



City of Greenville and Greenville Utilities Commission

Greenville, North Carolina

**Request for Proposals
RFP#24-25-50
for
Employee Classification and Compensation Study**

Release Date:

June 18, 2025

Submittal Deadline:

Wednesday, July 9, 2025 – 5:00 p.m. Eastern Standard Time (EST)

1.0 INTRODUCTION

This document constitutes a Request for Proposals (RFP), via sealed proposals, from qualified individuals or organizations to perform the Scope of Work set forth herein.

Organization – This document is divided into the following parts:

- 1) Introduction
- 2) Instructions and General Conditions
- 3) Description of Organizations
- 4) Scope of Services
- 5) Scope of Work
- 6) Proposal Submission Information
- 7) Evaluation and Award Process
- 8) Attachment 1 – Qualifications of Consultant
- 9) Attachment 2 – Professional References
- 10) Attachment 3 – Consultant Registration Form and Disclosure
- 11) Attachment 4 – Title VI of the Civil Rights Act of 1964 Nondiscrimination Provisions
- 12) Attachment 5 – MWBE Guidelines for Professional Service Contracts
- 13) Attachment 6 – City of Greenville Organizational Chart
- 14) Attachment 7 – Greenville Utilities Commission Organizational Chart

2.0 INSTRUCTIONS AND GENERAL CONDITIONS

- 2.1 **Delivery of Proposals:** Sealed proposals, subject to Instructions and General Conditions and any special conditions set forth herein, must be in the actual possession of the Human Resources Department at the City of Greenville on or before the proposal closing date and time indicated herein for furnishing the City of Greenville and Greenville Utilities Commission with services as detailed in the following request for proposal.
- a. Proposal Closing: All proposals shall be delivered before **5:00 p.m. Eastern Standard Time (EST) on Wednesday, July 9, 2025.**
 - b. Proposals received after the above listed time and date will be disqualified.
 - c. Proposals must include two (2) originals, and six (6) copies of the proposal (total of eight).
 - d. Proposals must be submitted in a sealed envelope properly addressed to the City of Greenville and Greenville Utilities, Human Resources Departments and clearly marked with 1) Request for Proposal for Employee Classification and Compensation Study and 2) Consultant's name and address on the envelope. All proposals must be typewritten.
- 2.2 **Guideline for Written Questions:** Any questions relating to the Request for Proposals shall be e-mailed to both of the contact persons whose names appear below no later than Friday, June 27, 2025 at 5:00 p.m. **Please insert RFP# 24-25-50 in the subject line.** All such questions will be answered in writing and such answers will be provided to all parties having obtained a Request for Proposal packet by the City of Greenville and Greenville Utilities Commission.

Contact Persons: Leah B. Futrell, Director of Human Resources
City of Greenville
P.O. Box 7207
Greenville, North Carolina 27835
lfutrell@greenvillenc.gov

Richie R. Shreves, Director of Human Resources
Greenville Utilities Commission
P.O. Box 1847
Greenville, North Carolina 27835
shreVERR@guc.com

3.0 DESCRIPTION OF ORGANIZATIONS

3.1 City of Greenville:

The City of Greenville is a full-service City, with a seven-member City Council operating under the Council-Manager form of government. Greenville is the county seat of Pitt County and the 12th-most populous city in North Carolina. The 14 City departments include Police, Fire/Rescue, Public Works, Engineering, Recreation and Parks, Planning and Development Services, Neighborhood and Business Services, Human Resources, Financial Services, Information Technology, Project Management, City Manager, City Attorney, and City Clerk. The City of Greenville is located 85 miles east of Raleigh, North Carolina and employs 841 full-time employees, 5 designated part-time employees, and 325 general part-time employees. Also under the City's pay plan are employees of two sister agencies:

- a. Library: 49 employees
- b. Convention & Visitors Bureau: 7 employees

3.2 Greenville Utilities Commission:

Greenville Utilities Commission manages the public utilities of the City of Greenville by providing electric, water, wastewater, and natural gas services for the citizens of the City of Greenville and 75% of Pitt County, serving a combined total of nearly 168,000 customer connections. Greenville Utilities Commission employs 480 full-time employees and 7 designated part-time employees. Greenville Utilities is governed by an eight-member Board of Commissioners. The 8 GUC departments include Administration, Customer Relations, Electric, Finance, Gas, Human Resources, Information Technology, and Water Resources.

