38 feet in depth. A prequalification process for general contractors on this project has already been completed, and the list of prequalified contractors is as follows:

Cleary Construction, Inc.  
Garney Companies, Inc.  
John D. Stephens, Inc.  
J.F. Wilkerson Contracting Co.  
Inc.

Kiewit Infrastructure South Co.  
Moffat Pipe, Inc.  
Park Construction of NC, Inc.  
Ruby-Collins, Inc.  
S.J. Louis Construction, Inc.

Spiniello Companies, Inc.  
Super Excavators, Inc.  
T.A. Loving Company  
Thalle Construction Co., Inc.

This prequalification process is for contractors qualified for utility tunneling only. This project includes tunneling of approximately 1,460 linear feet in four (4) tunnels by various methods, as outlined below.

Tunnel Location No. 1:

- Approximately 500 linear feet of minimum 72-inch inner diameter (ID) steel casing, reinforced concrete jacking pipe casing, or steel liner plate with 54-inch fiberglass reinforced sewer installed by Slurry Microtunnel (MTBM) or Compressed Air Hand Tunneling only beneath Glenwood Avenue (US 70).

Tunnel Location No. 2:

- Approximately 660 linear feet of minimum 72-inch ID steel casing, reinforced concrete jacking pipe casing, or steel liner plate with 54-inch fiberglass reinforced sewer installed by Tunnel Boring Machine (TBM), Slurry Microtunnel (MTBM), Pipe Jacking with Shield, or Hand Tunneling beneath and across Blue Ridge Road (NC SR 1670). Tunnel contains a curve.

Tunnel Location No. 3:

- Approximately 110 linear feet of minimum 72-inch ID steel casing, reinforced concrete jacking pipe casing, steel liner plate, or ribs and lagging support of excavation with 54-inch fiberglass reinforced sewer installed by Tunnel Boring Machine (TBM), Slurry Microtunneling (MTBM), Pipe Jacking with Shield, Guided Jack and Bore, or Hand Tunneling within Crabtree Valley Avenue below the overpass access to Crabtree Valley Mall.

Tunnel Location No. 4:

- Approximately 190 linear feet of minimum 66-inch ID steel casing or reinforced concrete jacking pipe casing with 48-inch fiberglass reinforced sewer installed by Slurry Microtunnel (MTBM) only beneath Creedmoor Road (NC SR 3009).

All tunnels (except for Tunnel 4) allow at least 2 alternative tunneling methods. Therefore, TBM, MTBM, Pipe Jacking with Shield, Guided Jack and Bore, Compressed Air Hand Tunneling, and Traditional Hand Tunneling will all be individually prequalified for each tunnel location to which they correspond. A Contractor may qualify for one or more methods, up to all six methods.

Figures (Attachment E) are included showing preliminary plan and profiles and the final geotechnical report. This information is provided to applicants as a general overview of the project for information purposes only as part of the prequalification process. The City of Raleigh does not guarantee the accuracy of the attached figures, as they are not bid ready documents nor are they for construction. The City of Raleigh reserves the right to make any changes to the figures attached to develop the final bid documents. Attachment E contains large files and can be provided by downloading these from a secured file share:

[Download](#)

The design engineers for the Crabtree Interceptor Improvements Phase III Project are the team of McKim

& Creed, Inc, CJS Conveyance, PLLC, and Hazen and Sawyer, PC. The total estimated cost of construction is \$71 million. The project is expected to advertise for construction in 2024 and the total construction contract period is expected to be 730 days consecutive calendar days. Prequalification evaluation criteria are included in the prequalification application.

Applicants interested in visiting the site are encouraged to do so. However, Applicants are advised to remain within existing utility corridors, City property, and public rights-of-way as not all easements have been acquired.

Prequalification evaluation criteria are included in the prequalification application.

At the time, date and place above, Qualifications will be opened. The opening will not be public.

PUBLIC UTILITIES DEPARTMENT  
RALEIGH, NORTH CAROLINA

Whit Wheeler, P.E.  
DIRECTOR, RALEIGH WATER

## GENERAL

The Crabtree Interceptor Phase III Improvements Project consists of 4 tunnels as part of a larger interceptor project. The tunnels are located in the vicinity of Crabtree Valley Mall, crossing from the east side of Glenwood Avenue to Crabtree View Place, crossing Blue Ridge Road to Crabtree Valley Place, along Crabtree Valley Place, and crossing Creedmoor Road. Each location is briefly described in the Solicitation.

Close coordination of construction activities with the City's operating staff will be required. The successful bidder(s) will be required to furnish all labor, materials, equipment, tools, services, and incidentals to complete the Work in accordance with the Specifications and Drawings.

The City shall not be responsible for any cost incurred by Applicants because of participation in this prequalification process. Each Applicant shall bear its own expense in connection with the preparation and submission of materials and the provision of any supplemental information requested. The City shall have no liability for cost incurred by Applicants in connection with the review and evaluation of prequalification materials and any findings and determinations made therefrom. This is **not** a solicitation for bid. All materials and information submitted during the prequalification process will become the property of the City and will not be returned to the Applicant.

In the event an Applicant is not prequalified, the Applicant may protest the denial of prequalification in writing. The written protest must be received by the City's Purchasing Manager at [Ana.Sostaric@raleighnc.gov](mailto:Ana.Sostaric@raleighnc.gov) within ten (10) business days of notice of denial. The written protest shall clearly identify the project and the project manager, clearly articulate the reasons for the protest, and attach any documents or additional information in support of the Applicant's position.

A decision by the City to prequalify or not to prequalify an Applicant is final. The decision to prequalify an Applicant shall not constitute a determination that the Applicant is responsible, and such Applicant may be subsequently rejected as non-responsible on the basis of subsequently discovered information. The City action in rejecting an Applicant as non-qualified in this regard is final.

