



# CITY OF COLUMBIA

## DEPARTMENT OF UTILITIES & ENGINEERING

### MENTOR-PROTÉGÉ PROGRAM GUIDELINES

REVISED 2015  
(City Council Action 2.4.2014)



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# CITY OF COLUMBIA

## MENTOR-PROTÉGÉ PROGRAM 2014 GUIDELINES

### **INTRODUCTION:**

The City of Columbia 2006 Disparity Study listed water and sewer construction as an area of potential development and opportunity for small, woman and minority-owned businesses. This program provides a strategy to increase the viability of small, minority and woman-owned businesses via participation in capital improvement projects. The City of Columbia through a Mentor-Protégé Program will assist Minority, Woman-owned businesses and Small Business Enterprises (M/W/SBE's) by having a goal of 40 % of CIP projects to be designated to the program. Within the Mentor Protégé Program the Utilities and Engineering Department will utilize firms that operate in the following areas in Professional Services: 1) Water Treatment 2) Waste Water Treatment 3) Water Distribution 4) Waste Water Collection and 5) Storm Water. In Construction Services, the firms will operate in the following areas: 1) Water Line (WL) Division and/or 2) Water Plant (WP) Division. The program will implement industry specific training, mentoring and collaboration.

The Mentor-Protégé Program was developed in 2008 in partnership with the City of Columbia, the Office of Business Opportunities, the Department of Utilities & Engineering, Compliance Division, and the SC Minority Business Enterprise Center (SCMBEC) to provide the City of Columbia with an additional option for obtaining opportunities for M/W/SBE firms to develop and expand in all areas of water/sewer construction. The program offers an opportunity to increase skills and gain experience in a construction situation to both less experienced M/W/SBEs positioned for training, operational, assistance, increased bonding capacity and financial competitiveness and established M/W/SBEs working to increase their present technical knowledge. This will be accomplished through three types of project structures: (1) Mentor-Protégé Projects; (2) Protégé Lead Projects; and (3) Protégé Only Projects.

The relationship between Mentor and Protégé is voluntary. The foundation of a mentor-protégé relationship is trust. In order to achieve their mentoring goals, the Mentor and the Protégé must collaboratively develop and agree to a Mentor-Protégé Business Plan that is fitting for both parties. The plan will identify the program goals they want to achieve through the effort.

**The City does not guarantee that each team will be awarded a contract. Construction Service contracts will be awarded to the lowest (sealed bid) responsive and responsible bidder. Professional Service Contracts will be awarded based on qualifications.**

## **BENEFITS TO THE CITY OF COLUMBIA:**

- Enhances the capability of M/W/SBEs to compete for city contracts.
- Encourages private sector relationships/joint ventures and expands efforts of the Office of Business Opportunities and Department of Utilities & Engineering, Compliance Division's to identify and respond to the development needs of M/W/SBEs.
- Provides an avenue for historically disadvantaged Americans to achieve entrepreneurial success and contribute to the strength, energy and tax base of the City of Columbia's economy.
- Increases employment opportunities.

## **DEFINITIONS:**

Below are general definitions.

**Centralized Bidder Registration (CBR)** - The City of Columbia's Centralized Bidder Registration also called Bid Online. Located by going to [www.columbiasc.net](http://www.columbiasc.net) Next, Click on Online Services and then Bid Online.

**Local Business-** Have a place of business located in the Columbia-Newberry Combined Statistical Area ("CSA") - These counties are: Richland County, Lexington County, Kershaw County, Fairfield County, Saluda County, Calhoun County, and Newberry County.

**Mentor** - A contractor (general or mechanical) or construction manager who counsels a M/W/SBE on how to fully perform items of work and advises them on their professional growth over a period of time through participation in the Mentor-Protégé Program.

**Minority** - A lawful permanent resident of the United States who is a Black American, a Hispanic American, an Asian-Pacific American, a Native American, or an Asian-Indian American.

**Minority Business Enterprise (MBE)** - A business firm which is 51% owned and controlled by one or more minorities.

**Protégé** - A M/W/SBE who receives help, guidance, training, and support from a mentor who has a high level of operational experience in construction and/or Engineering. One who is trained or whose professional growth is guided by a mentor in conjunction with the Mentor-Protégé Program.

**Small Business Enterprise (SBE)** - A concern, including its affiliates, that is independently owned and operated, is not dominant in the field of operation that it is bidding on government contracts, and is qualified as a small business in its primary NAICS code under the U.S. Small Business Administration criteria and size standards in 13 CFR Part 121.