4.0 SCOPE OF SERVICES

4.1 Project Description:

The City of Greenville and Greenville Utilities Commission maintain a joint classification and pay plan. The City and Greenville Utilities seek a highly qualified consulting firm having experience in the area of local government and public utility personnel systems for completion of a comprehensive Classification and Compensation Study (“Study”).

It is the goal of the City of Greenville and Greenville Utilities Commission to continue to offer a fair, efficient, and competitive classification and compensation plan that can be administered by trained staff in the Human Resources Departments. The Study will assist in the development and implementation of a classification and compensation plan that will enable the City of Greenville and Greenville Utilities Commission to competitively recruit new employees, retain current employees, and motivate and reward outstanding employee job performance.

The goals for this project are to update the current classification and compensation plan to reflect competitive and equitable pay for each position based on:

- A market analysis of similar positions in comparable jurisdictions locally, statewide, regionally, and/or nationally depending on the recruitment market for the various position groupings;
- A market analysis of similar positions in the private and non-profit sectors in relevant labor markets; and
- An internal equity review and analysis among comparable positions within the City of Greenville and Greenville Utilities Commission.

4.2 Background Information:

The last comprehensive joint classification and compensation Study was completed by a consultant in 2009 and implemented in 2011. This was accomplished through the use of job analysis methodology. Employees and supervisors completed position questionnaires, which were then evaluated and analyzed along with pay data collected from other public and private employers. The market-based pay plan was last updated in 2022. Each of the existing pay plans for the City of Greenville and Greenville Utilities Commission include ranges with a minimum, midpoint, and maximum salary for each. On the City’s pay plan, an additional pay matrix is used for the hourly pay rates for those

positions subject to a 56-hour per week work schedule. There are a total of 243 classification titles on the City's pay plan and 236 on the Utilities' pay plan.

The City of Greenville and Greenville Utilities Commission utilize merit pay and annual consideration for across-the-board market adjustments to the pay plan in the administration of its pay plans. Performance pay is tied to employee performance and based on merit guidelines. The mid-point of the pay range is considered the "market rate". Merit increases are available to employees depending on their evaluation rating, placement in the pay range, and availability of funds for the merit pool.

The fiscal year for the City of Greenville and Greenville Utilities Commission begins July 1st. Budget preparation begins each December. The Greenville Utilities Commission budget is approved by the Greenville Utilities Commission's Board and recommended for inclusion in the proposed City of Greenville budget which is delivered to the City Council of the City of Greenville by mid-May for approval in June.

5.0 SCOPE OF WORK

The City of Greenville and Greenville Utilities Commission will expect the Consultant to perform the services noted below. Each proposal will address each of the items listed below:

Classification Plan

1. Meet with designated staff members to validate scope of services, methodology, timeliness, and other deliverables.
2. Develop a classification Study that reflects the City of Greenville's and Greenville Utilities Commission's overall classification and compensation strategy and includes the clear definition of terms and the development of career ladders for full-time classifications and, in some cases, designated part-time classifications.
3. Review the background materials including organizational charts and related information.
4. Conduct orientation and briefing session(s) with employees, supervisors, managers, and department heads.
5. Design an appropriate job questionnaire for distribution to employees. The form should be available in both hard-copy and in electronic format.
6. Upon receipt of completed questionnaires, conduct interviews with a representative sample of employees and appropriate supervisory and management personnel to confirm content accuracy and resolve inconsistencies.
7. Allocate all employees included within the scope of the Study to an appropriate job title, job class, and FLSA exempt/non-exempt designation.
8. Update job descriptions to uniformly reflect the distinguishing characteristics, essential job functions, minimum qualifications, working conditions, and certification/license/registration requirements for classification as needed.
9. Attend meetings as required.

Compensation Plan

1. Identify survey labor market and benchmark classes used for market analysis.
2. Conduct a comprehensive compensation search utilizing other similar public- and private-sector employers as well as utilities. Data may be from reputable published salary surveys and should be identified as such in the summary report

of findings. Benchmark employers and surveys used for this Study must be pre-approved by the City of Greenville and Greenville Utilities Commission.

