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Criteria (from RFQ Advertisement)	Importance (points)	Lagoon Logistics			Allstate Consultants			Bartlett & West		
		Alderman May=M, Gish=G, Cole=G & Meyer=JM								
A) Specialized experience and technical competence	0-20	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___
B) Capacity and capability of the firm to perform work within time limitations	0-10	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___
C) Past record of performance – control of costs, quality of work, ability to meet schedules	0-10	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___
D) Firm's proximity to and familiarity with area	0-5	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___
E) Firm's professional experience in evaluating and designing wastewater systems	0-15	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___	M___G___ C___JM___
<b>Totals</b>		<b>0</b>			<b>0</b>			<b>0</b>		

### Example Questions to Consider During Ranking Review and/or Interviews

Did the firm follow instructions for the submittal? (Page number, summary, letter of introduction, etc.)

Did the firm provide the information requested for each category?

Did the firm provide the project manager's name and resume? Does this person have experience relative to your project?

Did the firm identify and clearly outline their capacity for the work and their capability. Capacity is about staffing levels and current projects, Capability is the training and experience of their staff.

Did the firm discuss the ability to perform the work in a timely manner? Can they meet the City's deadlines?

What is the firm's experience relative to cost control, quality of work (design, constructability, estimation of project costs), are projects designed and constructed in a reasonable time period?

Where are the engineers located? Is it close enough to avoid long drivetime or a tendency to conduct work remotely?

What is the firm's experience in designing the type of project the City has in mind, or upgrading what you have now?

What is the firm's procedure for quality assurance and quality control?

What is the firm's experience with change orders?

What is the firm's project team's length of service? How long have they worked for the firm?

### Example References Checks

**All references should be asked the same questions for each firm being researched.**

Check references for both the company and the project manager. The PMI's resume should have similar projects listed - call them

Is the project manager involved with day to day project work, or are they more of a traffic controller that checks in periodically?

Were the reference's expectations met regarding cost and completion date?

Was there turnover of engineering staff during your project? Was it handled well?

If the reference was for a study, was the project constructed?

What is the best thing that you can say about the firm?

What kept you up at night about the project?

What is the firm's communication style?

Scorer's Name:

Signature

EXHIBIT , continued

**(Complete the following if you DO NOT have the E-Verify documentation and a current Affidavit of Work Authorization already on file with the State of Missouri. If completing Box B, do not complete Box C.)**

**BOX B – CURRENT BUSINESS ENTITY STATUS**

I certify that City of Otterville (Business Entity Name) **MEETS** the definition of a business entity as defined in section 285.525, RSMo, pertaining to section 285.530.

Deborah Lake

Authorized Business Entity Representative's  
Name (Please Print)

Authorized Business Entity  
Representative's Signature

City of Otterville

Business Entity Name

6/24/2022

Date

dlake@ottervillemo.gov

E-Mail Address

As a business entity, the bidder/contractor must perform/provide each of the following. The bidder/contractor should check each to verify completion/submission of all of the following:

- ☒ Enroll and participate in the E-Verify federal work authorization program (Website: <http://www.uscis.gov/e-verify>; Phone: 888-464-4218; Email: [e-verify@dhs.gov](mailto:e-verify@dhs.gov)) with respect to the employees hired after enrollment in the program who are proposed to work in connection with the services required herein; AND
- ☒ Provide documentation affirming said company's/individual's enrollment and participation in the E-Verify federal work authorization program. Documentation shall include EITHER the E-Verify Employment Eligibility Verification page listing the bidder's/contractor's name and company ID OR a page from the E-Verify Memorandum of Understanding (MOU) listing the bidder's/contractor's name and the MOU signature page completed and signed, at minimum, by the bidder/contractor and the Department of Homeland Security – Verification Division. If the signature page of the MOU lists the bidder's/contractor's name and company ID, then no additional pages of the MOU must be submitted; AND
- ☒ Submit a completed, notarized Affidavit of Work Authorization provided on the next page of this Exhibit.