**Women Business Enterprise (WBE)** - A business firm which is 51% owned and controlled by one or more women.

**Water Line (WL) Division Projects** - Water Line projects that would require a WL License which includes construction work on water mains, water service lines, sewer mains, sewer lines, and sewer manholes.

**Water Plant (WP) Division Projects** - Water Plant projects that would require a WP License which includes all classifications and sub classifications necessary for the construction of water treatment and wastewater treatment facilities, water storage tanks , lift stations, pumping stations and appurtenances to water storage tanks, lift stations, and pumping stations.

### **PROGRAM OBJECTIVE:**

The immediate objectives of the Mentor-Protégé Program are to provide M/W/SBE's with assistance and operational strategies that will improve their ability to compete in water-sewer and other construction projects of the City of Columbia. The City also seeks to increase the capacity and number of local firms competing for water/sewer capital improvement projects. The ultimate objective of the program is to develop M/W/SBE firms that are capable of participating in the industry as fully independent and viable firms.

### **SPECIFIC OBJECTIVES FOR THE PROTÉGÉ:**

- Opportunity to increase capacity.
- Opportunity to increase skill sets in water and sewer projects.
- Opportunity to increase business capital.
- Opportunity to increase bonding capacity.
- Opportunity to increase gross revenues.
- Opportunity to increase net earnings.
- Opportunity to increase credit rating.
- Opportunity to increase longevity and viability both during and after participation in the program.

## **APPLICATION PROCESS:**

All contractors (including general engineers or mechanical engineers) or construction managers that want to participate in this program shall have an approved application on file with the Department of Utilities & Engineering, Compliance Division.

Candidates for this program are required to declare at their time of application their intention to participate as either a Mentor or Protégé. Current Mentors who have successfully completed a project in the Mentor Protégé Program will be able to remain a Mentor. Upon the revision approval date of this policy, applicants will not be permitted to participate as both a Mentor and a Protégé in the Mentor Protégé Program.

Candidates must submit all forms that are required for the application process in order for a firm's application to be reviewed. For a detailed list of Forms that are required please review page 19.

Mentor and Protégé Applications and Protégé Assessments can be obtained from the Department of Utilities & Engineering, Compliance Division, and must be approved in advance of any participation in the Mentor-Protégé Program. The applications are to be submitted to the Department of Utilities & Engineering, Compliance Division.

Each Mentor-Protégé team will, collaboratively, develop a Business Plan that addresses the strategic and tactical steps designed to help the Protégé achieve its objectives. The Business Plan may reflect any additional items that the Mentor or Protégé feels may be necessary to properly support the Protégé in accordance with the Mentor-Protégé Agreement.

The Department of Utilities & Engineering, Compliance Division, will determine whether to authorize the Mentor-Protégé Agreement based on a review of the proposed Mentor-Protégé Business Plan and the individual strengths and weaknesses of the two parties.

Business plans will be reviewed by the Office of Business Opportunities (OBO) to assess the needs of the protégé prior to approval by Utilities and Engineering Compliance Division (U&E). The Office of Business Opportunities (OBO) will assist both Mentors and Protégés with business planning process. The completed business plan will be submitted to the Department of Utilities & Engineering (Compliance Division) for review and approval prior to acceptance into the program. A copy of the approved business plan will be provided to the OBO.

Annual and Quarterly Reports will be submitted to the Compliance Division and will be reviewed with the Office of Business Opportunities.