3. Complete internal salary relationship analysis, including the development of appropriate internal relationship guidelines.
4. Develop externally competitive and internally equitable salary recommendations for each class included within the Study in order to maintain appropriate competitive position in relation to other employers within the region.
5. Assign a salary range to each classification which reflects the results of the market survey and the analysis of internal relationships.
6. Present survey results to management for discussions and decisions on overall pay philosophy and the feasibility of acceptance.
7. As needed, recommend appropriate premium pay options to supplement the compensation plan. Examples may include pay for certifications, professional licenses, special skills, temporary “acting” assignment at higher level duties, pay alternatives for exempt level workers not normally eligible for overtime, and similar pay practices.
8. Recommend implementation strategies including calculating the cost of implementation.
9. Conduct a compression analysis to identify any extreme current individual or group compensation inequities and provide a recommended corrective action plan and process to remedy these situations.
10. Provide system documentation and computer formats/software to administer compensation plan.
11. Present data-driven rationale for recommendations in written report, and present findings in report form and orally as needed to the management teams at the City of Greenville and Greenville Utilities, to the joint internal Pay and Benefits Committee, and to the Greenville Utilities Commission’s Board and the City Council.
12. Develop a comprehensive employee communications plan to explain the process and final recommendations, including provisions for response to individual questions.
13. Provide training to human resources staff and to management from each department on the utilization and maintenance of the system.

14. Provide the necessary documentation, including the job questionnaires, and other materials so the City of Greenville and Greenville Utilities will be able to maintain the system in consultation with the consultant following the implementation of the plans.
15. Attend meetings as required.

6.0 PROPOSAL SUBMISSION INFORMATION

6.1 Submission of Proposals:

Two (2) originals and six (6) copies of the proposal should be submitted.

- a. Human Resources Department
City of Greenville
ATTN: Leah Futrell, Director of Human Resources
200 W. Fifth Street
Greenville, NC 27858
- b. The proposals must be delivered no later than 5:00 p.m. Eastern Standard Time (EST) on Wednesday, July 9, 2025. Proposals will not be accepted after this date and time.

6.2 To facilitate the evaluation process, proposals shall be organized into distinctive sections that correspond with the individual evaluation categories described herein.

6.3 Proposals shall include information related to the evaluation categories. The City of Greenville and Greenville Utilities Commission are under no obligation to solicit such information if it is not included with the proposal.

6.4 Required Documents:

- a. The complete proposal, including a cost breakdown for consulting services, travel, and other expenses and proposed timeline to complete the scope of work.
- b. Completed Qualifications of Consultant form (Attachment 1)
- c. List of references (Attachment 2)
- d. Completed and signed Consultant Application and Disclosure Statement (Attachment 3)
- e. MWBE Forms (Attachment 5)

Failure to provide required documents will result in disqualification of the proposal.

6.5 The proposal shall specifically identify such information considered to be proprietary or confidential.

7.0 EVALUATION AND AWARD PROCESS

7.1 The capability and the requisite experience and expertise of the Consultant to provide services for the City of Greenville and Greenville Utilities Commission in accordance with the provisions and requirements set forth herein will be evaluated by a joint selection committee.

7.2 The following criteria will be used to evaluate all proposals:

a. Responsiveness

1. Determined by the Consultant's demonstration of a method of approach that fully meets all terms and conditions of the RFP and Scope of Work.

b. Expertise and Reliability

1. Determined by the submission of references and positive reference checks demonstrating the Consultant's success with similar projects.
2. Consideration of all accreditation and ratings of service or products by nationally accepted rating or accrediting agencies.
3. Professional memberships and certifications.
4. Years of classification and compensation experience within public sector, local government, and utility sectors.

c. Service Factors

1. Determined by the provision of personnel with requisite skill and expertise to deliver proposed services.
2. The depth of services the Consultant proposes to deliver.
3. Access to the Consultant defined in terms of hours and days available, ease of contact, and guaranteed response times.
4. A demonstrated plan of action for the Consultant to acquire the services of subject matter experts in the areas that are identified as necessary to this proposal.

d. Completeness of Proposal

1. Consultant submits proposal which includes all required documents and a work plan that thoroughly meets the Scope of Work and all terms and conditions.
 - e. Access and Ease of Use
 1. The Consultant demonstrates the requisite availability and ability to complete projects within required time dates.
 - f. Flexibility
 1. The proposal demonstrates the flexibility to facilitate anticipated and unanticipated future process changes that are based on best practices.
 - g. Availability of Staff
 1. Staff members are made available to the City of Greenville and Greenville Utilities Commission.
 2. The available staff members shall have the requisite knowledge of the proposal to provide required information and have the requisite authority to agree and act upon the City of Greenville and Greenville Utilities Commission instructions.
 - h. Cost
 1. Cost will be evaluated for budget constraints, method of costing, method of pricing, and comparisons of cost in relation to other competitive proposals.
 - i. Time
 1. The intent is that the recommendations of the proposal be implemented at the beginning of fiscal year 2025/2026 (i.e., July 1, 2026).
- 7.3 Members of a joint internal selection committee will evaluate each submitted proposal to determine those firms who may be invited for an interview or presentation at the consultant's expense. The selection committee will select the consultant.