## APPLICATION REQUIREMENTS

The Applicant must complete and submit a full PDF containing the application and all associated forms and attachments. Together, these documents comprise the Application for Bidder Prequalification (referred to herein as the "application" or "submittal"). The application shall be signed where indicated and submitted.

Applicants will need to email their complete submittal to [mfisher@mckimcreed.com](mailto:mfisher@mckimcreed.com) by the established submittal deadline. Applicants may use a link to a secure online file transfer/share site if the submittal is too large to email. The email shall also include a carbon copy (cc) to the following contacts:

Joshua Farmer at Hazen and Sawyer – [jfarmer@hazenandsawyer.com](mailto:jfarmer@hazenandsawyer.com)

Kim Hanson at Hazen and Sawyer – [khanson@hazenandsawyer.com](mailto:khanson@hazenandsawyer.com)

Chris Windley at CJS Conveyance – cwindley@cjsconveyance.com  
Janeen Goodwin at Raleigh Water – janeen.goodwin@raleighnc.gov  
Perry Allen at Raleigh Water – perry.allen@raleighnc.gov

The Applicant's name and the phrase "City of Raleigh – Crabtree Phase 3 Utility Tunnel Prequalification" should be included in the email subject line. **Following transmission, confirm with the recipients that the package has been received. Failure to confirm package transmission could result in disqualification.**

Responses to the RFQ must be typed or neatly printed. The information presented should be clear, complete, concise and not misleading. All attachments submitted shall be identified with the name of the Applicant. Failure to submit a response on the official forms provided for that purpose may be considered just cause for rejection of the response. Modification of any portion of the solicitation may be cause for rejection of the response. The City reserves the right to decide, on a case-by-case basis, at its sole discretion, whether to reject such an application as non-responsive.

#### SEPARATE PREQUALIFICATION OF EACH TUNNELING METHOD

The tunnels on the project are specified to be installed by various methods, with most tunnels allowing at least 2 alternative methods. Therefore, Contractors will be individually prequalified for each tunneling installation method to include:

- Tunnel by Slurry Microtunneling (MTBM),
- Tunnel by Tunnel Boring Machine (TBM),
- Pipe Jacking with Shield (PJ w/S),
- Compressed Air Hand Tunneling,
- Traditional Hand Tunneling, and
- Guided Jack and Bore.

Applicants can choose to apply for prequalification for one or more tunnel installation methods. Prequalification is required to perform tunneling work on this project. General contractors are free to team with any subcontractors who have been deemed qualified for this project through this prequalification process as determined by the City. General contractors may have more than one prequalified tunnel subcontractor on their team to perform tunneling for different methods. Multiple bidders may have the same prequalified tunnel subcontractor(s) on their team.

If an Applicant seeks prequalification for more than one method, then a complete separate application should be provided for each method. Indicate on each application which installation method the applicant is seeking approval for. For example, a Contractor seeking prequalification for all six tunnel installation methods, shall submit six (6) separate sections of project histories (on Attachment B), as needed to indicate prequalification for all six (6) installation methods and to show experience to meet qualification in each area.

#### CONFIDENTIAL/PROPRIETARY INFORMATION

Applicants should give specific attention to the identification of those portions of their

Statement of Qualifications, which they deem to be confidential, proprietary information or trade secrets, and provide any justification of why such materials, upon request, should not be disclosed by the Owner under North Carolina public records laws. Applicants must clearly indicate each and every section that is deemed confidential, proprietary or a trade secret as required by statute. It is NOT sufficient to preface your entire Statement of Qualifications with a proprietary statement.

If the Owner determines that a document the Applicant has designated "confidential" or "trade secret" is not entitled to protection from public disclosure, the Owner will provide notice of that determination to the contact person designated by the Applicant, in any reasonable manner that the Owner can provide such notice, at least five business days prior to its public disclosure of the document. If the Applicant does not designate anyone to receive such notice the Owner will not have any obligation to provide any notice of a determination of non-confidentiality. If the Applicant does not designate anyone to receive such notice, or if, within five business days after the designated person receives such notice, the Applicant does not initiate judicial proceedings to protect the confidentiality of the document, the Owner will not have any obligation to withhold the document from public disclosure.

By submitting to the Owner a document that the Applicant designates as "confidential" or "trade secret", the Applicant agrees that in the event a third party brings any action against the Owner or any of its officials or employees to obtain disclosure of the document, the Applicant will indemnify and hold harmless the Owner and each organization's affected officials and employees from all costs, including attorney's fees incurred by or assessed against any defendant, of defending against such action. The Applicant also agrees that at the Owner's request the Applicant will intervene in any such action and assume all responsibility for defending against it, and that the Applicant's failure to do so will relieve the Owner of all further obligations to protect the confidentiality of the document.

## EVALUATION

The City reserves the right to waive any and all irregularities or informalities in the submittal, to reject any and all applications, and to accept the application(s) with a minimum total score of 80%, and a total Safety score of 70%. Written notification of each Applicant's prequalification status will be provided within 45 days of the submission deadline. In evaluating each application, the City will consider, by way of illustration and not limitation, the criteria included in this section.

