

Request for Proposal

Strategic Planning Process and Facilitation

Winston-Salem/Forsyth County Utilities is launching a strategic planning process for the organization that will define its direction for the next three years. The successful consultant will design a process to solicit input from the diverse range of stakeholders that comprise the utilities' unique history.

Introduction

Winston-Salem/Forsyth County Utilities is governed by the Utility Commission. The Utility Commission was created on April 20, 1976, through a joint consolidation agreement between City of Winston-Salem and Forsyth County. Under the terms of the agreement, the Utility Commission operates all water and sewer facilities throughout the city and the county under policies established by the commission and subject to the provisions and guidelines of the agreement. The city and county amended the consolidated agreement in February 1990 to authorize the commission to provide solid waste disposal services and start a source reduction and recycling program.

The Winston-Salem/Forsyth County Utility Commission is an 11-member appointed body that oversees the publicly operated water, wastewater and solid waste facilities that serve Winston-Salem and Forsyth County. All decisions regarding the management of these facilities are delegated to the Commission by the Winston-Salem City Council and the Forsyth County Commissioners. Ownership and the responsibility for the disposal of these assets is the city's pursuant to the original 1976 agreement that consolidated the city and county utility systems.

The commission is responsible for:

- Overseeing the long-range planning, funding, operation and maintenance of water and wastewater treatment, water distribution and wastewater collection, and solid waste facilities;
- Setting rates, charging assessments, and providing improvements and extensions to utilities facilities;
- Reviewing utility extension policies and rate structures;
- Receiving comments and suggestions from the public and holding public hearings concerning matters under the authority of the commission; and
- Approving policies for all publicly owned water, wastewater, and solid waste disposal facilities.

Five members of the commission are appointed by City Council upon recommendation of the mayor; another five members are appointed by Forsyth County Board of Commissioners. The chairperson is appointed jointly by the mayor and the chairperson of the Forsyth County Board of Commissioners.

Funding to operate, maintain and extend water and sewer services comes from state loans, water and sewer user fees, assessments, interest earned on the commission's reserve funds, and from revenue bonds issued against the commission's revenue stream. Funds to operate and expand the solid waste disposal programs come from tipping fees and special obligation bonds approved by the City Council. The commission receives no financial support from property or sales taxes paid by citizens of Winston-Salem or Forsyth County. The Utility Commission has no authority to issue bonds or incur debts without prior approval from the City Council.



Call 311 or 336-727-8000

citylink@cityofws.org

City Council: Mayor Allen Joines; Vivian H. Burke, Mayor Pro Tempore, Northeast Ward; Denise D. Adams, North Ward; Dan Besse, Southwest Ward; Robert C. Clark, West Ward; John C. Larson, South Ward; Jeff MacIntosh, Northwest Ward; Derwin L. Montgomery, East Ward; James Taylor, Jr., Southeast Ward; City Manager: Lee D. Garrity

County Commissioners: David R. Plyler, Chairman; Don Martin, Vice Chair, Fleming El-Amin; Ted Kaplan; Richard V. Linville; Gloria D. Whisenhunt; Everette Witherspoon; County Manager: Dudley Watts, Jr.

City/County Utility Commission: Randall S. Tuttle, Chairman; Wesley Curtis, Jr., Vice-Chair; Harold E. Day; Tom Griffin; Yvonne H. Hines; Duane Long; Paul S. McGill; David Neill; Chris Parker; Jim Ruffin; Donald R. Stewart

The Commission and staff are committed to developing a new organization mission and scope of programmatic work. Current leadership feels the time is right to reappraise the organization's goals and objectives in light of its mission, and based on changes in recent years.

Operations

Winston-Salem/Forsyth County Utilities operates three water treatment facilities. The R.W. Neilson, P.W. Swann and R.A. Thomas water plants can treat 48 million, 25 million, and 18 million gallons per day, respectively. The Neilson and Swann plants draw water from separate intakes on the Yadkin River. The Thomas water plant draws water from Salem Lake and the Yadkin River via a raw water transmission main from the Neilson water plant.

