

REQUEST FOR SUBMITTALS FOR PREQUALIFICATION TO DETERMINE ELIGIBILITY OF FIRMS TO BID ON

**WSA B19030: Round Valley Reservoir Structures Refurbishment and Resource
Preservation Project, Earthen Dam Rehabilitation and Ancillary Work,
Township of Clinton, Hunterdon County, New Jersey**

General Contractor Prequalification

Purpose and Intent

The New Jersey Water Supply Authority (NJWSA or Authority) requires all contractors (also referred to as “general contractors” herein) interested in bidding on WSA B19030: Earthen Dam Rehabilitation and Ancillary Work (hereinafter the Dam Rehabilitation Project) to submit to the NJWSA an application demonstrating the firm’s capabilities, capacity and experience completing a dam rehabilitation project of this size and complexity, hereinafter referred to as Application or Qualification Statement. In addition, information on permit compliance and ability to meet non-disclosure and personnel security clearance requirements should also be provided. Contractors shall meet the applicable prerequisites and submit the required information to determine the contractor’s financial ability, responsibility, plant and equipment inventory, organization, ownership, and relationships. This information will be used by the NJWSA to determine contractor eligibility to bid. Only prequalified bidders will be **ELIGIBLE** to receive bid documents.

A separate Request for Submittals for Prequalification has been /will be issued for the dewatering work required for this project. The list of prequalified dewatering contractors will be provided to the prequalified general contractors for use in preparing a bid. If proposing to self-perform the dewatering, the general contractor will need to submit a separate prequalification submittal for dewatering work.

Prequalification by Another Agency

Each applicant is hereby put on notice that prequalification with the State of New Jersey, or any agency or subdivision thereof, does not serve as a basis to qualify the applicant for the services stated herein. The applicant shall not rely on the prequalification received from another agency for evidence of qualifications required herein.

Funding

The contract is expected to be funded in part with funds from the New Jersey Department of

Environmental Protection and the New Jersey Infrastructure Bank. Neither the State of New Jersey, the New Jersey Infrastructure Bank, nor any of their departments, agencies or employees is, or will be, a party to the contract for the project described below or subcontract or any lower tier contract or subcontract.

Project Description

Round Valley Reservoir is located in Clinton Township, Hunterdon County, New Jersey, approximately one-mile south of the Borough of Lebanon. The reservoir was created within a natural bowl-shaped valley by constructing three earthen embankments (North Dam, South Dam, and Dike) in the early 1960's.

The Contract will require the Contractor to furnish all labor, materials and equipment required for the Dam Rehabilitation Project. There are three dams involved in this project. The general scope of work for this project includes the following major components:

- Mobilization, including providing project offices and development of staging areas at each dam
- Adhering to all site security protocols established under the contract, including managing and restricting access to the three construction sites
- Construction, operation, and maintenance of erosion and sediment control measures in accordance with an approved permit.
- Clearing and grubbing of work and staging areas.
- Closure of roads (including obtaining necessary permits) and maintenance of traffic at each site.
- Structure removal and utility relocation
- Installation of instrumentation (piezometers, inclinometers) and development of an automated data acquisition system (ADAS) connected to existing and new instrumentation for real time monitoring the embankments during construction.
- Installation and operation of a dewatering system to maintain phreatic levels in the embankments to below prescribed levels. The engineer-designed dewatering system includes wells installed in bedrock and spaced at 25 to 80 feet. A total of at least 70 dewatering wells at three dams is anticipated. The bidder's dewatering subcontractor must be prequalified under a separate prequalification process. **If the bidder (general contractor) is proposing to self-perform the dewatering work, they must still be prequalified through the separate process. A list of prequalified dewatering subcontractors will be available to all prequalified general contractors on a rolling basis.**
- Excavation into the downstream slopes and at the toes of each embankment, which will likely require local dewatering (trench drains, sumps, etc.). The total volume of

- excavation between the three dams will be on the order of 650,000 to 700,000 cubic yards. Excavated materials will be stockpiled on site for use as earth fill.
- Construction of a seepage filter and drain system at each downstream slope and on each excavated embankment, consisting of a two stage filter (sand and gravel) with plastic collector pipes connected to pre-cast concrete manholes for access and monitoring. Total estimated volume of imported sand and gravel materials is about 150,000 cubic yards.
 - Placement of compacted earth fill (obtained from excavations) to reconstruct the embankments (estimated volume of 650,000 to 700,000 cubic yards). Placement of topsoil and establishment of turf on all disturbed areas.
 - Construction of paved site access roads.
 - Removal/abandonment of selected instrumentation and dewatering systems.
 - Installation of new geotechnical instrumentation after the backfill operation has been completed.
 - Establishment of the final ADAS for long term monitoring of the embankments.
 - Ancillary Work related to the Dam Structures including removal and replacement of piping (12-inch or less), grouting of approximately 1,400 LF of 36-inch piping (part of reservoir release works), and building improvements, including but not limited to roofing, gutters, rooftop access systems, concrete repairs, general building repairs, window replacement, sluice gate repairs, transfer switch installation, providing a portable generator, and crane replacement.