**AFFIDAVIT OF WORK AUTHORIZATION:**

The bidder/contractor who meets the section 285.525, RSMo, definition of a business entity must complete and return the following Affidavit of Work Authorization.

Comes now Deborah Lake (Name of Business Entity Authorized Representative) as Mayor (Position/Title) first being duly sworn on my oath, affirm City of Otterville (Business Entity Name) is enrolled and will continue to participate in the E-Verify federal work authorization program with respect to employees hired after enrollment in the program who are proposed to work in connection with the services related to contract(s) with the State of Missouri for the duration of the contract(s), if awarded in accordance with subsection 2 of section 285.530, RSMo. I also affirm that City of Otterville (Business Entity Name) does not and will not knowingly employ a person who is an unauthorized alien in connection with the contracted services provided under the contract(s) for the duration of the contract(s), if awarded.

*In Affirmation thereof, the facts stated above are true and correct. (The undersigned understands that false statements made in this filing are subject to the penalties provided under section 575.040, RSMo.)*

_____	<u>Deborah Lake</u>
Authorized Representative's Signature	Printed Name
<u>Mayor</u>	<u>6/24/2022</u>
Title	Date
<u>dlake@ottervillemo.gov</u>	_____
E-Mail Address	E-Verify Company ID Number

Subscribed and sworn to before me this \_\_\_\_\_ of \_\_\_\_\_. I am  
(DAY) (MONTH, YEAR)  
commissioned as a notary public within the County of \_\_\_\_\_, State of \_\_\_\_\_  
(NAME OF COUNTY)  
\_\_\_\_\_, and my commission expires on \_\_\_\_\_.  
(NAME OF STATE) (DATE)

_____	_____
Signature of Notary	Date



City of Otterville  
Applicant

EPG - 260 - 22  
SRF Project Number

Otterville CWERG  
Project Name

188113513  
DUNs Number

## **Certification Regarding Debarment and Suspension**

The prospective participant certifies to the best of its knowledge and belief that it and its principals:

- a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency (Status can be checked on the System for Award Management (SAM) located on the Internet at <https://www.sam.gov/portal/public/SAM/>);
- b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- d) Have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

I understand that a false statement on this certification may be grounds for rejection of this proposal or termination of the award.

Deborah Lake, Mayor  
Typed Name & Title of Authorized Representative

\_\_\_\_\_  
Signature of Authorized Representative

6/24/2022

\_\_\_\_\_  
Date

\_\_\_\_ I am unable to certify to the above statements. My explanation is attached.

## Instructions

The Clean Water State Revolving Fund and the Drinking Water State Revolving Fund (SRF) program receives assistance from the federal government and the funds provided to a community constitute a subagreement. Accordingly, each prospective recipient of an SRF grant, loan, or cooperative agreement and any contractor or subcontractor must agree to fully comply with Executive Order 12549, 2 CFR Part 180, and 2 CFR Part 1532 regarding Debarment and Suspension.

The prospective SRF grant, loan, or cooperative agreement recipient should return the signed certification or explanation with its application to:

Missouri Department of Natural Resources  
Water Protection Program  
Financial Assistance Center  
PO Box 176  
Jefferson City, MO 65102-0176

The recipient of SRF funding should also obtain a certification from their consulting engineer and prime contractor. The funding recipient shall also check the status on the System for Award Management (SAM) located on the Internet at <https://www.sam.gov/portal/public/SAM/>.

Each prospective subcontractor should submit a completed certification or explanation to the prime contractor for the project.



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EPA Project Control Number

## CERTIFICATION REGARDING LOBBYING

### CERTIFICATION FOR CONTRACTS, GRANTS, LOANS AND COOPERATIVE AGREEMENTS

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31 U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**Deborah Lake, Mayor**

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Typed Name & Title of Authorized Representative

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Signature and Date of Authorized Representative

The public reporting and recordkeeping burden for this collection of information is estimated to average 15 minutes per response. Send comments on the Agency's need for this information, the accuracy of the provided burden estimates, and any suggested methods for minimizing respondent burden, including through the use of automated collection techniques to the Director, Collection Strategies Division, U.S. Environmental Protection Agency (2822T), 1200 Pennsylvania Ave., NW, Washington, D.C. 20460. Include the OMB control number in any correspondence. Do not send the completed form to this address.



