



City of Northfield
Minnesota

Request for Proposals

Wastewater Treatment

Plant Operational Analysis

Justin Wagner
Utilities Manager

801 Washington Street
Northfield, Minnesota 55057

507-645-3083

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INTRODUCTION

The City of Northfield (“City”) is requesting proposals from qualified professionals to prepare an operational analysis and update of facility study for the City’s Wastewater Treatment Plant.

Inquiries about the engagement or the request for proposal should be addressed to:

Justin Wagner, Utilities Manager
Justin.Wagner@ci.northfield.mn.us
507-645-3083

There is no expressed or implied obligation for the City of Northfield to reimburse responding firms for any expenses incurred in preparing proposals in response to this request.

To be considered, qualified firms must submit an electronic copy and three (3) hard copies of their proposal to Justin Wagner, Utilities Manager at the City Hall offices located at 801 Washington Street, Northfield, MN 55057 by 2:00 p.m. on May 8, 2019. The City of Northfield reserves the right to reject any or all proposals submitted.

The City of Northfield reserves the right, where it may serve the City’s best interest, to request additional information or clarification from proposers or to allow corrections of errors or omissions. At the discretion of the City, firms submitting proposals may be requested to make oral presentations as part of the evaluation process. Following a review of the proposals, a recommendation for award will be made by the Utilities Manager to the City Administrator or City Council. A final decision for award of the work may be made by the City Administrator or the City Council.

The City of Northfield reserves the right to retain all proposals submitted and to use any concepts and ideas in a proposal regardless of whether that proposal is selected. Submission of a proposal indicates acceptance by the proposing firm of the conditions contained in this request for proposal, unless clearly and specifically noted in the proposal submitted and confirmed in the written contract between the City of Northfield and the firm selected.

Tentative Project Schedule:

- April 17, 2019 solicitation for proposals begins
- May 8, 2019 proposal submittal deadline
- May 13, 2019 staff review of proposals completed
- May 21, 2019 firm selected
- June - September, 2019 operational analysis completed and facility study updated
- Sept 26, 2019 draft operation analysis and facility study submitted
- Oct 8, 2019 study reviewed at City Council
- Oct 24, 2019 final report due
- Nov 5, 2019 City Council Accepts Report

BACKGROUND

The City of Northfield is located in Rice and Dakota Counties about 45 minutes south of the Minneapolis/St. Paul metropolitan area. Northfield is a historic community of more than 20,000 people.

The City of Northfield is a home rule charter city. The City Council consists of seven elected officials, including the mayor.

The Mayor and Council appoint a full-time City Administrator, who is responsible for overall supervision of City operations. The City is broken down into five major areas of operation. Major areas of operation include Public Safety, Public Works, Community Development, Administrative Services, and Community Services.

The City of Northfield's Wastewater Treatment Plant was originally constructed in 1958 at its current site on the Cannon River. The wastewater treatment plant treats an average of 2.1 million gallons per day of wastewater from both the City's of Northfield and Dundas.

TREATMENT METHODOLOGY

The City of Northfield's wastewater treatment plant (WWTP) treats residential and industrial wastewater from the Cities of Northfield and Dundas. The facility treats wastewater to a secondary treatment standard for discharge to the Cannon River using screening, grit removal, primary sedimentation, biological aerated filtration, and UV disinfection. The sludge processing facility is currently being replaced. When returned to service, it will produce a Class A lime stabilized sludge suitable for land application.

SCOPE OF SERVICES REQUESTED

This section describes the anticipated scope of services for the completion of the wastewater treatment plant operational analysis, including content, communication and products. The following items must be included and addressed:

1. Gather and review background information – The Consultant shall gather information on current operational procedures of the city's wastewater treatment plant, review existing NPDES permit, review existing SCADA system, review the current capital improvement plan and capital equipment plan, review the existing lift station design and operation and any other information they determine to be necessary to complete the operational analysis.
2. Review and analysis of the existing system design and performance – The Consultant will compare the existing system against Ten State Standards, state regulations, federal regulations and other industry standards for system design.
3. Review of limitations of the Wastewater Treatment Plant – The Consultant shall facilitate a process analysis to determine and recommend any potential equipment, safety and operational limitations at the wastewater treatment plant. This could include the following but not limited to:

- a. What if scenarios occur?
 - b. Hazard and operability study
 - c. Failure mode and effects analysis
 - d. Identify existing or recommend mitigation strategies
4. Identify Critical and Limitations of Wastewater Treatment Plant – The Consultant shall identify any potential limitations or omissions with the current system design. The Consultant shall identify critical elements to the wastewater treatment plant for continued operation.
5. Flood Mitigation Measures – The Consultant shall review the existing facility site plan for both the City’s Wastewater Treatment Plant and Lift Station for flood mitigation measures. The Consultant shall make recommendations on flood mitigation measures.
6. Staffing Review and Analysis – The Consultant shall review the current staffing level and organizational structure at the wastewater treatment plant. The Consultant shall review other wastewater treatment plant staffing levels and organizational structure and compare them to Northfield’s level and structure. The Consultant shall make recommendations on the current structure and staff level regardless of if a change is being suggested. This should be compared to industry standards.
7. Operation and Maintenance Review – The Consultant shall review the current operation and maintenance practices at the wastewater treatment plant. The review shall include, the existing asset management program (OpWorks), Standard Operating Procedures and other pertinent information.
8. Develop an Operational Analysis – The Consultant shall develop an operational analysis based on the Consultants review. The timeline for this is stated above in the tentative project timeline.
9. Update the City’s Wastewater Treatment Plant’s Facility Study – The Consultant shall update the City’s facility study and provide a project timeline for the next 10 years’ worth of Capital Projects at the City’s Wastewater Treatment Plant. A copy of the City’s current Wastewater Treatment Plant’s Facility Study was sent to perspective bidders.
10. Presentations to the City Council shall take place with an anticipated two (2) occurrences with the potential for additional meetings as needed.

