

# PSB 12-2

**STATEMENTS OF INTEREST are due by 4:30 p.m. (local time)**

**May 16, 2012**

**Successful Applicants will be notified.**

**Overall results will be posted on the Tollway's website.**

## Professional Services Bulletin

---

No. 12-2

Published May 1, 2012

ISTHA web site: [www.illinoistollway.com](http://www.illinoistollway.com)



Illinois State Tollway  
2700 Ogden Avenue, Downers Grove, IL 60515

# **TABLE OF CONTENTS**

Notice for Contact Information	3
Important Notices	
• Procurement Reform Bill Notice Public Act 96-0795, trailer bill Public Act 96-0920	4
• FAQs	6
Illinois Procurement Bulletin Notice	8
Statements of Interest	
• Information	10
• Guidelines for Submitting Statements of Interest (SOI)	12
• Electronic Submittal Instruction	13 thru 17
• SOI – Consultant Selection Schedule	23
• PSB Items Index	24
• PSB Item Detail	A-1 thru A-2
Recurring Notices	
Phase III Construction Engineering Services	27
Construction and Quality Assurance Consultants	28
QA/QC Clarification	29
State Board of Elections Registration	31
Vendor Delinquent Debt	32
Contract Payment Policy	33
Earned Credit Program Construction Managers Internship	34
Disadvantaged, Minority, Women Owned Business Enterprise (D/M/WBE) Participation	36
Partnership - Mentor/Protégé Program Guidelines	38 – 41
Joint Venture Agreement	42
Required Exhibits and Certifications to be Completed	44
PSB Submittal Check List	45
Notice of Electronic Signatures	47
Signature Certification for Electronic Submittals	48
Certification by Principal of Submitting Firm	49
Exhibit A: Proposed Staff	50
Exhibit B Environmental Questionnaire (If Required)	53
Instructions for Completing Exhibit C	56
Exhibit C: Current Obligations	57
Exhibit D: Availability of Key and Support Personnel	60
Notice of Taxpayer Identification Page Revision	61
Certifications/Disclosure Forms	62
Notice to Out of State Companies	72
Hard Copy Submittal Instructions	73
To Receive E-mail Notification of Future Service Bulletins	74
Tollway Website Access	75

## **NOTICE FOR CONTACT INFORMATION**

**Illinois Toll Highway Authority  
2700 Ogden Avenue  
Downers Grove, IL 60515**

This Professional Services Bulletin (PSB) is the official notice of needed professional services for the Illinois Tollway as authorized by Section 15-1 of the Illinois Procurement Code 30 ILCS 500/15-1. This PSB is available on the Tollway's website at <http://www.illinoistollway.com>; additional information is also posted on the CMS website at <http://www.purchase.state.il.us>.

For instruction on accessing the Tollway website, PSB, and Exhibits please see the last page of this document.

Instruction on registration with CMS can be found in the "Illinois Procurement Bulletin Notice" section of this PSB.

Questions concerning this PSB should be directed to:

**Mr. Gregory R. Stukel, P.E.**  
**Deputy Chief of Program Controls/System Integrity**

E-mail: [gstukel@getipass.com](mailto:gstukel@getipass.com)

Phone: (630)241-6800, Ext. 3929

Or mailing address:

Illinois State Toll Highway Authority  
2700 Ogden Avenue  
Downers Grove, IL 60515

# **IMPORTANT NOTICE**

## **Procurement Reform Bill** **Senate Bill 51(Public Act 96-0795) as revised by Trailer Bill** **3576 (Public Act 96-0920)**

The Procurement Reform Bill commonly known as SB 51 (statutorily known as Public Act 96-0795) went into effect on July 1, 2010. In addition, Trailer Bill 3576, Public Act 96-0920, established applicable changes to SB 51(Public Act 96-0795) for additional Procurement procedures, processes and forms. The following highlights some of the new requirements under the Bill:

### **New Bid Submittal Requirements in Accordance with Public Act 96-0795 as revised by Public Act 96-0920 (Effective 7/1/10)**

#### **Prime Consultants:**

- Requirements are effective with Tollway Professional Services Bulletin10-2 and any subsequent Bulletins.
- Required to submit new Financial and Conflicts of Interest Disclosures with offer (Certification/Disclosure form revision date: v. 12/1/11).
- Requires annual re-certification for multi-year contracts in accordance with the state's fiscal year which begins July 1st.
- Must provide the Tollway a copy of all sub-contracts whose values exceed \$25,000, as soon as possible following Tollway contract award. The sub-contract must not be received more than 20 days after the date the Tollway executes the contract (generally the Notice to Proceed date) or after execution of the sub-contract, whichever is later. The sub-contract must be submitted on CD described in the Frequently Asked Questions section below.