# Procurement of Architectural and Engineering Services with DBE Certification Form

Project Name: Otterville CWERG

FAC Project No.: EPG - 260- 22

Missouri Law (Sections 8.285 to 8.291, RSMo) requires that political subdivisions of the State, such as counties, municipalities, and water or sewer districts procuring professional design and engineering services follow a qualifications based selection process.

Federal Law (2 C.F.R. Part 200 Subpart D Procurement Standards) requires that federal funding recipients must have and use documented procurement procedures, consistent with State, local, and tribal laws and regulations and the standards of this section, for the acquisition of property or services required under a Federal award or sub-award. The non-federal entity's documented procurement procedures must conform to the procurement standards identified in §200.317 through 200.327.

Federal Law (40 C.F.R. Part 33) requires that federal funding recipients entering into contracts to seek and encourage bids from Disadvantaged Business Enterprises (DBEs). DBEs are for-profit small businesses with at least 51 percent ownership by socially and economically disadvantaged individuals who also control management and daily business operations.

The Missouri Department of Natural Resources' Financial Assistance Center intends applicants seeking financial assistance to use this form in documenting that proper procurement of professional design and engineering services and a good faith effort to solicit DBEs for their project has occurred.

Applicants are required to certify all of the following:

- ☒ Made a good faith effort to seek the most-qualified firm for professional services, by seeking a Request for Qualifications (RFQ) from 3-5 firms (see attached example). Allow at least 30 days for the solicitation period. Check your local phone directory, search the internet, or visit [www.acecmo.org/membership/acecmo-directory/](http://www.acecmo.org/membership/acecmo-directory/) to find engineering firms.  
☐ RFQ attached
- ☒ Evaluated the proposals or qualifications and selected a firm based on professional competency, past performance, specialized experience, and other factors deemed critical for success of the project.
- ☒ Followed the DBE six good faith efforts for procurement of engineering services.
- ☒ Used a documented procurement procedure consistent with State, local, and tribal laws and regulations and the standards identified in 2 C.F.R. §200.317 through 200.327.

**Deborah Lake, Mayor**

Name and Title of Authorized Representative (Please Print or Type)

Signature of Authorized Representative

6/24/22

Date

4C

- “Lead Status Unknown” where the service line material is not known to be lead, galvanized requiring replacement, or a non-lead service line, such as where there is no documented evidence supporting material classification. The water system may classify the line as “Unknown” as an alternative to classifying it as “Lead Status Unknown”, however, all requirements that apply to “Lead Status Unknown” service lines must also apply to those classified as “Unknown”. Water systems may elect to provide more information regarding their unknown lines as long as the inventory clearly distinguishes unknown service lines from those where the material has been verified through records or inspection.
- Water systems must update the inventory based on all applicable sources described in these requirements and any lead service line replacements or service line material inspections that may have been conducted. The water system may use other sources of information if approved by the state. Water systems must submit the updated inventory to the state. The inventory updates must be reflected in the publicly accessible inventory when submitted to the state.
  - Water systems whose inventories contain only non-lead service lines (both the public water systems and private) are not required to provide inventory updates to the state or to the public. However, if in the future, such a water system finds “lead” within its system, it must prepare an updated inventory on a schedule established by the state.