COMMUNICATION/PROJECT MANAGEMENT

A Project Management Team (PMT) will provide overall direction and will review all products prior to their submittal and review by Staff and City Council. Justin Wagner, Utilities Manager will be the Project Manager representing the City and will be the primary contact for communications and coordination of activities with the Consultant. Ultimately, the City Council will be the reviewing/approving authority for the final product.

The PMT is anticipated to comprise of the following individuals:

- Justin Wagner, Utilities Manager
- David Bennett, P.E., Public Works Director/City Engineer
- Darick Kvam, Interim Wastewater Plant Supervisor
- Ben Martig, City Administrator
- Consultant

It is anticipated the PMT will meet initially to kick off the project and discuss the anticipated project outcomes and schedule. The PMT will then meet as deemed necessary throughout the project to review interim products or to discuss project issues. The PMT may at times meet without the Consultant depending on the topic.

The Consultant will provide, at a minimum, biweekly updates, primarily through email, to update City staff on project status, discuss issues and review schedules. The Consultant shall provide written agendas for meetings they are responsible for overseeing such as PMT meetings.

Beyond the PMT meetings and communication stated above, the Consultant should be prepared to attend two City Council meetings to discuss the process and recommended actions.

PRODUCT/FINAL REPORT

All electronic and paper interim review documents, such as tables, graphs, charts, text, models and maps, through the adoption of the final report, shall be included in the scope of work as described above.

The final products of this project shall include two (operational analysis and facility study update) final bound reports, including all supporting materials such as tables, charts, graphs, figures and maps. The City will require final copies of the plans to be available both in paper form as well as electronically in PDF format and Microsoft Word format. The Consultant shall provide the City with four paper copies of the operational analysis and four paper copies of the updated facility study and one electronic copy of each, via email or flash drive, of the final report.

The City's wishes to have this analysis complete by November 5, 2019.

PROPOSAL FORM AND CONTENTS

The proposal should be printed on 8½ x 11-inch paper. Pages should be consecutively numbered.

The Consultant's submittal must contain and clearly identify the following elements.

A. Letter of Transmittal

1. Name of the firm, local address, e-mail address and telephone and fax numbers of contact person during period of proposal evaluation and the date of your submittal.

B. Table of Contents

Include a clear identification of the material by section and page number.

C. Consultant Qualifications / Profile

Include qualifications of the firm as it relates to preparing wastewater treatment plant operational analysis' and facility studies, including previous experience with similar projects for cities or other units of government.

D. Key Personnel

The Consultant shall provide the names, qualifications and resumes of key personnel that will be assigned to this work and identify the lead client service contact that will be responsible for the management and administration of a contract with the City.

E. Organizational Structure

The proposal must include the organizational/project management structure identifying key project personnel, their roles and responsibilities and the time available for each individual to work on this project.

F. Project Approach/Work Plan

A detailed explanation of the overall approach to be taken to complete the project along with a detailed work plan must be provided. The work plan must contain a description of each task to be performed, identify the interrelationships among the tasks, clearly identify major review and decision points and specify the deliverables and work products for each task. The work plan must address, at a minimum, each of the items outlined under Scope of Services Section in the RFP.

G. Project Schedule

The proposal must identify the major tasks and dates of accomplishment. The schedule must indicate tasks which the Consultant anticipates will be done by the City. Work on this project should be initiated within two weeks of the execution of the contract and diligently performed thereafter. The schedule will be monitored by the City to evaluate the Consultant's performance on the project. Any deviation from the milestones as proposed by the Consultant shall be approved by the City.

Once a Consultant is selected, a kickoff meeting will be held where among other things; the schedule will be reviewed and adjusted as appropriate based on individual project tasks and input from the Consultant.

H. Cost

A detailed cost estimate for completing the project, broken down by task, personnel and hours must be provided. Please identify the personnel that correspond to each title in the cost estimate. The proposal must indicate the total cost and itemize each task for the project. The proposal should include hourly rates for specific professional services, including meeting and presentation costs. Payment of fees will be made every thirty days upon receipt of a progress report and an invoice itemizing services performed and hours worked. Any work identified as optional in the Scope of Services shall be listed separately from required work. A total cost not to be exceeded for all work is required by the proposal.

I. Exceptions and Deviations

Any exceptions to the requirements in this RFP, including the language in the Contract Negotiations and Terms Section, must be included in the proposal submitted by the Proposer. Segregate such exceptions as a separate element of the proposal under the heading "Exceptions and Deviations."

J. Additional Information

Any other information that the Proposer believes to be pertinent, but not specifically asked for elsewhere in the RFP, may be included under the heading “Additional Information.”

K. References

For the key personnel, include a brief list of previous or current project contacts that are similar to this project that may be used as references to confirm that the key personnel are capable of performing this work.

SELECTION

Proposals that comply with the instructions set forth in this document will be evaluated by the City of Northfield. Proposals will be evaluated on the following criteria:

- ☐ Understanding of the work to be completed.
- ☐ Quality of the approach presented in addressing the issues identified in this RFP.
- ☐ Experience in performing similar projects.
- ☐ Experience of individuals the Consultant will assign to this work.
- ☐ Proposed cost.
- ☐ The ability to perform the work within the specified time.
- ☐ Proposed schedule for completing the work.