#### **Sub-Consultants:**

- Sub-consultants whose contract value exceeds \$25,000 must provide required State Certifications, Financial & Conflict of Interest Disclosures to the selected Prime.
- Requires annual re-certification for multi-year contracts in accordance with the state's fiscal year which begins July 1st.

**Procurement Reform Bill**  
**Senate Bill 51(Public Act 96-0795) as revised by Trailer Bill**  
**3576 (Public Act 96-0920) (continued)**

**New Bid Communication Requirements in Accordance with Public Act 96-0795 as revised by Public Act 96-0920 (Effective 1/1/11)**

The communications portion of the Act requires state employees to report Vendor Communications to the Procurement Policy Board when the communication involves material information regarding a procurement or potential action concerning a procurement.

**Types of Communications Covered:**

Any written or oral communication – includes a letter, e-mail, face-to-face, group conversation, telephone or teleconference discussion.

**Types of Communications NOT covered:**

- Statements made by a person in a public forum.
- Statements regarding matters of procedure or practice. (Format, Number of copies, Manner of filing, Status).

**Prohibited Bidders and Contractors**

A vendor is not eligible to bid or enter into a contract if:

- They assist the agency in determining a need for a contract, except as part of a response to a publically issued Request for Information.
- They assist the agency by reviewing, drafting or preparing any:
  - Invitation for Bids;
  - Request for Proposal;
  - Request for Information; or
  - Provided similar assistance.

(Except as part of a publicly issued opportunity to review drafts of all or part of these documents.)

Compliance with Public Act 96-0795 as revised by Public Act 96-0920 is an essential part of the Illinois Tollway's contracts.

**Failure to comply with the new requirements shall cause the bid to be rejected as non-responsive.**

# IMPORTANT NOTICE

## FREQUENTLY ASKED QUESTIONS

Q: Where do I submit my electronic Statement of Interest?

A. As stated in the Electronic Submittal Instructions, all electronic submittals must be addressed to [SOIPSB.12-2@getipass.com](mailto:SOIPSB.12-2@getipass.com). Be sure to follow the “subject line” instructions as referenced on page 16 or your e-mail may be rejected.

Q: When do I submit my electronic Statement of Interest?

A. You may submit anytime between the publication date and the due date of **May 16, 2012**, as indicated on the cover sheet. Statements of Interest received **AFTER** the 4:30 P.M. CST deadline **WILL NOT** be considered, including any partial submittals.

Q: We are proposing the services of a sub-consultant that is currently a sub-consultant to the Tollway through another Prime. Do we need to submit the sub-consultant’s current work obligation between the Tollway and the other Prime?

A. Only the Prime needs to submit their current work obligation with the Statement of Interest.

Q: Are sub-consultants required to complete the Certification/Disclosure forms?

A. Known sub-consultants whose contracts exceed \$25,000 SHALL separately complete and submit the Certification/Disclosure forms to the Prime upon selection (See Tollway website for Subcontractor Certification/Disclosure forms). The Prime shall submit same in Adobe Acrobat® .pdf file format on a Compact Disk (CD) to State Purchasing Officer (SPO) through the General Manager of Engineering at 2700 Ogden Ave., Downers Grove, IL 60515 within 20 days of contract execution (generally the Notice to Proceed date).

Sub-consultant agreements and Certification/Disclosure forms for Sub-consultants whose contracts exceed \$25,000, but are **not known at the time** of the offer, shall be submitted within 20 days of execution of the subcontract(s) by the Prime via Adobe Acrobat® .pdf file format on a Compact Disk (CD) to State Purchasing Officer (SPO) through the General Manager of Engineering at 2700 Ogden Ave., Downers Grove, IL 60515.

Q: Does the Prime need to be prequalified in each of the IDOT categories?

A. Each item listed in the Bulletin indicates the specific IDOT prequalification category required, as well as which prequalification categories are eligible to be met through a sub-consultant.

Q: We are considering entering into a Mentor-Protégé agreement. Is there a standard agreement available?

A. The Mentor-Protégé agreement should be developed by the participating parties. However, the agreement must meet the overall objectives of the Mentor-Protégé program as outlined in the Mentor-Protégé Guidelines.

# **NOTICE**

## **ILLINOIS PROCUREMENT BULLETIN NOTICE**

Public Notice in reference to the Illinois Tollway's Professional Services Bulletin is automatically provided through the Central Management Services (CMS) Procurement website and Electronic Mail (e-mail).

All consultants registered with CMS will receive an e-mail notice when a Professional Services Bulletin is released by the Illinois Tollway. The detailed scope for each item and the response criteria will continue to be maintained on the Illinois Tollway web-site.