#### Lead Service Line Inventory Scoring Criteria

<b>AFFORDABILITY AND FINANCIAL CAPABILITY</b>	
<b>Total population of project area</b>	
Population 3,300 or less	15 points
Population of 3,301 to 7,500	10 points
Population of 7,501 to 20,000	5 points
Population > 20,000	0 points
<b>Comparison of project area unemployment rate with state average</b>	
Unemployment Rate > 5.6%	10 points
Unemployment Rate > 4.6% and ≤ 5.6%	5 points
Unemployment Rate ≤ 4.6%	0 points
<b>Comparison of project area percent households in poverty with state average</b>	
Households in Poverty > 18.7%	10 points
Households in Poverty > 13.7% and ≤ 18.7%	5 points
Households in Poverty ≤ 13.7%	0 points
<b>Percent of project area population with Low- and Moderate-Income (LMI)</b>	
LMI at or above 51%	10 points
LMI below 51%	0 points
<b>Comparison of project area Median Household Income (MHI) with state average</b>	
MHI at or below \$42,108.75	10 points
MHI above \$42,108.75	0 points



<b>Qualified Census Tract contains 50% or more of population served by the project</b>	
Yes, 50% or more of the population served is within a Qualified Census Tract (QCT)	10 points
No, less than 50% of the population served is in a Qualified Census Tract (QCT)	0 points
<b>System's outstanding debt</b>	
Yes, the applicant's system has outstanding debt for the water system	5 points
No, the applicant's water system has no outstanding debt	0 points
<b>Applicant's local share</b>	
Local Share is > 20%	5 points
Local Share is > 10% and ≤ 20%	3 points
Local Share is > 1% and ≤ 10%	2 points
Local Share is \$1 up to > 1%	0 points
<b>PROJECT NEED</b>	
<b>Applicant has service lines that have not been replaced since 1989</b>	
Yes, applicant has service lines that pre-date 1989	5 points
No, applicant does not have lines that pre-date 1989	0 points
<b>Applicant has a system in place for addressing lead service lines</b>	
Yes, applicant has a system in place	5 points
No, applicant does not have a system in place	0 points
<b>Applicant has had Action Level/Trigger Level Exceedances for Lead over the last 5 years</b>	
Yes, applicant has had exceedances over last 5 years	5 points
No, applicant has not had exceedances over last 5 years	0 points

47 out of possible  
90

4c

- Development of watershed projects;
- Planning activities, such as energy audits and optimization studies;
- Planning measures related to security, excluding vulnerability assessments and contingency/emergency response plans that are part of the project development process for a construction project;
- Individual grants for work on one private septic system including the installation, repair, or replacement of unit; and
- Clean water development and implementation of incentive and educational programs that address and promote water conservation, source water protection, and efficiency related to infrastructure improvements.

### Wastewater Scoring Criteria

AFFORDABILITY AND FINANCIAL CAPABILITY		
Total population of project area		
Population 3,300 or less	15 points	354
Population of 3,301 to 7,500	10 points	
Population of 7,501 to 20,000	5 points	
Population > 20,000	0 points	
Comparison of project area unemployment rate with state average		
Unemployment Rate > 5.6%	10 points	8.6%
Unemployment Rate > 4.6% and ≤ 5.6%	5 points	
Unemployment Rate ≤ 4.6%	0 points	
Comparison of project area percent of households in poverty with state average		
Households in Poverty > 18.7%	10 points	15.10%
Households in Poverty > 13.7% and ≤ 18.7%	5 points	
Households in Poverty ≤ 13.7%	0 points	
Percent of project area population with Low- and Moderate-Income (LMI)		
LMI at or above 51%	10 points	45%
LMI below 51%	0 points	
Comparison of project area Median Household Income (MHI) with state average		
MHI at or below \$42,108.75	10 points	\$32,404
MHI above \$42,108.75	0 points	
Current User Rates in project area as percentage of MHI		
User Rates ≥ 2% MHI      If rates are above \$54	15 points	
User Rates 1.5% to < 2%      If rates are above \$40.50	10 points	
User Rates 1% to < 1.5%	5 points	
User Rates < 1% MHI	0 points	
Disadvantaged (MHI ≤ 75% of state MHI, User Charge ≥ 2% of MHI, & ≤ 3,300 people)		
Disadvantaged (must meet all 3 requirements)	10 points	
Not Disadvantaged	0 points	
Qualified Census Tract contains 50% or more of population served by the project		
Yes, 50% or more of the population served is within a Qualified Census Tract (QCT)	10 points	
No, less than 50% of the population served is in a Qualified Census Tract (QCT)	0 points	