QUALIFICATIONS OF CONSULTANT

1. State the full name and home and regional office address of your organization. Describe your organizational structure (e.g. publicly held corporation, private non-profit, partnership, etc.). If it is incorporated, include the state in which it is incorporated. List the name and occupation of those individuals serving on your organization's board of directors, and list the name of any entity or person owning 10% or more of your organization.
2. List the name, title, mailing address, telephone number, and e-mail address of the contact person for this proposal.
3. Confirm that you are a licensed consultant in the state of North Carolina with the capacity to provide classification and compensation management consulting. Provide documentation.
4. Describe your company's organization, philosophy, management and provide a brief history. Describe your contractual relationships, if any, with organizations necessary to your proposal's implementation.
5. How long has your organization been providing consulting services?
6. Detail your accomplishments in developing and implementing classification and compensation plans for public-sector employers, particularly local government employers and utilities.
7. Identify any past, pending, or threatened litigation or administrative or state ethics board or similar body proceedings to which you, your firm, or any of your employees are or have been a party during the last five (5) years.
8. Describe the issues and challenges, as you view them, facing the City of Greenville and Greenville Utilities Commission Classification and Compensation Plan in the upcoming five (5) years and describe how your organization can assist the City of Greenville and Greenville Utilities Commission. What differentiates your organization from other organizations that may submit proposals for the City of Greenville and Greenville Utilities Commission?
9. Provide a copy of the sample of the invoice that would be used to report and bill for work performed.
10. The City of Greenville and GUC have adopted an Affirmative Action and Minority and Women Business Enterprise Plan (M/WBE) Program. Firms submitting a proposal are attesting that they also have taken affirmative action to ensure equality of opportunity in all aspects of employment, and to utilize M/WBE suppliers of

materials and/or labor when available. A 4% Minority Business Enterprise (MBE) and 4% Women Business Enterprise (WBE) **goal** for the participation of MWBE firms in supplying goods and services for the completion of this project.

Questions regarding the MWBE Program should be directed to the MWBE Office at (252) 329-4862.

All new vendors, including subcontractors/consultants, must register with the City of Greenville's online portal prior to the rendering goods and services.

Registration as a vendor with the City of Greenville is the responsibility of prime or subcontractor/consultant, and requires the prospective new vendor to submit a W-9, and complete the registration through the City's vendor portal at the following web address: <https://cityofgreenvillenc.munisselfservice.com/vss>.

If the prospective new vendor is only providing service(s) as a subcontractor/consultant, submission of payment information is not necessary at the time of registration.

PROFESSIONAL REFERENCES

List five (5) current clients for whom you provide services related to classification and compensation analysis and design. For each client, the list must specify the type of work performed by your company, the size of the client's group, and the period of time retained as a client. One of the five must be the longest standing client, one must be the client with the largest employee population, and one must be the client for which the largest impact was achieved through your company's services.

For each client, include the name, title, address, email address, and phone number of a contact person that the City of Greenville and Greenville Utilities Commission may contact as a reference.

CONSULTANT REGISTRATION FORM

Federal Employer's ID# _____

Name of Organization _____

Business Address _____

City, State, Zip _____ Fax () _____

Main Contact Person _____ Phone () _____

Main Contact Person's E-mail address _____

Organization Structure (Please circle one)

- | | | |
|----------------------|----------------------|-------------------|
| 1. Individual | 2. Partnership | 3. Corporation |
| 4. Government Agency | 5. Non-Profit Agency | 6. Public Utility |

Small Business () Yes () No

Minority-Owned Business () Yes () No

Women-Owned Business () Yes () No

Please describe below the major product(s) or service(s) provided by your company: _____

DISCLOSURE STATEMENT

Vendor must disclose any possible conflict of interest with The City of Greenville and Greenville Utilities Commission, including, but not limited to, any relationship with any City of Greenville or Greenville Utilities Commission employee. Your response must disclose if a known relationship exists between any principal of your firm and any City of Greenville or Greenville Utilities Commission employee. If, to your knowledge, no relationship exists, this should also be stated in your response. Failure to disclose such a relationship may result in cancellation of a purchase and/or contract as a result of your response. This form must be completed and returned in order for your proposal to be eligible for consideration.