Prequalification Schedule

It is anticipated that bid documents will be available to prequalified bidders in the fall of 2019. Contractors' applications for Prequalification may be submitted on an ongoing basis until 14 calendar days after the bid is advertised. Contractors are strongly encouraged to submit their information early.

Contract Schedule

Construction activities are anticipated to start in late 2019. The estimated contract duration is approximately 150 weeks from the Notice to Proceed to substantial completion. Updated dates and contract durations will be provided to prequalified bidders in future bidding documents.

Content of Submittals for Prequalification

To be considered Prequalified, the respondent must demonstrate to the satisfaction of the Authority that it meets the minimum requirements stated below and will perform at least 50% of the total Contract Price. Additionally, the Respondents will be required to have 10% of the total Contract Price performed by socially and economically disadvantaged (SED) contractors and

vendors. Respondents are required to submit to the Authority the State of New Jersey, Department of Transportation, Contractor's Financial and Equipment Statement, Experience Questionnaire, and past performance Record (*Form DC-74A*), attached as Exhibit A, which fully describes the company's financial ability, responsibility, plant and equipment, organization, ownership, relationships and prior experience to satisfy many of the requirements detailed below.

Each application shall also include:

- A certified audited (or reviewed and compiled) **financial statement**, with a cover letter signed by a Certified Public Accountant (CPA), complete with a balance sheet, related statements of income and retained earnings and cash flows. The CPA review of financial statements must be in conformity with generally accepted accounting principles, and all financial statements shall be for at least a six-month accounting cycle, but cannot be more than one year old from the date of submission;
- A statement of **organization**, demonstrating the adequacy of officers and key management personnel to undertake a project of this size and complexity. Provide a list of anticipated components of work to be subcontracted;
- A statement as to **prior experience**, including the number of years of experience performing dam rehabilitation work similar to this project (see project description included herein) as a Prime Contractor or major Subcontractor.
- Specific descriptions of at least three similar projects that included work performed of a similar magnitude and type within the past ten years; all three projects shall have been performed as the Prime Contractor or as a major partner of a Prime Contractor joint venture. The team assigned to each project shall be included in the description. References from the Owner shall be provided for each project, including name, email address, and phone number.
- A statement summarizing **permit compliance** that the contractor has been involved with, within the past five (5) years.
- A **Confidentiality/Non-Disclosure Agreement ("Agreement")**, attached as Exhibit B, executed by a principal or officer of the firm on behalf of the firm. At the time of bidding, any pre-qualified firm interested in bidding will subsequently be required to have all personnel with access to Confidential Information sign an acknowledgement of this agreement, attached as Exhibit B-1. Third parties, as defined in the Agreement

(including sub-contractors, sureties and insurance companies), will also be required to sign the Agreements as Receiving Parties, and their personnel with access to Confidential Information will be required to sign an acknowledgement Agreement of the Agreement (Exhibit B-1).

- A statement summarizing electronic and hard-copy **document and information controls** that the contractor will implement during the bidding and construction contract to protect “Confidential Information”, as defined in Exhibit B.
- A statement summarizing experience with past projects where personnel security screening protocols were implemented. It is noted that all personnel that will be involved with this project will be subject to background checks, at the discretion of the Authority.
- A statement identifying the **team** you will assign to the project to include resumes and experience of the corporate officer(s) assigned to the project, project manager(s), quality manager(s), site superintendent(s), and other key on site personnel both of the prime contractor and anticipated major subcontractors.
- A statement of the anticipated components of work that could be performed by SED businesses.
- A statement of the firm’s **safety record** over the past 10 years. Include information on the firm’s corporate Health and Safety program, OSHA 300 and 300A logs for the past 3 years, and National Council on Compensation Insurance (NCCI) States Experience Modification Rates (EMR) for the past 3 years.
- A **quality assurance and quality control plan or approach/statement** that the contractor would generally implement on similar projects. Example documents from previously completed projects may also be submitted.
- A statement of **bonding capacity available for the project for limits of at least \$75M**, including aggregate bonding limits, from a surety authorized to issue bid, performance and payment bonds, and environmental maintenance bonds in the State of New Jersey. The firm or joint venture must be able to obtain Performance and Payment bonds for limits of at least \$75M. A letter from the surety company must be submitted with the firm’s response.

Evaluation Process

Opening of Qualification Statements

Upon receipt of Qualification Statements, the NJWSA will open and list the Qualification Statements for the record. This is not a public opening. To assist in evaluation, the Authority reserves the right to request additional information that does not have a material effect on the Qualification Statement. Failure to respond by the time designated will be grounds for denial of prequalification.