<b>System's outstanding debt</b>	
Yes, the applicant's system has outstanding debt for the sewer system	5 points
No, the applicant's sewer system has no outstanding debt	0 points
<b>Applicant's local share</b>	
Local Share is > 20%	5 points
Local Share is > 10% and ≤ 20%	3 points
Local Share is > 1% and ≤ 10%	2 points
Local Share is \$1 up to > 1%	0 points
<b>PROJECT NEED</b>	
<b>The project is to meet new permit conditions or bring non-compliant infrastructure into compliance</b>	
The system is under enforcement	10 points
The system is non-compliant but not under enforcement	5 points
The project will not affect a compliance issue	0 points
<b>Proposed improvements likely to directly affect a source of waterbody impairment (TMDL/303d)</b>	
Yes, improvements will directly affect source of impairment	5 points
No, improvements will not directly affect source of impairment	0 points
<b>Project will replace/improve infrastructure that is past its useful life/significantly deteriorated</b>	
Yes, project directly affects deteriorated/aged infrastructure	5 points
No, project does not directly affect deteriorated/aged infrastructure	0 points
<b>Engineering Report</b>	
<b>Progress has been made towards finalizing an engineering report or one is not required for project</b>	
Engineering report is complete/is not required for this project [10 CSR 20-6.010(4)(B)]	5 points
Engineering report is required and is not complete	0 points

not really aged, if we are replacing the system that didn't work

we will have to update the report ASAP, but can make it happen

100 points scored out of 125 possible  
Most communities are scoring less than 60



4d

**RESOLUTION OF GOVERNING BODY OF APPLICANT**

**RESOLUTION NO. 6-2022**

(Suggested Form for Applicant use)

Resolution authorizing the filing of an application with the Missouri Department of Natural Resources, Financial Assistance Center's State ARPA Grant Programs for subaward of federal financial assistance provided to the State of Missouri by the U.S. Department of the Treasury ("Treasury") pursuant to Section 602(b) of the Social Security Act, as added by Section 9901 of the American Rescue Plan Act, (Pub. L. No. 117-2 (March 11, 2021), 135 Stat. 4, 223-26.

WHEREAS under the terms of section 602(c) of the Act and Treasury's regulations, the State of Missouri has authorized the making of grants to authorized applicants to aid in the completion of specific public projects.

NOW, THEREFORE, be it resolved by City of Otterville

*(governing body of applicant)*

1. That Deborah Lake *(designated official)* be and he/she is hereby authorized to execute and file an application(s) on behalf of City of Otterville *(legal name of applicant)* with the State of Missouri for grant funding to aid in the completion of: a lead service line inventory, or a drinking water, wastewater, and/or a stormwater project.
- Inventory of lead service lines as well as rehab our out of compliance wastewater treatment plant. *(Brief description of project(s)).*

2. That Deborah Lake *(name of authorized official)* Mayor *(Title)* is hereby authorized and directed to furnish such information as the Missouri Department of Natural Resources may reasonably request in connection with the application which is herein authorized, to sign all necessary documents on behalf of the applicant, to furnish such assurances to the Missouri Department of Natural Resources as may be required by law or regulation, and to receive payment on behalf of the applicant.

**CERTIFICATE OF RECORDING OFFICER**

The undersigned, duly qualified and acting City Clerk *(title of officer)* of the

City of Otterville *(legal name of applicant)*, does hereby certify: That the attached resolution is a

true and correct copy of the resolution adopted at a legally convened meeting of the City of Otterville Board of Alderman *(name of the governing body of applicant)* held on the 24th day of June, 2022;

and further that such resolution has been fully recorded in the journal of proceedings and records in my office. IN WITNESS WHEREOF, I have hereunto set my hand this 24th day of June, 2022.

SEAL (If applicant has an official seal, impress here.)

City Clerk *(signature of recording officer)*

*(title of recording officer)*