## **A. NON-POINT RATING ITEMS**

An unsatisfactory rating on any item in the category titled “non-point rating items” will be considered sufficient cause to determine that an Applicant is not qualified to bid. The following are non-point criteria:

- 1. Responsiveness to RFQ** – Only responsive applications will be considered and evaluated. A responsive application must be completed according to the instructions, include all required attachments and requested information and is comprised of, but is not limited to the following:
  - ☐ Application for Bidder Prequalification
  - ☐ Attachment A: Applicant Information
  - ☐ Attachment B: Details of Past Projects
  - ☐ Attachment C: Key Personnel Project Experience
  - ☐ Attachment D: Applicant Affidavit
  - ☐ Additional information as needed to provide a complete response to the RFQ
- 2. Debarment Status** – By submitting an application, the Applicant certifies that neither it nor any affiliated entity is currently debarred from submitting bids or has otherwise agreed not to submit bids on contracts with any government or business entity. If the Applicant experiences a material change in its debarment status after the application is submitted and prior to the award of the contract for the project, the Applicant shall notify the City of the change in writing at the time the change occurs or as soon thereafter as is reasonably practicable. If at any time during the evaluation process the Applicant is debarred as described above, it will be considered grounds for automatic disqualification.
- 3. Contractor's License** – The Applicant must provide a copy of their North Carolina Contractor's License or provide proof they have submitted application for North Carolina Contractor's License with prequalification submittal, and follow-up with evidence/proof of licensure. If a statement is required, the Applicant shall identify the states in which they are licensed for this type of work.
- 4. Bonding Capacity/Statement** – Applicants must provide a signed statement from its Surety stating that, based on present circumstances, the surety will be willing to provide bid, performance and payment bonds for the Applicant in connection with the Project in the estimated range as outlined in this RFQ solicitation.
- 5. Minimum Project Experience** – The minimum experience of the Applicant for prequalification for each method is successful completion of the items listed beneath each method below. The Applicant shall answer yes or no to verify whether the Applicant meets the minimum requirements for each method in Attachment A. Project experience including projects that demonstrate the minimum requirements are met shall be included in the Attachment B for documentation of project experience. Successful completion is defined as a tunnel project meeting the following criteria:
  - Completion of excavation and installation of initial tunnel support,
  - Carrier pipe installed meeting contract acceptance requirements for line and grade, and

- Surface settlement not exceeding 0.5 inches across the tunnel alignment.

a. Tunnel by Slurry Microtunneling (MTBM)

- i. The Microtunneling Contractor shall have a minimum of five (5) years' experience performing microtunneling of similar size and scope.
- ii. The Microtunneling Contractor shall have installed a minimum of 6,000 linear feet of jacking pipe by pressure slurry microtunneling.
- iii. The Microtunneling Contractor shall have installed a minimum of 3,000 linear feet of 54-inch or larger jacking pipe.
- iv. The Microtunneling Contractor's experience shall include three (3) tunnel projects completed in the last 10-years performed with a slurry microtunnel boring machine with individual, single drives of 600 LF or greater with reinforced concrete jacking pipe or carbon steel jacking pipe.
- v. The Microtunneling Contractor shall have successfully installed a minimum of 1,000 linear feet of 60-inch or larger jacking pipe along curved alignments.
- vi. The Microtunneling Contractor's experience shall include two (2) tunnel projects completed in the last 10-years performed with a slurry microtunnel boring machine in greater than 5,000 psi compressive strength rock (partial or full-face rock excavation accepted).
- vii. The Microtunneling Contractor's experience shall include two (2) underground construction projects completed in the last ten (10) years that involved the design and construction of a temporary or permanent shaft for each of the following conditions:
  1. Excavated in hard rock with controlled blasting with shaft invert below the groundwater table
  2. Excavated in soft ground with an invert below the groundwater table.

b. Tunnel by Tunnel Boring Machine (TBM)

- i. The TBM Tunneling Contractor shall have a minimum of five (5) years' experience performing utility tunneling with tunnel boring machine (TBM) in rock of similar size and scope.
- ii. The TBM Tunneling Contractor shall have installed a minimum of 6,000 linear feet of utility tunnel excavated by tunnel boring



machine (TBM).

- iii. The TBM Tunneling Contractor shall have excavated by tunnel boring machine and appropriately shored a minimum of 3,000 linear feet of 54-inch or larger diameter tunnel in rock conditions.
- iv. The TBM Tunneling Contractor shall have successfully excavated by tunnel boring machine and appropriately shored a minimum of 1,000 linear feet of 60-inch or larger diameter tunnel along curved alignments.
- v. The TBM Tunneling Contractor's experience shall include three (3) rock tunnel projects in the last 10 years performed with a tunnel boring machine with individual, single drives of 600 LF or greater with built in-place tunnel support such as steel rib and timber lagging, steel liner plates, concrete segments, cast-in-place concrete, or rock bolts and mesh.
- vi. The TBM Tunneling Contractor's experience shall include two (2) underground construction projects completed in the last ten (10) years that involved the design and construction of a temporary or permanent shaft for each of the following conditions:
  - 1. Excavated in hard rock with controlled blasting with shaft invert below the groundwater table
  - 2. Excavated in soft ground with shaft invert below the groundwater table.

c. Pipe Jacking with Shield (PJ w/S)

- i. The PJ w/S Tunneling Contractor shall have a minimum of five (5) years' experience performing pipe jacking of similar size and scope.
- ii. The PJ w/S Tunneling Contractor shall have installed a minimum of 2,000 linear feet of 72-inch or larger jacking pipe.
- iii. The PJ w/S Contractor shall have successfully installed a minimum of 1,000 linear feet of 60-inch or larger jacking pipe along curved alignments.
- iv. The PJ w/S Tunneling Contractor's experience shall include three (3) tunnel projects completed in the last 10 years performed using a pipe jacked shield with individual, single drives of 400 linear feet or greater, with reinforced concrete jacking pipe, fiberglass reinforced jacking pipe, or carbon steel jacking pipe.
- v. The PJ w/S Tunneling Contractor's experience shall include two (2) tunnel projects completed in the last 10 years performed using a

pipe jacked shield in greater than 5,000 psi compressive strength rock (partial or full-face rock excavation accepted).