The City reserves the right to accept or reject any or all proposals received, in whole or in part. At its discretion, the City of Northfield may choose to waive immaterial deviations from the RFP instructions. If necessary, a short list of Consultants will be called for an interview. Selection of a Consultant is expected in May 2019. The Consultant selection may require the approval of the City Council.

This RFP does not commit the City of Northfield to enter into a contract, nor does it obligate the City of Northfield to pay for any costs incurred by the Consultant in the preparation and submission of proposals or in anticipation of a contract.

CONTRACT NEGOTIATION AND TERMS

A. Negotiations and Contract Execution

Upon completion of the evaluation process, the City of Northfield will enter into negotiations with the responder(s) whose proposal offers the best solution and best value possible, as determined in the evaluation process.

This project will have an executed contract between the Consultant and the City. The City reserves the right to negotiate the final terms and conditions of the contract to be executed. Should the City and a Consultant be unable to mutually agree upon the entire contract, the City reserves the right to discontinue negotiations, select another Consultant or reject any or all proposals. The City reserves the right to negotiate with more than one Consultant simultaneously. Upon completion of negotiations agreeable to the City and Consultant, a contract shall be executed.

B. Contract Terms

1. Contract Terms are outlined in Appendix B.

APPENDIX A

CITY OF NORTHFIELD
PROPOSER WARRANTIES

- A. Proposer warrants that it is willing and able to comply with State of Minnesota laws with respect to foreign (non-state of Minnesota) corporations.
- B. Proposer warrants that it is willing and able to obtain an errors and omissions insurance policy providing a prudent amount of coverage for the willful or negligent acts or omissions of any officers, employees or agents thereof.
- C. Proposer warrants that it will not delegate or subcontract its responsibilities under an agreement without the prior written permission of the City of Northfield.
- D. Proposer warrants that all information provided in connection with this proposal is true and accurate.
- E. Proposer certifies that it can and will provide and make available, at a minimum, all services set forth in the "Scope of Services Requested" section of the City's request for proposals.

Signature of Official: _____

Name (typed): _____

Title: _____

Firm: _____

Date: _____

APPENDIX B

PROFESSIONAL SERVICES AGREEMENT

CONSULTANT SERVICE CONTRACT

This Contract is made this [day] day of [month], [year], by and between the CITY OF NORTHFIELD, a Minnesota municipal corporation, 801 Washington Street, Northfield, MN 55057, (“CITY”), and [service provider], a [corporation, limited liability company, etc.] under the laws of the State of [insert state of incorporation] [address], (“CONSULTANT”), (collectively the “PARTIES”).

WHEREAS, CITY requires certain professional services in conjunction with Utility Rate Study (the “Project”); and

WHEREAS, CONSULTANT agrees to furnish the various professional services required by CITY.

NOW, THEREFORE, in consideration of the mutual covenants and promises contained herein, the Parties agree as follows:

SECTION I – CONSULTANT'S SERVICES AND RESPONSIBILITIES

- A. **Scope of Services.** CONSULTANT agrees to perform various Project services as detailed in Exhibit 1, Scope of Services, attached hereto and incorporated herein by reference.
- B. **Changes to Scope of Services/Additional Services.** Upon mutual agreement of the PARTIES hereto pursuant to Section VI, Paragraph J of this Contract, a change to the scope of services detailed in Exhibit 1, attached hereto, may be authorized. In the event that such a change to the scope of services detailed in Exhibit 1, attached hereto, requires additional services by CONSULTANT, CONSULTANT shall be entitled to additional compensation consistent with Section III of this Contract. CONSULTANT shall give notice to CITY of any additional services prior to furnishing such additional services. CITY may request an estimate of additional cost from CONSULTANT, and upon receipt of the request, CONSULTANT shall furnish such cost estimate, prior to CITY’s authorization of the changed scope of services.
- C. **Changed Conditions.** If CONSULTANT determines that any services it has been directed or requested to perform by CITY are beyond the scope of services detailed in Exhibit 1, attached hereto, or that, due to changed conditions or changes in the method or manner of administration of the Project, CONSULTANT’s effort required to perform its services under this Contract exceeds the estimate which formed the basis for CONSULTANT’s compensation, CONSULTANT shall promptly notify CITY of that fact. Upon mutual agreement of the PARTIES hereto pursuant to Section VI, Paragraph J of this Contract, additional compensation for such services, and/or an extension of time for completion

thereof, may be authorized. In the absence of such a mutual agreement, amounts of compensation and time for completion shall be equitably adjusted, provided that CONSULTANT first provides notice to CITY as required by this Paragraph and CITY has not terminated this Contract pursuant to Section IV, Paragraph B.

- D. **Standard of Care.** Services provided by CONSULTANT or its subcontractors and/or sub-consultants under this Contract will be conducted in a manner consistent with that level of care and skill ordinarily exercised by members of CONSULTANT's profession or industry. CONSULTANT shall be liable to the fullest extent permitted under applicable law, without limitation, for any injuries, loss, or damages proximately caused by CONSULTANT's breach of this standard of care. CONSULTANT shall put forth reasonable efforts to complete its duties in a timely manner. CONSULTANT shall not be responsible for delays caused by factors beyond its control or that could not be reasonably foreseen at the time of execution of this Contract. CONSULTANT shall be responsible for costs, delays or damages arising from unreasonable delays in the performance of its duties.
- E. **Insurance.** CONSULTANT shall not commence work under this Contract until CONSULTANT has obtained all insurance required herein and such insurance has been approved by CITY, nor shall CONSULTANT allow any subcontractor to commence work on a subcontract until such subcontractor has obtained like insurance covering as to worker's compensation, liability, and automobile insurance. All this insurance coverage shall be maintained throughout the life of this Contract.