Evaluation of Qualification Statements

During the evaluation phase, the Authority will evaluate Qualification Statements to determine which Applicants are suitable for prequalification. This review is in two parts. First, the Authority will evaluate the firm's financial ability experience, judgments, convictions, debarments and substantial noncompliance with contracts of the Applicant. Second, the Authority will evaluate the experience of the Applicant. These evaluations will be made as described below in this section. The Authority may request clarification on specific matters presented in the Application. The Applicant's failure to respond to such requests by the time designated may result in the denial of prequalification. The Authority may contact any project references provided in the submittal to assist in evaluation of the contractor's past performance. The Authority may evaluate other publically available information not provided by the firm (s) as part of their submittal.

Evaluation of Financial Ability, Judgments, Convictions, Debarments and Substantial Noncompliance with Contracts.

Financial Ability. The Authority will evaluate the Applicant's certified financial statement. A letter from a surety company that does not meet all of the requirements of this Request for Submittals or the absence of a letter meeting such requirements may be grounds for denial of prequalification, at the Authority's sole discretion, after review and consideration of the dates, amounts, facts and circumstances.

Judgments. Any judgments, whether one or more, entered against the Applicant's firm, or any officer, director or owner thereof, within the last ten years for breach of contracts for governmental or nongovernmental construction, including, but not limited to, design-build or construction management, may be grounds for denial of prequalification, at the Authority's sole discretion, after review and consideration of the dates, amounts, facts and circumstances.

Evaluation of Experience. The Authority will evaluate the responses submitted to determine whether the Applicant has appropriate experience to perform the Project. This could also include

contacting any project references provided in the submittal to verify the experience and quality of work performed. The evaluation will be based on the information submitted as described in the “Content of Submittals for Prequalification” section of this request. The Authority will use the following evaluation criteria and maximum point values in ranking Applicants. The Applications will be reviewed by a committee of at least three people consisting of Authority staff and design engineers of the Engineer of Record. An average score over 70 will be required for prequalification. Furthermore, if any one reviewer scores your application below 50, it will be denied prequalification.

- A. Embankment Dam Construction and/or Rehabilitation Qualifications and Experience*
40 Points
 - B. Permit Compliance Record, and Corporate Health and Safety
5 Points
 - C. Specific Experience on Three Similar Projects Performed*
20 Points
 - D. Qualifications and Experience of Proposed Project Team**
20 Points
 - E. Confidentiality and Non-Disclosure Controls and Personnel Security Clearance
5 Points
 - F. Identified potential SED Business Components
5 Points
 - G. Experience Working with Government entities
5 Points
- Total Points Available: 100 Points**

* For these evaluation criteria, the submittal should specifically include demonstrated experience with handling of large quantities earth and filter/drain materials, working on dams with a reservoir pool, environmental and water quality protection, managing major subcontractors (i.e. dewatering, instrumentation, etc.), providing sufficient equipment and staffing to expedite construction and meet aggressive schedules.

** For this evaluation criteria, the submittal should specifically include individuals and/or names of potential subcontractors with demonstrated experience meeting the following requirements (but not limited to these individuals):

Quality Control: QC Managers, inspectors, and other personnel involved in Quality Control shall demonstrate a minimum of 5 years of experience in earthwork construction, inspection, and testing, and shall be equipped to perform the required testing in accordance with applicable standards and the project Specifications.

Project Superintendent: At each dam, provide a dedicated superintendent with a minimum experience of 15 years in earthwork construction, and experience in high hazard dam construction (dam height greater than 50-ft) with similar elements to the Round Valley Project.

Dewatering: See Dewatering Prequalification Requirements.

Any substitutions to the prequalified personnel will require approval by the Authority.

Notification of Prequalification Decisions

Within four weeks of receiving the application, the Authority shall advise in writing to each Applicant that submitted a Qualification Statement whether that Applicant has been prequalified. The Authority, in the Authority's sole discretion, reserves the right to deny prequalification to any Applicant for any reason in accordance with the criteria set forth in the Request for Submittals for Prequalification. In the event that an Applicant is denied prequalification, the written notification to such Applicant shall state the reasons for such denial of prequalification and the basis of such reasons. The Applicant may request a hearing before the Executive Director of the Authority. The request must be submitted in writing, a hearing shall be granted, and a decision rendered no later than 10 days after notice has been issued.

Submittal Instructions

Respondents must clearly indicate the Project Title and Bid number and clearly indicate that it is a **prequalification request** on the outside of any package submitted in connection with this project. The respondent shall submit two (2) hard copies, and one (1) digital PDF copy on disk, of the required qualification information within the Content of Submittals for Prequalification section of this request.

All proposals must be delivered in sealed envelopes and/or packages to:

NJWSA
1851 Highway 31
PO Box 5196
Clinton, NJ 08809

Exhibits (Attached)

- Exhibit A: State of New Jersey, Department of Transportation, Contractor's Financial and Equipment Statement, Experience Questionnaire, and past performance Record (*Form DC-74A*)
- Exhibit B: Confidentiality/Non-Disclosure Agreement
- Exhibit B-1: Confidentiality/Non-Disclosure Agreement Acknowledgement