- vi. The PJ w/S Contractor's experience shall include two (2) underground construction projects completed in the last ten (10) years that involved the design and construction of a temporary or permanent shaft for each of the following conditions:
  - 1. Excavated in hard rock with controlled blasting with shaft invert below the groundwater table
  - 2. Excavated in soft ground with shaft invert below the groundwater table.

d. Utility Hand Tunneling – Compressed Air

- i. The Utility Hand Tunneling Contractor shall have a minimum of five (5) years' experience performing utility hand tunneling under compressed air of similar diameter (or similar rectangular excavation cross-sectional area), ground conditions, and scope.
- ii. The Utility Hand Tunneling Contractor shall have excavated by compressed air excavation and appropriately shored by in-tunnel personnel a minimum of 2,000 linear feet of 60-inch or larger diameter (or rectangular excavation cross-section greater than or equal to minimum diameter).
- iii. The Utility Hand Tunneling Contractor's experience shall include three (3) tunnel projects completed in the last 10 years performed by compressed air methods with individual, single drives of 500 linear feet or greater with built in-place tunnel support such as rib and wood lagging, steel liner plates, concrete segments, cast-in-place concrete, or rock bolts and mesh.
- iv. The Utility Hand Tunneling Contractor's experience shall include two (2) underground construction projects completed in the last ten (10) years that involved the design and construction of a temporary or permanent shaft excavated in soft ground below the groundwater table.

e. Utility Hand Tunneling - Traditional

- i. The Utility Hand Tunneling Contractor shall have a minimum of five (5) years' experience performing utility hand tunneling with excavation by drill and blast methods, pneumatic hand tool excavation, modified soft ground excavation, SEM/NATM methods, of similar diameter (or similar rectangular excavation cross-sectional area) and scope.

- ii. The Utility Hand Tunneling Contractor shall have excavated by drill and blast, pneumatic, or SEM/NATM methods and appropriately shored by in-tunnel personnel a minimum of 2,500 linear feet of 72-inch or larger diameter (or rectangular excavation cross-section greater than or equal to minimum diameter) tunnel in greater than 5,000 psi compressive strength rock.
- iii. The Utility Hand Tunneling Contractor's experience shall include three (3) tunnel projects completed in the last 10 years with excavation performed by drill and blast, pneumatic, or SEM/NATM methods with individual, single drives of 500 linear feet or greater with built in-place tunnel support such as rib and wood lagging, steel liner plates, concrete segments, or rock bolts and mesh.
- iv. The PJ w/S Contractor's experience shall include two (2) underground construction projects completed in the last ten (10) years that involved the design and construction of a temporary or permanent shaft for each of the following conditions:
  - 1. Excavated in hard rock with controlled blasting with shaft invert below the groundwater table
  - 2. Excavated in soft ground with shaft invert below the groundwater table.

f. Guided Jack and Bore

- i. The Guided Jack and Bore Contractor shall have a minimum of five (5) years' experience performing jack and bore steel casing installation of similar diameter and scope.
- ii. The Guided Jack and Bore Contractor shall have installed a minimum of 5,000 linear feet of steel casing by jack and bore methods.
- iii. The Guided Jack and Bore Contractor shall have installed a minimum of 2,000 linear feet of 72-inch or larger steel casing.
- iv. The Guided Jack and Bore Contractor's experience shall include three (3) tunnel projects completed in the last 10 years using jack and bore methods including laser guidance, steerable cutting heads, or pilot-tube pre-bore with individual, single drives of 200 linear feet or greater.
- v. The Guided Jack and Bore Contractor's experience shall include two (2) tunnel projects completed in the last 10 years performed in greater than 5,000 psi compressive strength rock.
- vi. The Guided Jack and Bore Contractor's experience shall include two (2) underground construction projects completed in the last ten

(10) years that involved the design and construction of a temporary or permanent shaft meeting the following conditions:

1. Excavated in hard rock with controlled blasting with shaft invert below the groundwater table.

## **B. POINT-RATING ITEMS**

*The Applicant must achieve a minimum total score of 80% on the “point-rating items” as well as a 70% in the “Safety” section of the evaluation summary to be prequalified.* In considering an Applicant for prequalification, the City shall be the sole judge of the Applicant’s financial soundness, history of satisfactory project performance, whether or not the Applicant possesses a sufficient number of experienced qualified personnel at its management and supervisory level, and whether the applicant has demonstrated a commitment on its projects to accommodating changes and disruptions in the work, all of which indicate the ability to successfully complete the Project at the lowest possible cost to the City in accordance with the Project schedule.

The Applicant shall provide separate copies of Attachment B for each project to show qualification for each installation method applied for. Provide Attachment B and all relevant information to meet point-rating items one (1), two (2), and three (3) for each installation method, for which the applicant is prequalifying. Point-rating items four (4) through nine (9) can be provided one time and do not need to be repeated for individual projects or for prequalification of multiple installation methods.

- 1. Project Experience** – During evaluation of project performance, emphasis will be placed on past performance on municipal utility tunnel projects and other recent projects of a similar size and nature to the Crabtree Interceptor Phase III Improvements Project, including Applicant’s ability to meet scheduled completion dates. In addition to pipeline installation qualifications the Applicant should emphasize the following:
  - a. Past performance demonstrating management, manpower and expertise located in the mid-Atlantic region.
  - b. Experience and performance with regards to tunneling of large diameter sewer by the installation method applicant is attempting to qualify for, including size, length, method of installation, and geotechnical conditions encountered whether performed by the Applicant or a subcontractor.
  - c. Experience with regards to large pipeline installations in urban areas frequently used by the public.
- 2. Personnel Qualifications/Experience** – The designated project managers and superintendents must have experience on projects of similar size and scope. Applicant must dedicate qualified personnel to projects and may not make changes without written approval from the City. The qualifications of other personnel will also be considered in this evaluation.