1. CONSULTANT agrees to procure and maintain, at CONSULTANT's expense, statutory Workers' Compensation coverage. Except as provided below, CONSULTANT must provide Workers' Compensation insurance for all its employees. If Minnesota Statutes, section 176.041 exempts CONSULTANT from Workers' Compensation insurance or if CONSULTANT has no employees in the City, CONSULTANT must provide a written statement, signed by an authorized representative, indicating the qualifying exemption that excludes CONSULTANT from the Minnesota Workers' Compensation requirements. If during the course of the Contract CONSULTANT becomes eligible for Workers' Compensation, CONSULTANT must comply with the Workers' Compensation insurance requirements herein and provide CITY with a certificate of insurance.
2. CONSULTANT agrees to procure and maintain, at CONSULTANT's expense, Commercial General Liability ("CGL") and business automobile liability insurance coverages insuring CONSULTANT against claims for bodily injury or death, or for damage to property, including loss of use, which may arise out of operations by CONSULTANT or by any subcontractor or by anyone employed by any of them or by anyone for whose acts any of them may be liable (including automobile use). The following coverages shall, at a minimum, be included in the CGL insurance: Premises and Operations Bodily Injury and Property Damage, Personal and Advertising Injury, Blanket Contractual Liability, and Products and Ongoing and Completed Operations Liability. The required automobile liability coverage must include coverage for "any auto" which extends coverage to owned autos, non-owned autos, and hired autos. Such insurance shall include, but not be limited to,

minimum coverages and limits of liability specified in this Paragraph, or required by law. CITY shall have additional insured status and be listed by name on an endorsement attached to such policy(ies) for the services provided under this Contract and shall provide that CONSULTANT's coverage shall be primary and noncontributory in the event of a loss.

3. CONSULTANT agrees to procure and maintain, at CONSULTANT's expense, the following insurance policies, including the minimum coverages and limits of liability specified below, or as specified in the applicable insurance certificate(s), or as required by law, whichever is greater:

Worker's Compensation	Statutory Limits
Employer's Liability	\$500,000 bodily injury by accident \$500,000 bodily injury by disease aggregate \$500,000 bodily injury by disease per employee
Commercial General Liability	\$1,000,000 property damage and bodily injury per occurrence \$2,000,000 annual aggregate \$2,000,000 annual aggregate Products – Completed Operations
Automobile Liability	\$1,000,000 per occurrence combined single limit for Bodily Injury and Property Damage (shall include coverage for all owned, hired and non-owned vehicles)
Umbrella or Excess Liability	\$1,000,000

4. Professional/Technical (Errors and Omissions) Liability Insurance.
CONSULTANT agrees to procure and maintain, at CONSULTANT's expense, Professional/Technical (Errors and Omissions) Liability Insurance. The required policy will provide coverage for all claims CONSULTANT may become legally obligated to pay resulting from any actual or alleged negligent act, error, or omission related to CONSULTANT's professional services required under the contract. CONSULTANT is required to carry the following minimum limits: \$1,000,000 – per wrongful act or occurrence; \$2,000,000 – annual aggregate; or as specified in the applicable insurance certificate(s), or as required by law, whichever is greater. Any deductible will be the sole responsibility of CONSULTANT and may not exceed \$50,000 without the written approval of CITY. If CONSULTANT desires authority from CITY to have a deductible in a higher amount, CONSULTANT shall so request in writing, specifying the amount of the desired deductible and providing financial documentation by submitting the most current audited financial statements so that CITY can ascertain the ability of CONSULTANT to cover the deductible from its own resources. The retroactive or

prior acts date of such coverage shall not be after the effective date of this contract and CONSULTANT shall maintain such insurance for a period of at least three (3) years, following completion of the work. If such insurance is discontinued, extended reporting period coverage must be obtained by CONSULTANT to fulfill this requirement.

5. True, accurate and current certificates of insurance, showing evidence of the required insurance coverages, are hereby provided to CITY by CONSULTANT and are attached hereto as Exhibit 2.
6. Any insurance limits in excess of the minimum limits specified herein above shall be available to CITY.
7. CONSULTANT's insurance policies and certificate(s) shall not be cancelled without at least thirty (30) days' advance written notice to CITY, or Ten (10) days' prior written notice to CITY for nonpayment of premium.
8. CONSULTANT's policies shall be primary insurance and noncontributory to any other valid and collectible insurance available to CITY with respect to any claim arising out of CONSULTANT's performance under this Contract.
9. CONSULTANT is responsible for payment of Contract related insurance premiums and deductibles. If CONSULTANT is self-insured, a Certificate of Self-Insurance must be attached.
10. CONSULTANT shall ensure that all subcontractors comply with the insurance provisions contained in this Contract and such insurance is maintained as specified.
11. CONSULTANT's policies shall include legal defense fees in addition to its liability policy limits, with the exception of the professional liability insurance, if applicable.
12. All policies listed above, except professional liability insurance (or other coverage not reasonably available on an occurrence basis), shall be written on a per "occurrence" basis ("claims made" and "modified occurrence" forms are not acceptable) and shall apply on a "per project" basis.
13. CONSULTANT shall obtain insurance policies from insurance companies having an "AM BEST" rating of A- (minus); Financial Size Category (FSC) VII or better, and authorized to do business in the State of Minnesota, or as approved by CITY.
14. Effect of Failure to Provide Insurance. If CONSULTANT fails to provide the specified insurance, then CONSULTANT will defend, indemnify and hold harmless CITY and CITY's officials, agents and employees from any loss, claim, liability and expense (including reasonable attorney's fees and expenses of litigation) to the extent necessary to afford the same protection as would have been provided by the specified insurance. Except to the extent prohibited by law, this indemnity applies regardless of any strict liability or negligence attributable to CITY (including sole