**IN ORDER TO BE CONSIDERED FOR THE PROGRAM, THE PROTÉGÉ SHALL MEET THE FOLLOWING CRITERIA:**

- Protégés' average over the last three (3) tax years of annual gross receipts in water and sewer projects must be under:
  - \$ 3.5 Million for professional services and/or
  - \$ 5 Million for construction services
- Established office location for a minimum of 1 year in the Columbia-Newberry Combined Statistical Area ("CSA")- These counties are: Richland County, Lexington County, Kershaw County, Fairfield County, Saluda County, Calhoun County, and Newberry County.
- Have at least one year's cumulative experience on similar projects.
- Have a good safety record as measured by OSHA criteria.
- Submit financial compilations from a CPA for the three (3) most recent tax years specifically highlighting gross revenues from the firm's water and sewer projects.
- Possess a current Contractor's (general or mechanical), Engineer's, or Architect's license to perform in South Carolina, or be qualified as a Construction Manager pursuant to Title 40, Chapter 11 of the Code of Laws of South Carolina.
- Have all necessary and current state and local licenses including a current City of Columbia business license.
- Provide certifications (state/federal) with program application, and include proof of certification. (Certifications are not required; but any certifications must be turned in with application to Compliance)
  - Certification will be verified by the Department of Utilities & Engineering, Compliance Division during application review.
  - For example: OSMBA Certification (Office of Small and Minority Business Assistance) and/or SCDOT DBE, SBE, DVBE Certification
- Be a registered Vendor with the City of Columbia's Centralized Bidder Registration (CBR) "Bidder Online" System. Applicants must submit their CBR registration number for their application to be complete.
- Designate the individual from the company with binding authority to enter the Mentor-Protégé Agreement (this individual may be a principal (owner) or officer of the company).
- Declare at the time of application whether it is your intention to participate as a Mentor or Protégé. Upon the 2014 revision approval date of this policy, applicants will not be permitted to participate as both a Mentor and a Protégé in the Mentor Protégé Program.

**ADDITIONALLY PROTÉGÉS WILL ALSO HAVE TO DO THE FOLLOWING:**

- Designate the individual from the company with binding authority to enter the Mentor-Protégé Agreement (this individual may be the project manager, principal of the company, etc.).

- Protégés in Construction Services who perform work that requires a License must commit to obtain a W.P. (Water Plant) and / or W. L. (Water line) certification within one (1) year of application.

### **PROTÉGÉ RESPONSIBILITIES:**

- Pledge the time, personnel, and resources required for a successful relationship.
- Make substantial progress in implementing the business decisions developed during the course of the relationship.
- Provide complete up-to-date information on the business, including development plans, work in progress, and status of bids.
- Provide updated Financial Statement from a CPA that includes total Gross Annual Receipts annually.
- Routinely communicate with the Mentor to discuss issues and situations encountered.
- The Protégé shall not relinquish managerial or administrative control to the Mentor.
- Communicate progress issues or problems encountered to the Department of Utilities & Engineering, Compliance Division, as soon as possible after the concerns are identified.

### **IN ORDER TO BE CONSIDERED A MENTOR IN THE MENTOR-PROTÉGÉ PROGRAM, AN APPLICANT SHALL MEET THE FOLLOWING CRITERIA:**

- Mentors' average over the last three (3) tax years of annual gross receipts in water and sewer projects must equal or exceed:
  - \$ 3.5 Million for professional services and/or
  - \$ 5 Million for construction services within water & sewer projects.
- Possess a current Contractor's (general or mechanical), Engineer's, or Architect's license to perform in South Carolina, or be qualified as a Construction Manager pursuant to Title 40, Chapter 11 of the Code of Laws of South Carolina.
- Have a good safety record as measured by OSHA criteria.
- Have the necessary skills and resources to guide and train the Protégé. Demonstrate a willingness to provide developmental assistance that will enhance the ability of the Protégé to perform in a new area of operation.
- Demonstrate experience with previous minority, women and/or small business enterprise programs.
- Completion of a minimum 5 water & sewer projects.
- Submit financial compilations from a CPA for the three (3) most recent tax years specifically highlighting gross revenues from the firm's water and sewer projects.
- Provide certifications (state/federal) with program application, and include proof of certification. (Certifications are not required; but any certifications must be turned in with application to Compliance)

- Certification will be verified by the Department of Utilities & Engineering, Compliance Division during application review.
- For example: OSMBA Certification (Office of Small and Minority Business Assistance) and/or SCDOT DBE, SBE, DVBE Certification
- Be a registered Vendor with the City of Columbia's Centralized Bidder Registration (CBR) "Bidder Online" System. Applicants must submit their CBR registration number for their application to be complete.
- Designate the individual from the company with binding authority to enter the Mentor-Protégé Agreement (this individual may be a principal (owner) or officer of the company).
- Declare at their time of application your Firm's intention to participate as either a Mentor or Protégé. Upon the revision approval date of this policy, applicants will not be permitted to participate as both a Mentor and a Protégé in the Mentor Protégé Program.