To receive an electronic notice, consultants must be registered as a vendor with CMS for the Class and Sub-class codes that the Illinois Tollway utilizes for notification purposes.

To register on the Illinois Procurement Bulletin Web-Site, please follow these instructions:

1. Go to <http://www.purchase.state.il.us>
2. From the Illinois Procurement Bulletin Homepage, click "Registration" located at the top of the screen.
3. From the Registration page, click "Registration" under the heading "New Users".
4. Read the General Information and Disclaimer and click "Continue".
5. Shift to FULL SCREEN view.
6. Follow the on-screen instructions.
7. Select drop-down at the top of the screen to see the class codes by "Class Code Number."
8. Scroll down within the list, click the desired Class Code and click the "Add" button; repeating for all Class Codes for which you wish to register and receive notices.
9. If you add a Class Code in error return to the "Add" screen and use the "Remove" button.
10. When all Class Codes have been selected, click the "Ok" button on the selection screen, and the "Submit" button on the Registration screen. You will immediately receive a confirmation at the email address provided during registration.



NOTE: The fields marked with a red dot are required fields and must be completed in order to successfully register. Presently, the option to register for a Sub-class does not exist. Registration is by Class Code only and all Sub-classes are included automatically.

CMS will send an automatic e-mail notification confirming your registration. Please be aware that CMS cannot guarantee the delivery of e-mail notifications. Reviewing the CMS website periodically for existing procurement opportunities is recommended.

If you wish to add or remove Class Codes after registration, click "Update" on the Register screen and follow the prompts.

The following Class Codes are those which Consultants should register to learn about available Illinois Tollway work. Please understand that once registered, your firm will receive notices of opportunities for postings statewide, as other agencies also post their needs on the CMS website.

Please direct questions regarding the registration process or the use of the CMS website to Central Management Services; (800) ILL-BUYS or (866) 455-2897.

# **STATEMENTS OF INTEREST**

## **INFORMATION**

### **PROFESSIONAL SERVICES BULLETIN 12-2**

This Professional Services Bulletin (PSB) is the official notice of needed professional services for the Illinois Tollway. This PSB contains information pertaining to the advertisement for Statements of Interest (SOI) and is part of the official Illinois Procurement Bulletin for the Illinois State Toll Highway Authority as authorized by Section 15-1 of the Illinois Procurement Code 30 ILCS 500/15-1. This PSB is available on the Tollway's website at <http://www.illinoistollway.com>. For further information on accessing the Tollway Website PSB, and Exhibits please see the last page of this document.

This is not an invitation for bids. Firms properly prequalified for the projects listed herein may indicate their desire to be considered for selection by submitting Statements of Interest to the Tollway at [SOIPSB.12-2@getipass.com](mailto:SOIPSB.12-2@getipass.com). The Tollway follows the Qualifications Based Selection (QBS) process mandated by Illinois statute. (30 ILCS 535/1: Architectural, Engineering, and Land Surveying Qualifications Based Selection Act)

STATEMENTS MUST BE RECEIVED BY THE ILLINOIS TOLLWAY AT THE ABOVE REFERENCED E-MAIL BY 4:30 P.M. CENTRAL STANDARD TIME, **MAY 16, 2012**. STATEMENTS RECEIVED AFTER THIS TIME WILL **NOT** BE CONSIDERED.

### **SELECTION CRITERIA**

Members of the Consultant Selection Committee will not be available to discuss specifics of projects listed in this PSB between the date of the submittal and the Selection Committee meeting. Please do not send letters or e-mails expressing interest in specific projects to members of the Consultant Selection Committee.

Selection of professional consultants by the Tollway is based on the firm's professional qualifications, related experience, expertise, and availability of key personnel to be assigned to the project. SOI's will be evaluated based on the following criteria:

- Related experience and technical competence of the personnel and experience of the firms and/or Sub-consultants proposed.
- Familiarity of the firm and any proposed sub-consultants with the work described in the Item. Particular attention will be given to appropriate cost saving measures and innovative ideas that will benefit the Tollway.
- Ability to complete the work in the time required and the firm's existing workload.
- Commitment and availability of Key Personnel.
- Proposed method of accomplishing the project's objectives.
- Quality and scope of D/M/WBE, Mentor Protégé and ECP proposals over and above the goals.

Include performance rating for past work done for the Tollway, IDOT, or any other government agencies or public bodies, if applicable.