negligence) and regardless of the extent to which the underlying occurrence (i.e., the event giving rise to a claim which would have been covered by the specified insurance) is attributable to the negligent or otherwise wrongful act or omission (including breach of contract) of CONSULTANT, its subcontractors, agents, employees or delegates. CONSULTANT agrees that this indemnity shall be construed and applied in favor of indemnification. CONSULTANT also agrees that if applicable law limits or precludes any aspect of this indemnity, then the indemnity will be considered limited only to the extent necessary to comply with that applicable law. The stated indemnity continues until all applicable statutes of limitation have run.

If a claim arises within the scope of the stated indemnity, CITY may require CONSULTANT to:

- a. Furnish and pay for a surety bond, satisfactory to CITY, guaranteeing performance of the indemnity obligation; or
- b. Furnish a written acceptance of tender of defense and indemnity from CONSULTANT's insurance company.

CONSULTANT will take the action required by CITY within Fifteen (15) days of receiving notice from CITY.

15. Notwithstanding the foregoing, CITY reserves the right to immediately terminate this Contract if CONSULTANT is not in compliance with the insurance requirements contained herein and retains all rights to pursue any legal remedies against CONSULTANT.

SECTION II – CITY'S RESPONSIBILITIES

- A. CITY shall promptly compensate CONSULTANT as services are performed to the satisfaction of the CITY's Public Works Director/City Engineer, in accordance with Section III of this Contract.
- B. CITY shall provide access to any and all previously acquired information relevant to the scope of services detailed in Exhibit 1, attached hereto, in its custody to CONSULTANT for its use, at CONSULTANT's request.
- C. CITY will, to the fullest extent possible, grant access to and make all provisions for entry upon both public and private property as necessary for CONSULTANT's performance of the services detailed in Exhibit 1, attached hereto.
- D. David Bennett, P.E., CITY's Public Works Director/City Engineer, shall serve as the liaison person to act as CITY's representative with respect to services to be rendered under this Contract. Said representative shall have the authority to transmit instructions, receive instructions, receive information, interpret and define CITY's policies with respect to the Project and CONSULTANT's services. Such person shall be the primary contact person between CITY and CONSULTANT with respect to the services from CONSULTANT

under this Contract. CITY reserves the right to substitute the authorized contact person at any time and shall notify CONSULTANT thereof.

SECTION III – CONSIDERATION

- A. **Fees.** CITY will compensate CONSULTANT as detailed in Exhibit 3, Compensation, which is attached hereto and incorporated herein by reference, for CONSULTANT's performance of services under this Contract.
- B. If CITY fails to make any payment due CONSULTANT for services performed to the satisfaction of the CITY's Public Works Director/City Engineer and expenses within thirty days after the date of CONSULTANT's invoice, CONSULTANT may, after giving seven days written notice to CITY, and without waiving any claim or right against CITY and without incurring liability whatsoever to CITY, suspend services and withhold project deliverables due under this Contract until CONSULTANT has been paid in full all amounts due for services, expenses and charges.

SECTION IV – TERM AND TERMINATION

- A. **Term.** This Contract shall be in effect until such time as the Project is completed, October 31, 2018, or as otherwise provided in this Contract, whichever comes first.
- B. **Termination.** This Contract may be terminated by either PARTY for any reason or for convenience by either PARTY upon Seven (7) days written notice. In the event of termination, CITY shall be obligated to CONSULTANT for payment of amounts due and owing including payment for services performed or furnished to the date and time of termination, computed in accordance with Section III of this Contract.
- C. **Default.** If CONSULTANT fails to satisfy any of the provisions of this Contract, or so fails to perform and/or administer the services detailed in Exhibit 1, attached hereto, pursuant to the requirements of Section I of this Contract, in such a manner as to endanger the performance of the Contract or the services provided hereunder, this shall constitute default. Unless CONSULTANT's default is excused by CITY, CITY may, upon written notice, immediately cancel this Contract or exercise any other rights or remedies available to CITY under this Contract or law. In the event of CONSULTANT's default, CONSULTANT shall be liable to CITY for any and all costs, disbursements, attorneys and consultant fees reasonably incurred by CITY in enforcing this Contract.
- D. **Suspension of Work.** If any work performed by CONSULTANT is abandoned or suspended in whole or in part by CITY, CONSULTANT shall be paid for any services performed to the satisfaction of the CITY's Public Works Director/City Engineer prior to CONSULTANT's receipt of written notice from CITY of such abandonment or suspension, but in no event shall the total of CITY's payments to CONSULTANT under this Contract be required to exceed a percentage of the total contract price (calculated by either the Contract price or the maximum price set forth in Exhibit 3, attached hereto) equivalent to the percentage of the scope of services completed by CONSULTANT to the satisfaction of the CITY's Public Works Director/City Engineer as determined by CITY.