### **MENTOR RESPONSIBILITIES:**

- Mentors are required to designate a minimum of 20 % of the total contract amount to the Team's Protégé selected for the project. Mentors are required to send in an explanation with their Implementation Plan if they assign less than 20% of the total contract amount.  
**Note:** A Mentor Protégé Program Project may consist of the Mentor Protégé Team as well as other named Protégés that will be utilized as subcontractors for the project. However, subcontractors that are also protégés DO NOT count toward the 20% minimum for requirement. The Protégé team member must self-perform a minimum of 50% of their portion of work.
- Provide updated Financial Statement from a CPA that includes total Gross Annual Receipts in water and sewer annually.
- Carefully select staff member(s) to assign to the program that provide mentoring to the protégé.
- Routinely communicate with the Protégé to review the Protégé's growth, improvements in staff knowledge and expertise, financial management and profitability, and technical assistance needs, and to discuss issues and situations encountered by the Protégé.
- Introduce Protégé to various business resources, including banking, bonding, suppliers, management, and business industries.
- Communicate progress issues or problems encountered to the Department of Utilities & Engineering, Compliance Division, as soon as possible after the concerns are identified.

## **JOINT VENTURES FOR MENTORS:**

The City of Columbia will allow joint ventures to apply and participate as Mentors in the Mentor Protégé Program. In order for a joint venture to be considered as a Mentor, the following requirements must be met:

- (1) Submit a complete Mentor Application and fulfill all other Mentor requirements.
- (2) A fully executed joint venture agreement must be provided with the Mentor application. Note that the City will not draft, review, or approve any agreements, give advice regarding the structure of agreements, nor be a party to the agreement.
- (3) Each joint venture firm must meet all of the requirements of a Mentor, with the exception of gross receipts in water and sewer projects. Each firms' gross receipts in water and sewer may be combined to meet the minimum gross receipt requirement.
- (4) The joint venture is still required to designate a minimum of 20 % of the total contract amount to the Team's Protégé selected for the project.

IF a joint venture is approved as a Mentor in the Mentor Protégé Program, the joint venture will be considered the prime contractor. The contract will be the responsibility of the joint venture.

## **MENTOR AND PROTÉGÉ TEAM REQUIREMENTS:**

### **PROFESSIONAL SERVICES**

Mentors and Protégé are limited to one (1) Team\*<sup>1</sup> in place at any time within each of the 5 type project divisions:

1. Water Treatment
2. Waste Water Treatment
3. Water Distribution
4. Waste Water Collection
5. Storm Water

The project division(s) must be declared in the application.

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\*<sup>1</sup> Protégés can have more than one Mentor if there is a shortage of available Protégés to team with. This request must be submitted to the Compliance Staff and must be approved by the City Engineer.

## CONSTRUCTION SERVICES

Mentors and Protégés are limited to one (1) Team\*<sup>1</sup> in place at any time within each of the 2 type project divisions:

1. Water Line (WL)
2. Water Plant (WP)

For specific information about the two divisions above please review page 5 for the full definition. The project division(s) must be declared in the application.

## BOTH PROFESSIONAL SERVICES AND CONSTRUCTION SERVICES

A Mentor Protégé team agreement cannot exceed four (4) years. After four (4) years, the Mentor and Protégé must choose another firm. Once a teaming agreement has expired, the Protégé can continue to perform with that Mentor as a subcontractor in addition to the new protégé.

- Mentor-Protégé Teams approved prior to the 2014 revised policy will be required to re-submit the 2014 updated eligibility information that is required indicating a Protégé for each of the divisions. The Mentor also must notify any Protégé in a dissolved team by giving them 30 days written notice. This notice is to be shared with the Compliance Division and Office of Business Opportunities.
- Collaborate, Coordinate and Submit the following reports as a Team, jointly, to Compliance Staff:
  - One Quarterly Report (Form 708) per team (due 10<sup>th</sup> day of: January, April, July, and October)
  - Annual Report (due: July 1st each year) Consists of:
    - Updated Business Plan (one per team) (Form 706ps (for professional services) or Form 706cs (for construction services)
    - Updated Company Profile (one per Firm) (Form 707)
    - Updated Financial Statement from a CPA that includes total Gross Annual Receipts. (one per Firm)
- Demonstrate a willingness to comply with the Mentor-Protégé Program.
- Schedule and attend all quarterly developmental meetings.
- Meet all deadlines for furnishing information required under the Mentor Protégé Program.
- Demonstrate responsiveness and a willingness to work together and be open to the possibility of creating teaming agreements or joint ventures.
- Hold the City of Columbia, including its employees, or agents harmless from any claim, suit action, or demand of creditors, or any other person(s) arising out of

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\*<sup>1</sup> Protégés can have more than one Mentor if there is a shortage of available Protégés to team with. This request must be submitted to the Compliance Staff and must be approved by the City Engineer.

this Program.