During fiscal year 2016-17 the water treatment plants combined to treat and pump 13.2 billion gallons of water that met or exceeded all state and federal standards for drinking water quality which equates to an average daily demand of approximately 36.1 million gallons per day. The system serves a population of approximately 358,000 with a water distribution system that includes 2,322 miles of water distribution mains, 14 water tanks and seven pumping stations.

The Utilities Department operates two wastewater treatment plants. The Archie Elledge and Muddy Creek wastewater treatment plants have a combined treatment capacity of 51 million gallons per day. The collection system includes approximately 1,781 miles of sewer lines, 50 pumping stations and one chemical odor control station.

Staff works hard to meet or exceed the requirements mandated by the North Carolina Clean Water Act that regulates the collection system operations, and the national Pollutant Discharge Elimination System permits that regulate the operation of the treatment plants and the disposal of biosolids. During fiscal year 2016-17, the sewage plants treated 11.7 billion gallons of wastewater which equate to an average daily flow of 32 million gallons per day.

Winston-Salem/Forsyth County Utilities also manages a solid waste program and is responsible for operating Hanes Mill Road Municipal Solid Waste Landfill, Old Salisbury Road Construction and Demolition Landfill, and the Forum 52 and Overdale Yard Waste Composting Facilities. The program is also responsible for administering other waste management and recycling efforts, including managing multiple closed landfill sites, recycling of scrap tires and appliances, and a program that diverts household hazardous and electronic waste from landfill disposal.

All Utilities' facilities and programs are operated to deliver services as efficiently and effectively as possible and to meet or exceed regulatory standards and environmental protection criteria. The Utilities Department has 380 dedicated and experienced employees.

Specific Objectives

The objective of this project is to assist Winston-Salem/Forsyth County Utilities in producing a comprehensive three-year strategic plan that will:

- Describe the department's current conditions and operating environment (assessment of current program offerings and business model, stakeholder feedback, analysis of competitors, trend assessment, organizational strengths and challenges);
- Clearly identify the department's desired impact for the next three years;
- Clearly outline organizational objectives in all key program areas that will help to achieve the desired impact;
- Outline indicators of success to track progress on the objectives;
- Articulate the department's strengths and how it can strategically apply them to achieve the objective and desired impact;
- Identify strategic directions and partnerships and tools that will assist in assessing future opportunities;
- Identify the organizational capacity (at both the Board and staff level) that is required to successfully implement the chosen strategies and objectives; and
- Identify strategic ways to generate the revenue needed to meet the objectives.

Submission Details

If interested, please submit one electronic copy of a proposal in response to this RFP. The proposal should include the following information.

- Name and contact information and the names of any other participating consultants;
- Statement of qualifications to undertake this initiative;
- Summary of similar work conducted, highlighting specific accomplishments;
- A narrative description of the proposed process, activities and approach;
- Timeline for the work;
- Fee & budget (identifying anticipated expenses in addition to fees);
- Three business references;
- Copy of current resume(s);
- MWBE Affidavit of Minority Participation/Good Faith Efforts and any backup information (directions provided on pages 4-10).

Please submit proposals by **no later than 4:00 p.m., Tuesday, March 27, 2018**, to:

Courtney Driver
 Utilities Director
courtneyd@cityofws.org

All questions concerning this request for proposals or the scope of this work must be submitted **in writing only by 12:00 Noon, Tuesday, March 20, 2018**, and directed to Courtney Driver, courtneyd@cityofws.org.

Evaluation Criteria

All proposals received prior to the established due date/time will be evaluated and considered based on the completeness of the responses to the defined specifications. The City of Winston-Salem reserves the right to award this contract to the vendor deemed best suited to achieve the goals and desires outlined in this proposal.