3. **References** – The City intends to contact references listed in the application and may contact other potential references if referred to them in the course of this evaluation, or if the City becomes aware of other potentially pertinent references. The City reserves the right to contact any party it deems appropriate and by submitting a response to this RFQ, the Applicant releases the City and any references from all liability concerning this exchange of information.
4. **Financial Data** – Financial data will be reviewed and compared to industry standards.
5. **Safety Performance** – Safety data will be reviewed and compared to industry standards.
6. **Claims/Final Resolution/Judgments** – Evaluation of this data will be based on the number of affirmative answers to the questions and the details provided in explanation for each occurrence.
7. **Failure to Complete - Applicant** – Evaluation of the Applicant's failure to complete projects will primarily be based on the number of occurrences and the explanations for the failure to complete in conjunction with the references on those projects.
8. **Failure to Complete - Partner/Officer** – Evaluation of the Applicant's partners and/or officers to complete projects will be primarily based on the number of occurrences, the explanations for the failure to complete in conjunction with the references on those projects.
9. **Other Relevant Criteria** – Any other relevant criteria deemed to be in the best interest of the City may be evaluated in determining whether or not to accept an Applicant's submission.

#### MINORITY PARTICIPATION

The City's policy is to encourage Bidders to use small disadvantaged minority- and women-owned businesses as subcontractors. The City has adopted an aspirational goal of 15% of the total contract amount to be performed by MWBE businesses in contracts awarded by the City for construction projects of \$300,000 or more and building related contracts of \$100,000 or more that include State funding. Details of the policy can be obtained by contacting Pam Adderly, City of Raleigh MWBE Program, Pam.Adderly@raleighnc.gov or the City of Raleigh's website:

<https://raleighnc.gov/doing-business/services/minority-and-women-owned-business-enterprise-mwbe>

#### PROCUREMENT LAW

Prequalification and bidding procedures will be governed by, and administered in accordance with, applicable law in the jurisdiction of North Carolina.

#### ADDENDA AND INTERPRETATIONS

All requests for interpretation of the RFQ and the associated application and attachments must be made in writing to McKim & Creed and Hazen and Sawyer. Such requests will be addressed to Mark Fisher, Joshua Farmer, and Kim Hanson. Requests can be made by email to:

[mfisher@mckimcreed.com](mailto:mfisher@mckimcreed.com), [jfarmer@hazenandsawyer.com](mailto:jfarmer@hazenandsawyer.com) and [khanson@hazenandsawyer.com](mailto:khanson@hazenandsawyer.com).

To be given consideration, such requests must be received by March 8 ,2024. Any and all such interpretations and any supplemental instructions or changes will be in the form of written addenda which, if issued, will be sent to all prospective Applicants at the email addresses furnished for such purposes, not later than 10 days prior to the date fixed for submittal of the application. Failure of any Applicant to receive any such addenda shall not relieve such Applicant from any obligation under its application as submitted. All addenda so issued shall become part of the RFQ and must be signed by all Applicants and returned to the City with the application. All addenda will be issued via email.

#### **NOTICE OF SUBSTANTIAL CHANGES**

If the Applicant experiences a material change in its debarment status, financial condition, corporate structure or personnel after the application is submitted and prior to the award of future contracts covered under this prequalification, the Applicant shall notify the City of the change in writing at the time the change occurs or as soon thereafter as is reasonably practicable. Failure to notify the City of any material change in the Applicant's debarment status, financial condition, corporate structure or personnel may constitute grounds for rescinding a "qualified to bid" rating or for rejection of a bid.

#### **MISREPRESENTATION**

If any Applicant knowingly makes a misrepresentation in submitting information to the City, or fails to provide all required information, or provides information that is misleading, such misrepresentation, omission or misleading information will be sufficient grounds for rescinding a "qualified to bid" rating or for rejection of a bid submitted as a result of this prequalification.

#### **COLLUSION AMONG APPLICANTS**

More than one response from an individual, firm, partnership, corporation, or association under the same or different name will be rejected. Any or all responses will be rejected if there is any reason for believing that collusion exists among the Applicants. Participants in such collusion may not be considered in future bids for the same work. Each Applicant, by submitting a response, certifies that they are not a party to any collusive action or to any action that is otherwise unlawful.

**CITY OF RALEIGH – RALEIGH WATER**  
**CRABTREE INTERCEPTOR PHASE III IMPROVEMENTS PROJECT**  
**TUNNELING RFQ**  
**APPLICATION FOR BIDDER PREQUALIFICATION**

A copy of this page shall be the cover page for each set. A set of attachments and any additional information should be included with each set.

1. Applicant Name: \_\_\_\_\_

Provide all names under which the Applicant does business:

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2. Is the Applicant related to another firm as a parent, subsidiary, or affiliate? Yes\_\_\_\_ No\_\_\_\_  
If yes, attach names and addresses for all affiliated, parent and/or subsidiary companies, and state the nature of each affiliation.

3. Address: \_\_\_\_\_

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4. Tax Identification Number (EIN/SSN):\_\_

5. Is Applicant a corporation? Yes\_\_\_\_\_ No\_\_\_\_\_

If \_\_\_\_\_ yes, \_\_\_\_\_ what \_\_\_\_\_ is \_\_\_\_\_ the \_\_\_\_\_ State \_\_\_\_\_ of \_\_\_\_\_ incorporation?

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6. If not incorporated, specify method and date of organization: \_\_\_\_\_

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If a partnership, attach partnership details (such as partner's names and individual contact information for each partner). If a Joint Venture (JV), attach the JV agreement and provide details of the intended role of each JV member, including appropriate additional attachments (at a minimum an Attachment D for each JV member).

Initial if: Minority Owned: \_\_\_\_\_, Women Owned: \_\_\_\_\_, Neither: \_\_\_\_\_ (Please initial all that apply)

If so, provide as attachment any governmental certifications thereof.