No Known Relationship Exists _____

Relationship Exists (Please explain) _____
I CERTIFY THAT:

1. I, as an officer of this organization, or per the attached letter of authorization, am duly authorized to certify the information provided herein is accurate and true as of the date of this proposal.
2. My organization shall comply with all State and Federal Equal Opportunity and Non-Discrimination requirements and conditions of employment.

Printed or Typed Name

Title

Signature

Title VI of the Civil Rights Act of 1964 Nondiscrimination Provisions, Appendices A & E.

During the performance of this contract, the contractor, for itself, its assignees, and successors in interest (hereinafter referred to as the "contractor") agrees as follows:

1) Compliance with Regulations: The contractor (hereinafter includes consultants) will comply with the Acts and the Regulations relative to Nondiscrimination in Federally-assisted programs of the U.S. Department of Transportation (USDOT), as they may be amended from time to time, which are herein incorporated by reference and made a part of this contract.

(2) Nondiscrimination: The contractor, with regard to the work performed by it during the contract, will not discriminate on the grounds of race, color, national origin, sex, age, creed (religion), low-income, limited English proficiency, or disability in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The contractor will not participate directly or indirectly in the discrimination prohibited by the Acts and the Regulations, including employment practices when the contract covers any activity, project, or program set forth in Appendix B of 49 CFR Part 21.

(3) Solicitations for Subcontractors, Including Procurements of Materials and Equipment: In all solicitations, either by competitive bidding, or negotiation made by the contractor for work to be performed under a subcontract, including procurements of materials, or leases of equipment, each potential subcontractor or supplier will be notified by the contractor of the contractor's obligations under this contract and the Acts and the Regulations relative to Nondiscrimination on the grounds of race, color, or national origin.

(4) Information and Reports: The contractor will provide all information and reports required by the Acts, the Regulations, and directives issued pursuant thereto and will permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by the Recipient or the USDOT to be pertinent to ascertain compliance with such Acts, Regulations, and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish the information, the contractor will so certify to the Recipient or the USDOT, as appropriate, and will set forth what efforts it has made to obtain the information.

(5) Sanctions for Noncompliance: In the event of a contractor's noncompliance with the Non-discrimination provisions of this contract, the Recipient will impose such contract sanctions as it or the USDOT may determine to be appropriate, including, but not limited to:

- (a) withholding payments to the contractor under the contract until the contractor complies; and/or

(b) cancelling, terminating, or suspending a contract, in whole or in part.

(6) Incorporation of Provisions: The contractor will include the provisions of paragraphs one through six in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Acts, the Regulations and directives issued pursuant thereto. The contractor will take action with respect to any subcontract or procurement as the Recipient or the USDOT may direct as a means of enforcing such provisions including sanctions for noncompliance. Provided, that if the contractor becomes involved in, or is threatened with litigation by a subcontractor, or supplier because of such direction, the contractor may request the Recipient to enter into any litigation to protect the interests of the Recipient. In addition, the contractor may request the United States to enter into the litigation to protect the interests of the United States.

I. During the performance of this contract, the contractor, for itself, its assignees, and successors in interest (hereinafter referred to as the "contractor") agrees to comply with the following nondiscrimination statutes and authorities; including but not limited to:

Pertinent Nondiscrimination Authorities

- Title VI of the Civil Rights Act of 1964 (42 U.S.C. § 2000d et seq., 78 stat. 252), (prohibits discrimination on the basis of race, color, national origin); and 49 CFR Part 21.
- The Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, (42 U.S.C. § 4601), (prohibits unfair treatment of persons displaced or whose property has been acquired because of Federal or Federal-aid programs and projects);
- Federal-Aid Highway Act of 1973, (23 U.S.C. § 324 et seq.), (prohibits discrimination on the basis of sex);
- Section 504 of the Rehabilitation Act of 1973, (29 U.S.C. § 794 et seq.), as amended, (prohibits discrimination on the basis of disability); and 49 CFR Part 27;
- The Age Discrimination Act of 1975, as amended, (42 U.S.C. § 6101 et seq.), (prohibits discrimination on the basis of age);
- Airport and Airway Improvement Act of 1982, (49 USC § 471, Section 47123), as amended, (prohibits discrimination based on race, creed, color, national origin, or sex);
- The Civil Rights Restoration Act of 1987, (PL 100-209), (Broadened the scope, coverage and applicability of Title VI of the Civil Rights Act of 1964, The Age Discrimination Act of 1975 and Section 504 of the Rehabilitation Act of 1973, by expanding the definition of the terms "programs or activities" to include all of the programs or activities of the Federal-aid recipients, sub-recipients and contractors, whether such programs or activities are Federally funded or not);
- Titles II and III of the Americans with Disabilities Act, which prohibit discrimination on the basis of disability in the operation of public entities, public and private transportation systems, places of public accommodation, and certain testing entities (42 U.S.C. §§ 12131-12189) as implemented by Department of Transportation regulations at 49 C.F.R. parts 37 and 38;