Respondents will be evaluated for selection on the basis of the Proposer most qualified to meet the requirements of this RFP. Major criteria to be considered in evaluation may include, but shall not necessarily be limited to:

- **M/WBE Commitment (20%)** – Proposer’s efforts to comply with all the terms and conditions of the City of Winston-Salem’s Minority and Women Business Enterprise (M/WBE) Program through award of subcontracts to minority and women owned business enterprises and utilization of minority and women owned business enterprise suppliers to the fullest extent consistent with the efficient performance of this contract.
- **Local Business (Distance from Forsyth County) (20%)** - Proposer’s business location/distance from Forsyth County.
- **Proposed Plan of Action (25%)** – The proposed plan in which the proposer details the approach they would follow to carry out the project.
- **Work Experience (25%)** - The background, education, and experience of the respondent in providing similar services elsewhere, including and especially the level of experience in working with municipalities, and the quality of services performed. Determination that the selected respondent has no contractual relationships that would result in a conflict of interest to the City’s contract. Proposer should include a list of similar projects within the last seven (7) years that have been completed by the proposed project team.
- **Fee (10%)**

The following “Weighted Scale” will be used to evaluate each proposal

Evaluation Criteria	Weight
MWBE Commitment	20
Distance From Forsyth County	20
Proposed Plan of Action	25
Work Experience	25
Fee	10

**MINORITY/WOMEN BUSINESS ENTERPRISE (M/WBE)
PROGRAM PARTICIPATION**

**SPECIAL INSTRUCTIONS FOR PROPOSALS ESTIMATED TO COST LESS THAN \$100,000 REGARDING
COMPLIANCE WITH THE CITY OF WINSTON-SALEM'S AND/OR CITY/COUNTY UTILITY
COMMISSION'S MINORITY AND WOMEN BUSINESS ENTERPRISE (M/WBE) PROGRAM**

Policy

It is the policy of the City of Winston-Salem and/or the City/County Utility Commission (an agency of the City of Winston-Salem), that minority and women owned business enterprises shall have an equal opportunity to participate in the performance of contracts financed in whole or in part with City and/or Commission funds.

Obligation of Proposers

Proposers agree to use their best efforts to comply with all the terms and conditions of the City of Winston-Salem's and/or City/County Utility Commission's Minority and Women Business Enterprise (M/WBE) Program, as the same may be amended from time to time, through the award of subcontracts to minority and women owned business enterprises and utilization of minority and women owned business enterprise suppliers to the fullest extent consistent with the efficient performance of this contract. As used in this contract, the term "minority and women business" shall mean a company that is 51% or more owned and controlled by minority group members or women.

A **10%** goal for participation by minority and women-owned businesses has been established for this request for letters of interest. A proposer may meet this goal through the participation of M/WBE sub-consultants and/or through his/her own performance on the project if the proposer is a certified minority/woman-owned firm. If it is the normal practice of the proposer to perform all elements of this type of service with its own workforce and without the use of sub-consultants, the proposer must certify, by the submission of Affidavit B, that if they do employ any sub-consultants during the contract, they will be subject to the M/WBE goal established for this request for letters of interest. The utilization of M/WBE firms accounts for 20% of the evaluation and scoring, and will not be allocated to proposals in which an Affidavit B is submitted. A proposer may meet the 10% goal through the participation of M/WBE sub consultants and/or through their own performance on the project if the proposer is a certified minority and/or woman owned firm.

Firms are highly encouraged to consider any and all possibilities for M/WBE participation. A complete list of State of North Carolina HUB certified MBE's and WBE's is available at <https://www.ips.state.nc.us/vendor/searchvendor.aspx?t=h>. The 10% M/WBE goal may be satisfied by an entity that qualifies as a Minority Business Enterprise under N.C. General Statute 143-128, and that has been certified by the State of North Carolina. During the course of the contract successful consultant will be required to submit **Minority Documentation for Contract Payments, Affidavit F**, with each monthly pay application. Final payment will be withheld until the consultant completes and submits an **Affidavit of Payment to M/WBE Sub Consultants**. The City, however, at its discretion may require additional periodic reports. Final payment will be withheld until it has been determined that the goal percentages for M/WBE participation, previously agreed to by the successful consultant, have been confirmed by the City and/or Commission.

MWBE Documentation -Firms are required to include following documentation with the proposal. **Failure to do so will render your proposal as non-responsive:**

- Identification of Minority Business Participation- must be submitted with your letter of interest if your firm will employ any sub-consultants on this project; or
- Affidavit B - Intent to Perform Contract with Own Workforce, if the proposer intends to perform 100% of the work required for the contract without the use of sub-consultants.