- Document and maintain copies of communications between the Mentor and Protégé.
- Developmental team meetings shall be held at least quarterly. The Protégé should discuss with the Mentor the efforts to implement the Business Plan and the subsequent results.

While not a requirement, Mentor-Protégé Teams are encouraged to work together on projects outside of the City of Columbia.

### **THE BUSINESS PLAN:**

The Business Plan may include, but is not limited to, the following:

- A statement demonstrating the commitments of the Mentor and Protégé to the Program.
- A description of the anticipated goals.
- Strategies to receive certifications.
- A description of the resources and/or manpower the Mentor and Protégé are going to commit to the program, including timelines and milestones.
- A description of the Protégé's business operations.
- A description of the Protégé's current contracts/subcontracts.
- Potential resources to be used for bonding, insurance, financing, technical assistance, etc.
- Bonding and insurance strategies.
- Safety programs.
- Financing strategies.
- Work scheduling methods.
- Projections / pro forma for next three years of projects to be performed by team and by protégé separate from team.
- Marketing and bidding capabilities.
- Equipment acquisitions.
- A description of any training requested by the Protégé. Such training may include project planning, OSHA regulations, field operations, bonding, management skills, technical skills, acquisition of capital and strategic planning.
- Business Plans will be updated and resubmitted annually to the Compliance Division as a part of the Annual Report by July 1st of each year.

The specific items of the Business Plan should be reviewed to develop a course of action for any necessary corrections. Additionally, the Protégé should discuss the firm's current needs and concerns. The Protégé shall send quarterly reports to the Department of Utilities & Engineering, Compliance Division.

The Office of Business Opportunities (OBO) will assist both Mentors and Protégés with business planning process. The completed business plan will be submitted to

the Department of Utilities & Engineering (Compliance Division) for review and approval prior to acceptance into the program. A copy of the approved business plan will be provided to the OBO.

MPP Teams are required to recertify annually by updating the business plan and sending in a current Financial Statement from a CPA to include total Gross Annual Receipts specifying water and sewer revenues from the most recent tax year.

Neither the Department of Utilities & Engineering, Compliance Division, nor any potential participants are bound by the requirements of this program until such time as the Mentor-Protégé Business Plan signature sheet is signed by the Mentor, the Protégé, and the Director of the Department of Utilities & Engineering, Compliance Division.

By acceptance of the Mentor-Protégé documents and signature on the Business Plan Agreement, the Department of Utilities & Engineering, Compliance Division, and the Office of Business Opportunities commits to creating a program environment supportive of the objectives of the Mentor Protégé Program. Staff members of the Department of Utilities & Engineering, Compliance Division, will be proactively involved in helping the mentoring effort.

### **MENTOR-PROTÉGÉ IMPLEMENTATION PLAN:**

As required by a project's solicitation documents, the Mentor-Protégé team must complete a Mentor-Protégé Implementation Plan for review and approval to the Compliance Division at the time of bid opening.

**Note:** A Mentor Protégé Program Project may consist of the Mentor Protégé Team as well as other named Protégés that will be utilized as subcontractors for the project. However, subcontractors that are also protégés DO NOT count toward the 20% minimum for requirement. The Protégé team member must self-perform a minimum of 50% of their work.

The Mentor-Protégé Implementation Plan should address, at a minimum, the following:

- How the Mentor and the Protégé intend to work together on the designated project.
- How the goals specified in the MPP Business Plan will be implemented via work on the project.
- Proposed manpower and resources from both the Mentor and the Protégé that are required for the project.
- The amount of work to be performed by each participant of the MPP team.
- How the team will comply with the requirements of the Program for the duration of the project.

- The amount awarded to the Protégé for this specific project. Please note this amount is required to be at a minimum of 20% of total contract cost. (Total contract cost is the total contract amount to the City of Columbia)
- List all Subcontractors utilized on the project with the following information
  - Contact Name
  - Address
  - Phone Number
  - Notate if they are an Approved participant in the Mentor Protégé Program
  - Who will the Subcontractor be reporting to
  - How much with the Subcontractor be paid
  - What will their duties be on this project
- Any changes to the Implementation Plan will require written notice to Compliance staff and an updated Implementation Plan submitted for approval.