- The Federal Aviation Administration's Nondiscrimination statute (49 U.S.C. § 47123) (prohibits discrimination on the basis of race, color, national origin, and sex);
- Executive Order 12898, Federal Actions to Address Environmental Justice in Minority Populations and Low-Income Populations, which ensures Nondiscrimination against minority populations by discouraging programs, policies, and activities with disproportionately high and adverse human health or environmental effects on minority and low-income populations;
- Executive Order 13166, Improving Access to Services for Persons with Limited English Proficiency, and resulting agency guidance, national origin discrimination includes discrimination because of Limited English proficiency (LEP). To ensure compliance with Title VI, you must take reasonable steps to ensure that LEP persons have meaningful access to your programs (70 Fed. Reg. at 74087 to 74100);
- Title IX of the Education Amendments of 1972, as amended, which prohibits you from discriminating because of sex in education programs or activities (20 U.S.C. 1681 et seq);
- Federal transit laws, specifically 49 U.S.C. § 5332 (prohibiting discrimination based on race, color, religion, national origin, sex (including gender identity), disability, age, employment, or business opportunity).

**City of Greenville/Greenville Utilities Commission
Minority and/or Women Business Enterprise Program**

**City of Greenville
M/WBE Guidelines for Professional Service Contracts**

These instructions shall be included with each bid solicitation.

City of Greenville/Greenville Utilities Commission Minority and/or Women Business Enterprise Program

M/WBE Guidelines for Professional Service Contracts

Policy Statement

It is the policy of the City of Greenville and Greenville Utilities Commission to provide minorities and women equal opportunity for participating in all aspects of the City's and Utilities' contracting and procurement programs, including but not limited to, construction projects, supplies and materials purchases, and professional and personal service contracts.

Goals and Good Faith Efforts

Service providers responding to this solicitation shall comply with the M/WBE program by making Good Faith Efforts to achieve the following aspirational goals for participation.

	CITY	
	MBE	WBE
Professional Services	4%	4%

Submitters shall submit M/WBE information with their submissions on the forms provided. This information will be subject to verification by the City prior to contract award. **As of July 1, 2009, contractors, subcontractors, suppliers, service providers, or M/WBE members of joint ventures intended to satisfy City M/WBE goals shall be certified by the NC Office of Historically Underutilized Businesses (NC HUB) only.** Firms qualifying as "WBE" for the City's goals must be designated as a "women-owned business" by the HUB Office. Firms qualifying as "MBE" for the City's goals must be certified in one of the other categories (i.e.: Black, Hispanic, Asian American, American Indian, Disabled, or Socially and Economically Disadvantaged). According to new Statewide Uniform Certification (SWUC) Guidelines, ethnicity supersedes gender; therefore, firms who are certified as both a "WBE" and "MBE" will satisfy the "MBE" category only.

The City shall accept NCDOT certified firms on federally funded projects only.

Please note: A service provider may utilize any firm desired. However, for participation purposes, all M/WBE firms who wish to do business *as a minority* must be certified by NC HUB. A complete database of NC HUB certified firms may be found at <http://www.doa.nc.gov/hub/>

Instructions

The submitter shall provide the following forms:

☐ FORM 1—Sub-Service Provider Utilization Plan

This form provides the amount of sub-contracted work proposed on the project for M/WBE. This proposed participation is based on the current scope of work. Submitter must turn in this form with submission. If the submitter does not customarily subcontract elements of this type of project, do not complete this form. Instead complete FORM 2.

☐ FORM 2--Statement of Intent to Perform work without Sub-Service Providers

This form provides that the submitter does not customarily subcontract work on this type of project. This form does not need to be accompanied by any other form and must be provided with submission.