SECTION V – INDEMNIFICATION

- A. CONSULTANT shall indemnify, protect, save, and hold harmless CITY, and its respective officers, directors, employees and members and agents, from and against any claims, liability, damages, costs, judgments, or expenses, including reasonable attorney's fees, to the extent attributable to or caused by the negligent or otherwise wrongful acts or omissions, including breach of a specific contractual duty, of CONSULTANT or CONSULTANT's independent contractors, subcontractors, agents, employees, vendors or delegates with respect to this Contract or the Project. CONSULTANT shall defend CITY against the foregoing, or litigation in connection with the foregoing, at CONSULTANT's expense, with counsel reasonably acceptable to CITY, except that for professional liability claims, CONSULTANT shall have no upfront duty to defend CITY, but shall reimburse defense costs to CITY to the same extent of CONSULTANT'S indemnity obligation herein. CITY, at its expense, shall have the right to participate in the defense of any claims or litigation and shall have the right to approve any settlement, which approval shall not be unreasonably withheld. The indemnification provision of this Section shall not apply to damages or other losses proximately caused by or resulting from the negligence or willful misconduct of CITY. All indemnification obligations shall survive termination, expiration or cancellation of this Contract. CONSULTANT agrees, that in order to protect itself and CITY under the indemnity provisions set forth above, it will at all times during the term of this Contract keep in force policies of insurances required in the Paragraph entitled, "Insurance." Nothing in this Contract shall be construed to waive any immunities or limitations to which CITY is entitled under Minn. Stat. Chapter 466 or otherwise.
- B. CITY shall indemnify protect, save, and hold harmless CONSULTANT, and its respective officers, directors, employees and members and agents, from and against any claims, liability, damages, costs, judgments, or expenses, including reasonable attorney's fees, to the extent attributable to or caused by the negligent or otherwise wrongful acts or omissions of CITY or its agents, employees, contractors or subcontractors with respect to CITY's performance of its obligations under this Contract. CITY shall defend CONSULTANT against the foregoing, or litigation in connection with the foregoing, at CITY's expense. CONSULTANT, at its expense, shall have the right to participate in the defense of any Claims or litigation. The indemnification provision of this Section shall not apply to damages or other losses proximately caused by or resulting from the negligence or willful misconduct of CONSULTANT. All indemnification obligations shall survive termination, expiration or cancellation of this Contract.
- C. Nothing contained in this Contract shall create a contractual relationship with or a cause of action in favor of a third party against CITY or CONSULTANT. CONSULTANT's services under this Contract are being performed solely for CITY's benefit, and no other entity shall have any claim against CONSULTANT because of this Contract or the performance or nonperformance of services provided hereunder.

SECTION VI – GENERAL TERMS

- A. **Voluntary and Knowing Action.** The PARTIES, by executing this Contract, state that

they have carefully read this Contract and understand fully the contents hereof; that in executing this Contract they voluntarily accept all terms described in this Contract without duress, coercion, undue influence, or otherwise, and that they intend to be legally bound hereby.

- B. **Authorized Signatories.** The PARTIES each represent and warrant to the other that (1) the persons signing this Contract are authorized signatories for the entities represented, and (2) no further approvals, actions or ratifications are needed for the full enforceability of this Contract against it; each PARTY indemnifies and holds the other harmless against any breach of the foregoing representation and warranty.
- C. **Notices.** All notices and other communications required or permitted under this Contract shall be in writing, and hand delivered or sent by registered or certified mail, return-receipt requested, postage prepaid, or by overnight delivery service and shall be effective upon receipt at the following addresses or as either PARTY shall have notified the other PARTY. The PARTIES' representatives for notification for all purposes are:

CITY:

David Bennett, P.E.
Public Works Director/City Engineer
801 Washington Street
Northfield, MN 55057
Phone: 507-645-3006
Email: David.Bennett@ci.northfield.mn.us

CONSULTANT:

[Name]
[Position]
[Address]
Phone:
Email:

- D. **Dispute Resolution.** CITY and CONSULTANT agree to negotiate all disputes between them in good faith for a period of Thirty (30) days from the date of notice of dispute prior to proceeding to formal dispute resolution or exercising their rights under law.
- E. **Electronic/Digital Data.** Because of the potential instability of electronic/digital data and susceptibility to unauthorized changes, copies of documents that may be relied upon by CITY are limited to the printed copies (also known as hard copies) that are signed or sealed by CONSULTANT. Except for electronic/digital data which is specifically identified as a Project deliverable by this Contract or except as otherwise explicitly provided in this Contract, all electronic/digital data developed by CONSULTANT as part of the Project is acknowledged to be an internal working document for CONSULTANT's purposes solely and any such information provided to CITY shall be on an "as is" basis strictly for the convenience of CITY without any warranties of any kind. In the event of any conflict between a hard copy document and the electronic/digital data, the hard copy document governs. The electronic/digital data shall be prepared in the current software in use by

CONSULTANT and is not warranted to be compatible with other systems or software.