**THREE TYPES OF PROJECT STRUCTURES:**

The Director of Utilities and Engineering will identify projects that will be implemented through the Mentor Protégé Program. Once a project is identified as a Mentor Protégé project, only Mentor-Protégé teams can compete for that project. The contract documents for each City opportunity identified as part of the Mentor-Protégé Program will include a project provision entitled “Mentor-Protégé Program.” Participation in the Mentor-Protégé Program may be listed as a factor in the determination of responsiveness and/or responsibility. In all Mentor-Protégé Program contracts the Protégé must self-perform a minimum of 50% of their portion.

Public Solicitations, i.e.: Invitation for Bids (IFBs) and/or Request for Proposals (RFPs) will require the Mentor-Protégé Team to be approved prior to submittal date. Teams not approved prior to this date will be deemed Non-Responsive.

Mentor-Protégé Project (traditional) - Mentors are the Prime Contractor on these projects and are required to award a minimum of 20% of the total contract price to the Protégé.

Protégé Lead Projects - The Mentor-Protégé Team will work together with the Protégé receiving a minimum of 51% of the contract. The Protégé will manage and facilitate the project having direct contact with the City, with the assistance of the Mentor. The protégé must have a minimum of 51% of the total contract awarded.

Protégé Only Projects - Protégés in an approved Mentor Protégé team may compete for Protégé only projects. These projects will be chosen by the Director of Utilities and Engineering as well. Protégés will manage and facilitate the project with mentorship from the mentor. There is no requirement that the Mentor receive a portion of the contract award.

## **MENTOR-PROTÉGÉ PROGRAM PROJECT'S PAY APPLICATION:**

A Form 100 will be required to be submitted with each Pay Application for a Mentor Protégé Program Project. Compliance Staff will review each Pay Application for approval.

## **PROTÉGÉ GRADUATION:**

Current Protégés will be required to graduate after eight (8) years from the 2014 Guideline release date. New Protégé Firms, that become active into the program after the release date, will have eight (8) years from the date in which they were approved as a Protégé.

Current Protégés will be required to submit documentation to determine if they have reached Mentor status. Applications will be reviewed by Compliance Staff. The Mentor and Protégé will receive a Certificate of Completion when the Protégé graduates.

Protégés may also be considered for graduation if the firm's annual gross receipts in water and sewer exceed the Protégé maximum guidelines for three (3) consecutive years.

In order for a Protégé that has graduated from the program to be considered a Mentor, the Protégé must apply as a Mentor and meet all of the Mentor requirements.

Mentors are permitted to establish a new Mentor Protégé Program Team, in each of the divisions, upon graduation.

## **VOLUNTARY TERMINATION FROM THE MENTOR-PROTÉGÉ PROGRAM:**

The MPP Agreement is intended to foster a long-term relationship that exceeds the duration of the program. There may be many reasons why an Agreement and Business Plan between the Mentor and the Protégé cannot be completed. If either the Mentor or the Protégé wants to terminate the Agreement, the Mentor and/or Protégé shall submit notification to the Department of Utilities & Engineering, Compliance Division, in writing stating the reasons why the Mentor Protégé Agreement is to be dissolved. According to the Mentor Protégé Program agreement, a party that decides to dissolve a team relationship is required to give the other party a 30 day notice.

## **CITY MAY TERMINATE OR SUSPEND FIRMS & TEAMS FROM THE MENTOR-PROTÉGÉ PROGRAM:**

The Department of Utilities & Engineering, Compliance Division with consultation of the Office of Business Opportunities, may recommend to the Director of Utilities and Engineering suspension or termination of the Mentor, Protégé and/or Mentor Protégé team based upon its observance of the Mentor/Protégé relationship. A staff recommendation of suspension or termination may be a result of poor workmanship, project completion delays, safety concerns, damage to public/private property, noncompliance with program guidelines and/or administration such as required documentation and/or any action/activity that would hinder the quality of the project.

All suspensions and/or terminations will be reviewed by the Advisory Committee. Ultimately, the Director of the Department of Utilities and Engineering will determine suspension and/or termination.

## **MENTOR-PROTÉGÉ EVALUATION:**

In addition to quarterly and annual evaluations for required reports, the Office of Business Opportunities will send out a survey semi-annually to firms that are approved Mentors and Protégés in order to give feedback on the Mentor Protégé Program.