☐ Sub-Service Provider Utilization Commitment

Submitted by the selected service provider after negotiation of the contract and prior to Award, this form lists the M/WBE firms committed to participate on the project. This commitment will reflect any changes in the Plan due to adjustments in project scope.

NOTE: A firm is expected to maintain the level of participation proposed in FORM 1 – Sub-Service Provider Utilization Plan – unless there is a negotiated change in the service required by the City. A firm is also encouraged to increase M/WBE participation in the Utilization Commitment as a result of ongoing Good Faith Efforts.

☐ Proof of Payment Certification

Submitted by the selected service provider with each payment application, listing payments made to subcontractors. This form is not provided with the submission.

In addition to the forms provided above, each service provider must provide a discussion of its diverse business policies and procedures to include the good faith efforts it employed to utilize minority and women-owned firms on this project. This discussion must include:

- 1. Outreach efforts that were employed by the firm to maximize the utilization of M/WBE's.*
- 2. A history of M/WBE firms used on similar projects; and*
- 3. The percentage participation of M/WBE firms on these projects.*

Minimum Compliance Requirements: All written statements, signed forms, or intentions made by the Submitter shall become a part of the agreement between the Submitter and the City for performance of contracts. Failure to comply with any of these statements, signed forms, or intentions or with the minority business guidelines shall constitute a breach of the contract. A finding by the City that any information submitted (either prior to award of the contract or during the performance of the contract) is inaccurate, false, or incomplete, shall also constitute a breach of the contract. Any such breach may result in termination of the contract in accordance with the termination provisions contained in the contract. It shall be solely at the option of the City whether to terminate the contract for breach or not. In determining whether a Submitter has made Good Faith Efforts, the City will evaluate all efforts made by the Submitter and will determine compliance in regard to quantity, intensity, and results of these efforts.

****Include completed form with submitted proposal****

(Must be included with submission if subcontracting any portion of work)

Name, Address, & Phone Number of Sub-Service Provider	*M/WBE Category	Work description	% of Work

Signature of Authorized Representative

Page | 24 |

Statement of Intent to Perform work without Sub-Service Providers FORM 2

(Must be included with submission if not subcontracting any portion of work)

We, _____ hereby certify that it is our intent to
perform **100% of the work required** for the
_____ contract.
(Project Name)

In making this certification, the submitter states that the submitter does not customarily subcontract elements of this type project, and normally performs and has the capability to perform and will perform all elements of the work on this project with his/her own work forces; and

The submitter agrees to provide any additional information or documentation requested by the owner in support of the above statement.

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

Date: _____

Name & Title of Authorized

Representative _____

Signature of Authorized

Representative _____

****Include completed form 1 OR form 2 with submitted proposal****

Sub-Service Provider Utilization Commitment

(Must be submitted after contract negotiation and prior to Award)

We, _____ do certify
(Company Name)

that on the _____ we will expend a minimum of ____ %
(Project Name)

of the total dollar amount of the contract with certified MBE firms and a minimum of
_____ % of the total dollar amount of the work with WBE.

Name, Address, & Phone Number of Sub-Service Provider	*M/WBE Category	Work description	% of Work

*Minority categories: Black, African American (**B**), Hispanic or Latino (**L**), Asian American (**A**) American Indian (**I**), Female (**F**) Socially and Economically Disadvantaged (**S**) Disabled (**D**)

The undersigned will enter into a formal agreement with M/WBE firms for work listed in this schedule. Failure to fulfill this commitment may constitute a breach of contract.

The undersigned hereby certifies that he/she has read the terms of this commitment and is authorized to bind the submitter to the commitment herein set forth.

Date: _____

Name & Title of Authorize Representative _____

Signature of Authorized Representative _____

Proof of Payment Certification **M/WBE Contractors, Suppliers, Service Providers**

Project Name: _____

Prime Service Provider: _____

Current Contract Amount (including change orders): \$_____

Requested Payment Amount for this Period: \$_____

Is this the final payment? ☐ Yes ☐ No

Firm Name	M/WBE Category*	Total Amount Paid from this Pay Request	Total Contract Amount	Total Amount Remaining

*Minority categories: Black, African American (**B**), Hispanic or Latino (**L**), Asian American (**A**) American Indian (**I**), Female (**F**) Socially and Economically Disadvantaged (**S**) Disabled (**D**)