- F. **Independent Contractor Status.** CONSULTANT, at all times and for all purposes hereunder, shall be an independent contractor and is not an employee of CITY for any purpose. No statement contained in this Contract shall be construed so as to find CONSULTANT to be an employee of CITY, and CONSULTANT shall not be entitled to any of the rights, privileges, or benefits of employees of CITY, including but not limited to, workers' compensation, health/death benefits, and indemnification for third-party personal injury/property damage claims. CONSULTANT acknowledges that no withholding or deduction for State or Federal income taxes, FICA, FUTA, or otherwise, will be made from the payments due CONSULTANT, and that it is CONSULTANT's sole obligation to comply with the applicable provisions of all Federal and State tax laws. CONSULTANT shall at all times be free to exercise initiative, judgment and discretion as to how to best perform or provide services identified herein. CONSULTANT is responsible for hiring sufficient workers to perform the services/duties required by this Contract, withholding their taxes and paying all other employment tax obligations on their behalf.
- G. **Acceptance of Deliverables.** Each deliverable shall be subject to a verification of acceptability by CITY to ensure such deliverable satisfies stated requirements. The acceptability of any deliverable will be based on CITY's satisfaction or non-satisfaction with the deliverable based on requirements of this Contract. If any deliverable is not acceptable, CITY will notify CONSULTANT specifying reasons in reasonable detail, and CONSULTANT will, at no additional cost, conform the deliverable to stated requirements of this Contract.]
- H. **Subcontracting.** CONSULTANT shall not enter into any subcontract for performance of any services contemplated under this Contract without the prior written approval of CITY. CONSULTANT shall be responsible for the performance of all subcontractors and/or sub-consultants. As required by Minn. Stat. § 471.425, CONSULTANT must pay all subcontractors, less any retainage, within Ten (10) calendar days of CONSULTANT's receipt of payment from CITY for undisputed services provided by the subcontractor(s) and must pay interest at the rate of one and one half percent per month or any part of a month to the subcontractor(s) on any undisputed amount not paid on time to the subcontractor(s).
- I. **Assignment.** This Contract may not be assigned by either PARTY without the written consent of the other PARTY.
- J. **Modifications/Amendment.** Any alterations, variations, modifications, amendments or waivers of the provisions of this Contract shall only be valid when they have been reduced to writing, and signed by authorized representative of CITY and CONSULTANT.
- K. **Records—Availability and Retention.** Pursuant to Minn. Stat. § 16C.05, subd. 5, CONSULTANT agrees that CITY, the State Auditor, or any of their duly authorized representatives at any time during normal business hours and as often as they may reasonably deem necessary, shall have access to and the right to examine, audit, excerpt, and transcribe any books, documents, papers, records, etc., which are pertinent to the accounting practices and procedures of

CONSULTANT and involve transactions relating to this Contract. CONSULTANT agrees to maintain these records for a period of six years from the date of termination of this Contract.

- L. **Force Majeure.** The PARTIES shall each be excused from performance under this Contract while and to the extent that either of them are unable to perform, for any cause beyond its reasonable control. Such causes shall include, but not be restricted to fire, storm, flood, earthquake, explosion, war, total or partial failure of transportation or delivery facilities, raw materials or supplies, interruption of utilities or power, and any act of government or military authority. In the event either PARTY is rendered unable wholly or in part by force majeure to carry out its obligations under this Contract then the PARTY affected by force majeure shall give written notice with explanation to the other PARTY immediately.
- M. **Compliance with Laws.** CONSULTANT shall abide by all Federal, State and local laws, statutes, ordinances, rules and regulations now in effect or hereinafter adopted pertaining to this Contract or to the facilities, programs and staff for which CONSULTANT is responsible.
- N. **Covenant Against Contingent Fee.** CONSULTANT warrants that it has not employed or retained any company or person, other than a bona fide employee working solely for CONSULTANT to solicit or secure this Contract, and that it has not paid or agreed to pay any company or person, other than a bona fide employee, any fee, commission, percentage, brokerage fee, gift or any other consideration, contingent upon or resulting from award or making of this Contract.
- O. **Covenant Against Vendor Interest.** CONSULTANT warrants that it is not employed by any vendor of equipment or service provider that could result in a commission, percentage, brokerage, or contingent fee as a result of CONSULTANT's association with CITY.
- P. **Non-Discrimination.** The provisions of any applicable law or ordinance relating to civil rights and discrimination shall be considered part of this Contract as if fully set forth herein.
- Q. **Interest by City Officials.** No elected official, officer, or employee of CITY shall during his or her tenure or employment and for one year thereafter, have any interest, direct or indirect, in this Contract or the proceeds thereof.
- R. **Work Product.** All materials such as reports, exhibits, models, graphics, computer files, maps, charts, and supporting documentation produced under work authorized by this Contract ("Materials") shall become the property of CITY upon completion of the work. CITY may use the information for the Project for which they were prepared. Such use by CITY shall not relieve any liability on the part of CONSULTANT. Notwithstanding any of the foregoing to the contrary; (a) CONSULTANT may reuse standard details of its Materials in the normal course of its business; and (b) CITY understands that the Materials have been prepared for a specific project, and are not intended to be reused for other purposes. If CITY reuses the Materials for any other purpose, CITY waives any claims against CONSULTANT arising from such reuse and agrees to defend and indemnify CONSULTANT from any claims arising from such reuse.