Additional M/WBE Forms – To be utilized by the firm who is awarded the contract with the Owner Affidavit F - Minority Documentation for Contract Payments, M/WBE Replacement Request Form, and the Final Affidavit of Payment to M/WBE Sub-consultants.

Questions or inquires relative to City of Winston-Salem's Minority and Women Business Enterprise (M/WBE) Program must be directed to **Tiesha Hinton, Business Inclusion Manager** at tieshah@cityofws.org or phone 336-734-1262.

MUST BE SUBMITTED WITH PROPOSAL, IF APPLICABLE

AFFIDAVIT B

INTENT TO PERFORM CONTRACT WITH OWN WORK FORCE

County of _____

Affidavit _____
(Name of Firm)

I, hereby, certify that it is the intent of the aforesaid Firm to perform 100% of the work required for the contract:

(Name of Project)

In making this certification, the Proposer states:

- That the proposer does not customarily subcontract elements of this type project,
- Normally performs, has the capability to perform, and will perform all elements of the work on this project with his/her own current work force, and
- Agrees to provide any additional information or documentation requested by the City of Winston-Salem in support of the above statement.

The undersigned hereby certifies that he/she has read this certification and is authorized to bind the Proposer to the commitments herein contained.

Date: _____

Name of Officer: _____

Signature _____

Title _____

State of North Carolina, County of _____ Subscribed and sworn before me,

This _____ day of _____, 20____.

Notary Public _____ My commission expires _____

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In the event the Proposer does not self-perform 100% of the work, the contract will be subject to the M/WBE goals originally established for this project, as well as, good faith efforts and documentation requirements of this program. The utilization of M/WBE firms accounts for 20% of the evaluation and scoring, and will not be allocated to proposals in which an Affidavit B is submitted. A proposer may meet the 10% goal through the participation of M/WBE sub-consultants and/or through their own performance on the project if the proposer is a certified minority and/or woman-owned firm.

**THIS DOCUMENT MUST BE SUBMITTED
WITH EACH PAY REQUEST AND FINAL PAYMENT**

AFFIDAVIT "F"

MINORITY DOCUMENTATION FOR CONTRACT PAYMENTS

Prime Consultant: _____
 Address & Phone Number: _____
 Project Name: _____
 Pay Application Number: _____ Period: _____

The following is a list of payments to be made to minority business sub-consultants on this project for the above mentioned period.

Minority Firm Name and Address	Minority Category*	Amount Paid For This Period	Amount Paid To Date
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

* Minority Categories: Black, African American (B), Hispanic (H), Asian American (AA), American Indian (AI), Female (WF), Socially and Economically Disadvantaged (SE), and Disabled (D).

Date: _____ Approved/Certified by _____

In addition to the list of payments above, I hereby certify that no sub-consultant who was identified and listed on Affidavit A- Minority Participation/Good Faith Efforts Form, has been replaced without approval from the City of Winston-Salem's M/WBE Division.
 Note: Additional M/WBE's can be added for new work only. In this case, please notify M/WBE staff.

Name: _____
 Title: _____
 Signature _____

The above mentioned project is approximately _____ percent complete

MWBE Replacement Request Form

It is the policy of Winston-Salem and the City/County Utility Commission (an agency of the City of Winston Salem), that minority and women-owned business enterprises shall have an equal opportunity to participate in the performance of contracts financed in whole or in part with the City and/or Commission funds.

In accordance with the "Identification of Minority Participation Form", no sub-consultant who is identified and listed on this form may be replaced with a different sub-consultant unless: A) the sub-consultant's proposal is later determined by the consultant to be non-responsible or non-responsive, or the listed sub-consultant refuses to enter into a contract for the complete performance of the work, or B) With the approval of the City of Winston-Salem's M/WBE Division, good cause has been demonstrated. Prior to substituting a sub-consultant, the Consultant shall identify the substitute sub-consultant and inform the City of Winston-Salem's M/WBE Division of its good faith efforts; including the M/WBE Replacement Request Form.