The Office of Business Opportunities with the Compliance Division will schedule and conduct a MPP Project Completion (exit) interview at the close of every MPP Project. The interview will be standardized in format and designed to address all requisites of the MPP Program, as well as the business and project implementation plan.

## **MENTOR PROTÉGÉ PROGRAM ADVISORY COUNCIL:**

The City Manager will establish a Mentor Protégé Program Advisory Council that will consist of nine (9) to eleven (11) mentor and protégé firms in both construction and professional services. This Council will serve in an advisory capacity only.

The Council will provide input to the city regarding the administration of the program, help establish and review annual program goals, make recommendations to assist the program in meeting its stated goals, and assist the city manager or council in any additional requests that may be deemed necessary.

The council will provide an annual report to council highlighting the program's performance based on its stated goals. The Council will meet as needed, but at least semi-annually.

### **OFFICE OF BUSINESS OPPORTUNITIES:**

The Office of Business Opportunities (OBO) will assist both Mentors and Protégés with business planning process. The (OBO) will also offer technical assistance and training to help build the capacity of Protégés. Protégés will have the opportunity to work one on one with OBO personnel to develop and implement business plans required by the Mentor Protégé Program. Additional technical assistance will be available to help develop business plans for participants overall as well as financial management, and construction training.

### **LIABILITY DISCLAIMER:**

This program is designed to develop M/W/SBE firms that are capable of participating in the industry as fully independent and viable firms. The assistance provided by the Department of Utilities & Engineering, Compliance Division, the Office of Business Opportunities and the Mentors is to encourage and offer advice and opportunities to perform on projects so that the M/W/SBE firms can gain the experience necessary to grow their businesses. The success of the program is not guaranteed, but it is hoped that an opportunity will be provided for success.

Furthermore, the relationship between the Mentor and the Protégé is voluntary. Any decisions made by M/W/SBE firms will be the responsibility of the firms. The Mentor and the Protégé must agree to hold the City of Columbia, including its employees and agents, harmless from any claim, suit action, or demand of creditors, or any other person(s) arising out of the program.

The Mentor Protégé Program does not create a contractual relationship between the City and Protégé. The Protégé remains a subcontractor of the Mentor and does not have any other status. The Mentor Protégé Program is not intended to, and does not, make the Protégé an intended third party beneficiary of any agreement between the City and Mentor/Prime Contractor.

## I. GUIDELINES

701 Mentor-Protégé Program  
Guidelines

## II. APPLICATIONS

FOR NEW APPLICANTS AND/OR  
FIRMS THAT NEED TO BE  
RE-CERTIFIED

### A. MENTOR APPLICATION

702ps Mentor Application for  
Professional Services OR  
702cs Mentor Application for  
Construction Services  
707 Company Profile

### B. PROTÉGÉ APPLICATION

703ps Protégé Application for OR  
Professional Services  
703cs Protégé Application for  
Construction Services  
704ps Protégé Assessment for  
Professional Services OR  
704cs Protégé Assessment for  
Construction Services  
707 Company Profile

### C. TEAM APPLICATION

705 Mentor-Protégé Agreement  
706cs Mentor-Protégé Business  
Plan for Construction  
Services OR  
706ps Mentor-Protégé Business  
Plan for Professional  
Services

## III. REPORTING

### A. INDIVIDUAL FIRM REPORTS

ANNUAL REPORTING- (Due the 1st  
of July)

707 Company Profile AND

Financial Statement from a CPA- to  
include Gross Annual Receipts for water  
& sewer projects from the most recent 3  
tax years

### B. TEAM REPORTS

QUARTERLY REPORTING- (Due  
the 10<sup>th</sup> of Jan., April, July & Oct.)

708 Mentor-Protégé Quarterly  
Report

ANNUAL REPORTING- (Due the 1st  
of July)

706cs Mentor-Protégé Updated  
Business Plan for  
Construction Services OR  
706ps Mentor-Protégé Updated  
Business Plan for  
Professional Services

### C. PROJECT SPECIFIC REPORTS

709 Mentor-Protégé Implementation  
Plan OR  
709po/pl Protégé Implementation Plan  
100 Payment Application  
200 Change Order Request

## CONTACT INFORMATION

### COMPLIANCE (MPP/SOP/LBE) CONTACT:

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