- S. **Governing Law.** This Contract shall be deemed to have been made and accepted in Rice County, Minnesota, and the laws of the State of Minnesota shall govern any interpretations or constructions of the Contract without regard to its choice of law or conflict of laws principles.
- T. **Data Practices.** The PARTIES acknowledge that this Contract is subject to the requirements of Minnesota's Government Data Practices Act (Act), Minnesota Statutes, Section 13.01 *et seq.* CONSULTANT agrees to abide by the applicable provisions of the Act, HIPAA requirements and all other applicable state or federal rules, regulations or orders pertaining to privacy or confidentiality. CONSULTANT understands that all of the data created, collected, received, stored, used, maintained or disseminated by CONSULTANT in performing those functions that the CITY would perform is subject to the requirements of the Act, and CONSULTANT must comply with those requirements as if it were a government entity. This does not create a duty on the part of CONSULTANT to provide the public with access to public data if the public data is available from the CITY, except as required by the terms of this Contract.
- U. **No Waiver.** Any PARTY's failure in any one or more instances to insist upon strict performance of any of the terms and conditions of this Contract or to exercise any right herein conferred shall not be construed as a waiver or relinquishment of that right or of that PARTY's right to assert or rely upon the terms and conditions of this Contract. Any express waiver of a term of this Contract shall not be binding and effective unless made in writing and properly executed by the waiving PARTY.
- V. **Data Disclosure.** Under Minn. Stat. § 270C.65, Subd. 3 and other applicable law, CONSULTANT consents to disclosure of its social security number, federal employer tax identification number, and/or Minnesota tax identification number, already provided to CITY, to federal and state agencies and state personnel involved in the payment of CITY obligations. These identification numbers may be used in the enforcement of federal and state laws which could result in action requiring CONSULTANT to file state tax returns, pay delinquent state tax liabilities, if any, or pay other CITY liabilities.
- W. **Patented Devices, Materials and Processes.** If this Contract requires, or CONSULTANT desires, the use of any design, device, material or process covered by letters, patent or copyright, trademark or trade name, CONSULTANT shall provide for such use by suitable legal agreement with the patentee or owner and a copy of said agreement shall be filed with CITY. If no such agreement is made or filed as noted, CONSULTANT shall indemnify and hold harmless CITY from any and all claims for infringement by reason of the use of any such patented designed, device, material or process, or any trademark or trade name or copyright in connection with the services agreed to be performed under the Contract, and shall indemnify and defend CITY for any costs, liability, expenses and attorney's fees that result from any such infringement.
- X. **Mechanic's Liens.** CONSULTANT hereby covenants and agrees that CONSULTANT will not permit or allow any mechanic's or materialman's liens to be placed on CITY's interest in the Property that is the subject of the Project during the term hereof. Notwithstanding the previous sentence, however, in the event any such lien shall be so placed on CITY's interest, CONSULTANT shall take all steps necessary to see that it is removed within thirty (30) days of its being filed; provided, however, that CONSULTANT

may contest any such lien provided CONSULTANT first posts a surety bond, in favor of and insuring CITY, in an amount equal to 125% of the amount of any such lien.

- Y. **Severability.** The invalidity or unenforceability of any provision of this Contract shall not affect the validity or enforceability of any other provision. Any invalid or unenforceable provision shall be deemed severed from this Contract to the extent of its invalidity or unenforceability, and this Contract shall be construed and enforced as if the Contract did not contain that particular provision to the extent of its invalidity or unenforceability.
- Z. **Entire Contract.** These terms and conditions constitute the entire Contract between the PARTIES regarding the subject matter hereof. All discussions and negotiations are deemed merged in this Contract.
- AA. **Headings and Captions.** Headings and captions contained in this Contract are for convenience only and are not intended to alter any of the provisions of this Contract and shall not be used for the interpretation of the validity of the Contract or any provision hereof.
- BB. **Survivability.** All covenants, indemnities, guarantees, releases, representations and warranties by any PARTY or PARTIES, and any undischarged obligations of CITY and CONSULTANT arising prior to the expiration of this Contract (whether by completion or earlier termination), shall survive such expiration.
- CC. **Execution.** This Contract may be executed simultaneously in two or more counterparts that, when taken together, shall be deemed an original and constitute one and the same document. The signature of any PARTY to the counterpart shall be deemed a signature to the Contract, and may be appended to, any other counterpart. Facsimile and email transmissions of executed signature pages shall be deemed as originals and sufficient to bind the executing PARTY.

Remainder of page intentionally left blank.

SECTION VII –SIGNATURES

IN WITNESS WHEREOF, the PARTIES have hereunto executed this document the day and year first above written.

CONSULTANT: [Name]

By: _____
(Signature)

Title: _____

Print Name: _____

Date: _____

By: _____
(Signature)

Title: _____

Print Name: _____

Date: _____

CITY OF NORTHFIELD:

By: _____
Ben Martig; City Administrator

Date: _____

EXHIBIT 1

SCOPE OF SERVICES

Subject to the terms of this Contract, CONSULTANT shall perform the following services:

Included in the Operational Analysis and Facility Update Request For Proposals.

EXHIBIT 2

CERTIFICATES OF REQUIRED INSURANCE COVERAGES

[Certificates of Insurance attached hereto]

EXHIBIT 3

COMPENSATION

Subject to the limitations set forth in this Exhibit, CITY will compensate CONSULTANT in accordance with the schedule of fees below for the time spent in performance of services under this Contract, provided that under no circumstances shall CONSULTANT's total charges to CITY, including expenses, exceed \$_____ ("maximum price"), unless such charges in excess of the maximum price are authorized in writing by the Public Works Director/City Engineer before they are incurred by CITY.

CITY will make periodic payment to CONSULTANT upon billing at intervals not more often than monthly at the rates specified in the schedule of fees included herein, provided that no bill/invoice submitted to CITY shall exceed a percentage of the maximum price equivalent to the percentage of the scope of services completed by CONSULTANT to the satisfaction of the Public Works Director/City Engineer as determined by CITY.

CITY shall be entitled to withhold five percent (5%) of the maximum price until such time as CONSULTANT has fully performed the scope of services detailed in Exhibit 1 to the satisfaction of the Public Works Director/City Engineer.