In order to meet the terms stated above, an M/WBE Replacement Request Form must be completed. Replacement of an MWBE without written approval from the City of Winston Salem MWBE office is a violation of contract provisions and may result in the Consultant being disqualified from submitting proposals on future City and/or Commission projects.

If a committed MWBE sub-consultant is terminated for a good cause, the Consultant will make a Good Faith Effort to find another M/WBE sub-consultant to substitute for the terminated M/WBE. This Good Faith Effort shall be directed at finding another M/WBE to perform at least the same amount of work under the contract as the M/WBE that was terminated, to the extent needed to meet the contract goal established for the project.

Replacement M/WBE: _____

Amount of Subcontract: _____

Work to be performed: _____

New Committed M/WBE Signature: _____ **Date:** _____

By signing this document, the Consultant, M/WBE, and City of Winston Salem's M/WBE Division acknowledges that the 5 days to respond was given, and concurs with the process of replacing the named M/WBE sub-consultant.

Original M/WBE Signature (where possible) Date

Consultant Signature Date

M/WBE Staff Signature Date

INSTRUCTIONS FOR SUBMITTAL OF M/WBE REPLACEMENT REQUEST FORM

IN ADDITION TO SUBMITTING THIS FORM, THE CONSULTANT MUST ENSURE THAT THE FOLLOWING STEPS ARE SATISFIED.

1. Prior to starting the replacement process, the consultant is responsible for coordinating with the M/WBE sub-consultant to see if they are willing and able to perform the work as indicated in their contract. If the Consultant notices a reoccurring issue with an M/WBE sub-consultant, the Consultant shall notify the City of Winston Salem M/WBE staff and keep them abreast of the issues.

2. If the M/WBE sub-consultant cannot perform the work or if the Consultant shows good cause for replacement, M/WBE staff will coordinate with the Consultant to begin the M/WBE replacement process. M/WBE staff will coordinate with other City departments as appropriate.

(Examples of good cause include: M/WBE fails or refuses to execute a written contract; M/WBE fails or refuses to perform the work of its subcontract consistent with normal industry standards; M/WBE fails to meet reasonable, nondiscriminatory bond requirements; M/WBE becomes bankrupt, insolvent, or exhibits credit unworthiness; M/WBE is ineligible to work because of suspension and debarment proceedings; M/WBE voluntarily withdraws from the project and provides written notice; M/WBE owner dies or becomes disabled and is unable to complete its work; or other documented good cause that compels termination. Good cause does not exist where the Contractor terminates a committed M/WBE for failure or refusal to perform the work of the subcontract results from bad faith or discriminatory action of the prime consultant.)

3. Before requesting the City of Winston Salem's consent for the proposed termination/replacement of an M/WBE, the Consultant shall give written notice of the proposal, including the reason for termination/replacement, to the M/WBE firm with a copy to the City of Winston Salem M/WBE staff. The M/WBE shall be given **five days** to respond unless the five day requirement needs to be reduced, due to public necessity (e.g. safety).

4. After the notice period has passed, the M/WBE staff will ensure the Consultant has submitted all supporting documentation for the M/WBE replacement. Letters, phone logs, emails or any other correspondence between the Consultant, the M/WBE sub-consultant, and/or City staff will be considered supporting documentation. This documentation must provide valid reason(s) for replacement as well as the opportunity to correct the issue. Consultants cannot replace for convenience or perform the work with its own forces or those of an affiliate.

5. Once the Consultant is given approval by the City of Winston Salem M/WBE staff to replace an M/WBE sub-consultant, M/WBE staff will send notification to the City project manager and the City/County Purchasing Department for informational purposes.

6. Signature lines on form: Ideally, the form should contain the signature of the original M/WBE sub-consultant being replaced. However, if this is not possible (i.e. the M/WBE will not sign), the documentation supporting the decision and acknowledgement of the reasons for replacement of the M/WBE sub-consultant should be attached. The form shall also be signed by the replacement M/WBE to show their participation on the project as the new committed M/WBE.