7. Applicant is applying for Prequalification for (Applicant can apply for qualification for one or more installation methods):

- |                                    |                  |
|------------------------------------|------------------|
| • Microtunneling?                  | Yes____, No____, |
| • TBM Tunneling?                   | Yes____, No____. |
| • Pipe Jack with Shield?           | Yes____, No____, |
| • Hand Tunneling – Compressed Air? | Yes____, No____, |
| • Hand Tunneling – Traditional?    | Yes____, No____, |
| • Guided Jack and Bore?            | Yes____, No____, |

**APPLICATION FOR BIDDER PREQUALIFICATION**

**(Cont'd)**

8. Provide contact information including name, title, phone number and email address of the person who can respond authoritatively to any questions regarding this response:

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Signed by:

---

Printed name and title:

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Telephone No:

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Email Address:

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## EVALUATION SUMMARY

Applicant Name: \_\_\_\_\_

### A. NON-POINT RATING ITEMS

<u>CATEGORY</u>	<u>SATISFACTORY</u>	<u>UNSATISFACTORY</u>
1. Responsiveness to RFQ.....	_____	_____
2. Debarment Status.....	_____	_____
3. Contractor's License (ability to acquire) .....	_____	_____
4. Bonding Capacity/Statement.....	_____	_____
5. Minimum Tunnel Installation Experience for:		
a. Slurry Microtunneling (MTBM) .....	_____	_____
b. TBM Tunneling.....	_____	_____
c. Pipe Jacking with Shield.....	_____	_____
d. Hand Tunneling – Compressed Air.....	_____	_____
e. Hand Tunneling – Traditional.....	_____	_____
f. Guided Jack and Bore.....	_____	_____

### B. POINT-RATING ITEMS

	<u>WEIGHT</u>	x	<u>GRADE</u>	=	<u>TOTAL</u>
1. Project Performance	4		0 1 2 3 4 5		_____
2. Personnel Qualifications/Experience	3		0 1 2 3 4 5		_____
3. References					
a. Designers/Construction Managers	4		0 1 2 3 4 5		_____
b. Owners					
(1) Adherence to Schedule	3		0 1 2 3 4 5		_____
(2) Quality of Completed Work	4		0 1 2 3 4 5		_____
(3) Overall (cooperation/coordination)	3		0 1 2 3 4 5		_____
4. Financial Data	4		0 1 2 3 4 5		_____
5. Safety Performance	5		0 1 2 3 4 5		_____
6. Claims/Final Resolution/Judgments	4		0 1 2 3 4 5		_____
7. Failure to Complete - Applicant	4		0 1 2 3 4 5		_____
8. Failure to Complete - Partner/Officer	3		0 1 2 3 4 5		_____

**TOTAL SCORE:** \_\_\_\_\_

### GRADING SCALE

0 = Unfavorable, 1 = Questionable, 2 = Below Average, 3 = Average, 4 = Above Average, 5 = Most Favorable

**ATTACHMENT A  
CITY OF RALEIGH – RALEIGH WATER  
CRABTREE INTERCEPTOR PHASE III IMPROVEMENTS PROJECT  
TUNNELING RFQ  
APPLICANT INFORMATION**

**A. NON-POINT RATING ITEMS**

1. **Responsiveness to RFQ** – Responsiveness is defined in the RFQ section titled Evaluation.
2. **Debarment Status** – Has the Applicant, or any affiliate, ever been the subject of any of the following actions:
  - a. Debarment..... ☐ Yes ☐ No
  - b. Deletion from a Prequalified Bidders List..... ☐ Yes ☐ No
  - c. Other action which resembles debarment ..... ☐ Yes ☐ No

If yes, provide details on a separate sheet for each instance.

3. **Contractor's License** – Attach a copy of the Applicant's North Carolina Contractor's License, or attach a statement about Applicant's ability to acquire one in a timely fashion consistent with the project schedule. If a statement is required, the Applicant shall identify the states in which they are licensed for this type of work.

Applicant should also indicate the type(s) of work the Applicant's workforce and equipment normally perform.

**4. Capacity**

Attach a signed statement from Applicant's Surety stating that, based on present circumstances, the surety will be willing to provide bid, performance and payment bonds for the Applicant in connection with the Project.

Total bonding capacity: \$ \_\_\_\_\_

Available bonding capacity: \$ \_\_\_\_\_

Individual project bonding capacity: \$ \_\_\_\_\_

Attach a signed statement from Applicant's insurance company stating that, based on present circumstances the insurance company will be willing to provide insurance coverage for the Applicant based on the requirements listed below:

Workers' Compensation: \$1,000,000

Employer's Liability: \$1,000,000

General Liability: \$1,000,000 combined single limit, with Owner names as additional insured.

Commercial Auto Liability: \$1,000,000 combined single limit, with Owner named as additional insured.

- 5. Minimum Tunnel Installation Experience** –The Applicant shall provide separate copies of Attachment B for each tunnel installation method for which prequalification is applied.

## **B. POINT RATING ITEMS**

Provide items one (1), two (2) and three (3) below, separately, for all installation methods for which prequalification is applied.

- 1. Project Performance** – Using a separate copy of Attachment B for each tunnel installation method for which prequalification is applied, provide details of each project as needed to show minimum tunnel installation experience (a minimum of three projects) to meet the experience qualification statements provided in section five (5) of the Non-Point rating items.
- 2. Personnel Qualifications/Experience** – Submit a copy of the Applicant's corporate organizational chart. Provide the quantity of employees identified by discipline and project with names and titles down through field superintendents. Provide proposed project organizational chart and attach resumes of key personnel. Emphasize years of construction experience, last employer, last position, and experience on similar projects
- 3. References** – Reference information is addressed on Attachment B
- 4. Financial Data**
  - a. Submit your organization's most recent audited financial statements for a three-year period, beginning with the most current period available. Complete balance sheets and income statements must be included. The statements shall be enclosed in a separate sealed envelope and included in the application package, and it should be noted if the statement is for a parent company.
  - b. Has the Applicant, or any affiliate, ever been denied bonding or had bonding revoked?  
☐ Yes ☐ No

If yes, provide details on a separate sheet for each instance.