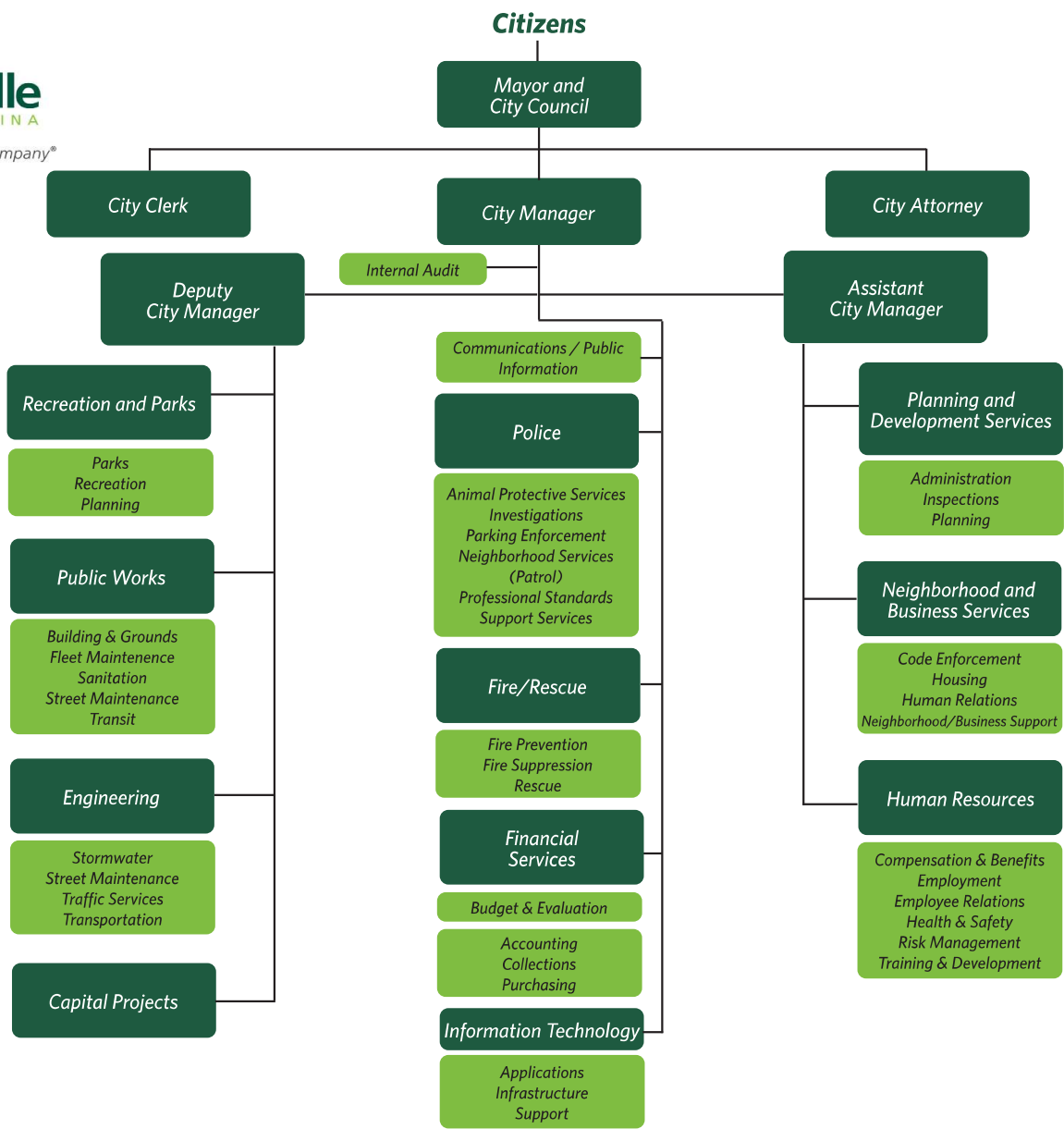
Date: _____

Certified By:

Name

Title

Signature



Attachment 7

CEO
General Manager



Chief Administrative
Officer
Assistant General
Manager

Customer Relations

Information
Technology

Public Information

Human Resources

Training

Finance

Accounting

Fleet Management

Risk Management

Materials
Management

Facilities
Managment

Legal

Gas

Engineering

Gas Systems

Utility Location
Services

LNG

Water Resources

Engineering

Distribution

Water Treatment
Plant

Wastewater
Treatment Plant

Electric

Engineering

Distribution

Meter

Substation Control