- 5. Safety Performance** – On a separate sheet provide the following:
- a. National Council on Compensation Insurance (NCCI) Experience Modification Rating (EMR) or Experience Modification Factor (EMF) with 3-year and 5-year trends. If EMR/EMF is greater than 1.0, provide explanation of increased incidence rate. An EMR/EMF greater than 1.0 does not necessarily indicate non-compliance.
  - b. OSHA DART rate (Days Away, Restrictions or Transfers, DART) with 3-year and 5-year trends. If DART is greater than the national average for

the respective/appropriate sector, provide explanation of increased incidence rate.

- c. Loss Ratio with 3-year and 5-year trends
- d. Accident Frequency Rate with 3-year and 5-year trends
- e. A list of OSHA citations levied during the past five years. Describe the infractions and indicate whether there was a warning or fine imposed and the dollar amount of each.
- f. Details from your organizations most recent OSHA 300 log and 300A summary indicating:
  - Number of lost workday cases
  - Number of restricted workday cases
  - Number of cases with medical attention only
  - Number of fatalities
- g. A list of all property damage claims that were paid out by the Applicant's insurance company of any of the Applicant's subcontractor's insurance companies during the past five years.
- h. A description of company's safety program and/or training policies. Include all relevant supporting documentation.
- f. Copies of any complaints, safety violations or reports from the North Carolina Qualifications Board, OSHA, or any other regulating agency associated with any construction project over the last five (5) years. Applicant may provide additional details on a separate sheet as appropriate.
- g. Details from your organization's OSHA Form 300 and 300A indicating:
  - Number of lost workday cases
  - Number of restricted workday case
  - Number of cases with medical attention only
  - Number of fatalities

**5. Claims/Final Resolution/Judgments** – Have any of the following actions occurred on, or in conjunction with, any project performed by the Applicant, any affiliate, or their officers, partners or directors in the last five years?

a. Legal Action Implemented by Contractor against Owner

☐ Yes ☐ No

b. Legal Action Implemented by Contractor against Subcontractor

☐ Yes ☐ No

c. Legal Action Implemented by Owner

☐ Yes ☐ No

d. Legal Action Implemented by Subcontractor

☐ Yes ☐ No

e. Settlement or Close Out Agreement in effect with

☐ Yes ☐ No

f. Judgments

☐ Yes ☐ No

g. Arbitrations

☐ Yes ☐ No

If the answer to any of items a. through g. above is Yes, provide details on a separate sheet for each instance.

**6. Failure to Complete - Applicant** – Has your organization ever failed to complete any work awarded to it? This includes termination for the convenience of the Owner or any other reason for failing to complete a project.

☐ Yes ☐ No

If yes, provide details on a separate sheet for each instance.

**7. Failure to Complete - Partner/Officer** – Has any officer or partner of your organization ever been an officer or partner of some other organization that failed to complete a construction contract or failed to complete a construction contract handled in his or her own name? This includes termination for the convenience of the Owner or any other reason for failing to complete a project.

☐ Yes ☐ No

If yes, provide details on a separate sheet for each instance.

**8. Other Relevant Criteria** – Using a separate sheet, please attach any other relevant information that may be in the best interest of the City to evaluate during the prequalification process.

**ATTACHMENT B**  
**CITY OF RALEIGH – RALEIGH WATER**  
**CRABTREE INTERCEPTOR PHASE III IMPROVEMENTS PROJECT**  
**TUNNELING RFQ**  
**DETAILS OF PAST**  
**PROJECTS**

(Using a separate copy of this form for each tunnel installation method for which prequalification is applied, provide details of three or more projects that are to be considered for overall qualifications consistent with the minimum experience requirements described. Applicants are encouraged to submit details of any project with elements that may pertain to this project but are advised that the Minimum Experience requirements outlined in the Non-Point Ratings section must be met.)

**Contractor Name:**

(If Contractor's Name is not the same as the Applicant's name, state relationship (i.e., parent company, subsidiary, JV, etc.)

**Project Manager:****Superintendent:**

*Refer to the Minimum Experience requirements outline in the Non-Points Rating section for the Minimum Prequalification Criteria related to project experience within the timeframe specified.*

<b>Project Name:</b>
Project Location:
Contract # / Project #:
Description of Project:

<b>Project Owner or Prime Contractor:</b>
Contact Name:
Contact Title:
Contact Phone Number:
Contact Email Address:

If the Owner/Prime Contractor contact cannot verify the work, the project will not be credited to the Applicant unless other documentation is provided to substantiate the experience.

<b>Engineer:</b>
------------------

Contact Name:
Contact Title:
Contact Phone Number:
Contact Email Address:

<b>Construction Manager (if any):</b>
Contact Name:
Contact Title:
Contact Phone Number:
Contact Email Address:

**Contract Dates:**

Notice to Proceed: \_\_\_\_\_

Contractual Completion: \_\_\_\_\_

Actual Completion: \_\_\_\_\_

**Contract Value:**

Original Contract Value: \$ \_\_\_\_\_

Final Contract Value: \$ \_\_\_\_\_

Value of Change Orders to Date: \$ \_\_\_\_\_

Outstanding Claims to Date: \$ \_\_\_\_\_

<b>Bonding Company:</b>
Contact Name:
Contact Title:
Contact Phone Number:
Contact Email Address:

**PROJECT EXPERIENCE SUMMARY TABLE**

	Project _____	Project _____	Project _____
Project Name			
Tunnel Installation Method(s)			
Year(s) Project Occurred			

	Project _____	Project _____	Project _____
Owner			
Owner's Phone Number			
Owner's Email Address			
Original & Final Contract Price			
Number of Change Orders			
Original & Final Contract Times (days)			
Carrier Pipe Material and Diameter (inches)			
Casing or Tunnel Lining Type			
Casing or Tunnel Lining Diameter (inches)			
Total Pipeline Length (feet)			
Number of Tunnels in Project			
Longest Tunnel Length (feet)			
Curved Tunnel Alignment (Y/N)			
Tunnel Curve Radius and Length (feet) (if applicable)			
Range of Shaft Depths (feet)			
Rock Excavation Required (Y / N)			
Average and Max Rock Strength (if applicable)			
Construction Shaft w/invert below groundwater table (Y / N)			
Construction Shaft in rock (Y/N)			
Tunnel within line and grade tolerances (Y/N)			
Tunnel excavated with less than 0.5" surface settlement (Y/N)			



**ATTACHMENT C**  
**CITY OF RALEIGH – RALEIGH WATER**  
**CRABTREE INTERCEPTOR PHASE III IMPROVEMENTS PROJECT**  
**TUNNELING RFQ**  
**PROJECT KEY PERSONNEL – WORK HISTORY/PROJECT EXPERIENCE**

**APPLICANT'S PROPOSED PROJECT MANAGER**  
**EMPLOYMENT HISTORY AND PROJECT EXPERIENCE**

**Applicant:**

---

**Project Manager's Name:**

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*Refer to the Minimum Experience requirements outline in the Non-Points Rating section for the Minimum Prequalification Criteria related to project experience within the timeframe specified.* List relevant experience below.

Employer	Period of Employment (Month/Year)	Project Manager's Responsibilities
Employer: City/State: Contact Phone Number: Contact Email Address:	Start:  End:	
Employer: City/State: Contact Phone Number: Contact Email Address:	Start:  End:	
Employer: City/State: Contact Phone Number: Contact Email Address:	Start:  End:	

Use additional sheets as necessary to show required experience. If the Employer contact cannot verify the employment records and responsibilities, the Project Manager will not be qualified unless other documentation is provided to substantiate the experience.

Refer to *the Minimum Experience requirements outline in the Non-Points Rating section* for the Minimum Prequalification Criteria related to the value of the largest project supervised within the timeframe specified. List that project below.

Project Name:
Owner/Client:
Contact Name:
Contact Phone Number:
Contact Email Address:
Approximate Project Value in Dollars:

If the Owner/Client contact cannot verify the project experience, the Project Manager will not be qualified unless other documentation is provided to substantiate the experience.

**APPLICANT'S PROPOSED SUPERINTENDENT  
EMPLOYMENT HISTORY AND PROJECT EXPERIENCE**

**Applicant:**

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**Superintendent's Name:**

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***Refer to the Minimum Experience requirements outline in the Non-Points Rating section for the Minimum Prequalification Criteria related to project experience within the timeframe specified. List relevant experience below.***

<b>Employer</b>	<b>Period of Employment (Month/Year)</b>	<b>Superintendent's Responsibilities</b>
Employer: City/State: Contact Phone Number: Contact Email Address:	Start:  End:	
Employer: City/State: Contact Phone Number: Contact Email Address:	Start:  End:	
Employer: City/State: Contact Phone Number: Contact Email Address:	Start:  End:	

Use additional sheets as necessary to show required experience. If the Employer contact cannot verify the employment records and responsibilities, the Superintendent will not be qualified unless other documentation is provided to substantiate the experience.

Refer to *the Minimum Experience requirements outline in the Non-Points Rating section* for the Minimum Prequalification Criteria related to the value of the largest project supervised within the timeframe specified. List that project below.

<b>Project Name:</b>
<b>Owner/Client:</b>
Contact Name:
Contact Phone Number:
Contact Email Address:
Approximate Project Value in Dollars:

If the Owner/Client contact cannot verify the project experience, the Superintendent will not be qualified unless other documentation is provided to substantiate the experience.

**ATTACHMENT D**  
**CITY OF RALEIGH – RALEIGH WATER**  
**CRABTREE INTERCEPTOR PHASE III IMPROVEMENTS PROJECT**  
**TUNNELING RFQ**  
**APPLICANT AFFIDAVIT**

The undersigned hereby attests under penalty of perjury and by personal knowledge to the following:

1. The contents of the Application for Bidder Prequalification (including all submitted attachments and other documentation) are true, correct and not misleading.
2. To the best of my knowledge neither the Applicant, nor its agents, affiliates, partners, employees, officers, directors, or other associates of any kind, have colluded with any individual or entity on behalf of the Applicant, or themselves, to produce an unfair advantage over others or to gain favoritism in the award of any contract resulting from this RFQ.
3. By responding to this RFQ and submitting the Application for Bidder Prequalification (also referred to as the submittal), the Applicant agrees to indemnify and hold harmless all parties to this RFQ, including, but not limited to, the Owner and Engineers for any conceivable damages arising therefrom; and affirms that no compensation is expected as a result of the preparation of said response.
4. Applicant agrees to use the submitted personnel for the duration of this project. Any changes in the submitted personnel must be approved in writing by the City.

Applicant Name: \_\_\_\_\_  
\_\_\_\_\_

Officer's Signature: \_\_\_\_\_

Printed name and title: \_\_\_\_\_

Telephone No: \_\_\_\_\_

Affix Corporate Seal

Witnessed by: \_\_\_\_\_

Witness printed name and title: \_\_\_\_\_

Date Signed: \_\_\_\_\_