# **STATEMENTS OF INTEREST**

## **GUIDELINES FOR SUBMITTING STATEMENTS OF INTEREST (SOI)**

### **REQUIRED FORMAT FOR SUBMITTING STATEMENTS OF INTEREST**

The firm acting as the prime must be prequalified in all of the prequalification categories requested in the project advertisement even if they plan to subcontract part of the project; except where noted in a specific project advertisement. Any consultant, prime or sub must be prequalified by IDOT in the category of work they are performing. All pre-qualifications must be obtained no later than the final date established for the receipt of Statements of Interest for any Items bid.

No color graphics or photographs should be included in the submittal.

All Exhibits must be current. Exhibits from previous PSBs will not be accepted.

Prequalified firms may indicate their desire to be considered for selection on any of the projects listed within this PSB by submitting a separate SOI for each project. Each SOI must be submitted using the following basic format:

#### **COVER SHEET**

Include Firm Name, PSB Number, Item Number, and **all** sub-consultants.

#### **TABLE OF CONTENTS**

Include Section Number and Page Numbers

#### **SECTION 1. Executive Summary (limit to 2 or 3 pages)**

- A. Name of firm, address, telephone number, and contact person
- B. List all Sub-consultants, the work the firm(s) will be performing and a contact person for each. Identify any D/M/WBE's. Sub-consultants must be prequalified in the area of work they will be performing. Include Mentor Protégé data if participating.
- C. Name of Project Manager
- D. Name of Project Engineer
- E. Project Understanding
- F. Project Approach (include brief statement of firm's unique qualifications and experience, approach to the project's specific challenges such as maintenance of traffic, environmental constraints, budget constraints, schedule constraints, design challenges, etc.)
- G. Statement that firm will meet or exceed the D/M/WBE goal for the item. Include the percentage of work to be completed by proposed D/M/WBE firms (Percentages must match those submitted with SOI Team Spreadsheet).

#### **SECTION 2. Organization Chart**

Include names and titles for all Key and Support Personnel

# **STATEMENTS OF INTEREST**

## **GUIDELINES FOR SUBMITTING STATEMENTS OF INTEREST (SOI)**

### **SECTION 3. Personnel:**

#### **Exhibit A: Proposed Staff**

Please include Exhibit A in Section 3 of your Statement of Interest and complete as follows:

- A. Include resumes for all Key Personnel on the project (Prime firm and sub-consultants). Resumes for each individual should not exceed two (2) pages and should include only relevant experience for the specific Item.
- B. List the required key personnel to match required prequalification categories and any additional personnel requirements designated in the project advertisement. (Include firm name if work is to be completed by a sub-consultant.)
- C. QC/QA personnel must be different individuals than staff preparing the documents.
- D. Identify proposed sub-consultants and item(s) of work they will perform. If a D/M/WBE Goal is advertised, list the D/M/WBE sub-consultants(s) including the percentage of work each firm will be performing. All sub-consultants must be prequalified in the area of work they will be performing.

Construction Management Services require the names and resumes of Certified Record Documentation Reviewers and Inspectors that will be assigned to the project. Specific requirements are explained in the Phase III Items.

### **SECTION 4. Availability of Key and Support Personnel Form**

#### **Exhibit D.**

Firms must show the percentage of time that identified Key and Support personnel will be available to work on the project described in each Item. We request both a Word document and Excel spreadsheet be completed with relevant information.

### **SECTION 5. Relevant Project Experience**

Include a minimum of three (3) relevant projects of equal or greater complexity demonstrating the firm's experience in the type of work required for the specific Item. Each relevant project should not exceed two (2) pages. The use of photos is highly discouraged, however, photos may be sent with the e-mail files with the understanding that e-mail size is not to exceed 7MB.

### **SECTION 6. Exhibit B:**

Projects involving Location/Design Studies and Environmental Reports require completion of this Exhibit.

### **SECTION 7. Exhibit C:**

Current Obligations of Work (This form must be submitted in a separate e-mail if submitting electronically. See instructions for electronic submittals.)

# NOTICE

## ELECTRONIC SUBMITTAL INSTRUCTIONS

**Please carefully read the instructions below BEFORE submitting your Statements of Interest.**

It is CRITICAL that submittal instructions be followed. All Forms, ESPECIALLY the SOI Team spreadsheet (SOITEAM.xls) must be submitted per the following directions. Failure may result in an incomplete submittal resulting in your firm being disqualified. For further information on accessing the Tollway Website, PSB and Exhibits please see the last page of this bulletin.

The Tollway requires an electronic submittal of the Statements of Interest, and a SOI Team spreadsheet (SOI Team: Prime and sub-consultant PSB 12-2) that captures critical information used in the Selection Process. The instructions are as follows:

The SOI Team Spreadsheet format cannot be altered; no cutting and/or copying, linking or pasting of any information. You must obtain the "SOI Team: Prime and sub-consultant PSB 12-2" Spreadsheet from the Tollway Website. The SOI Team Spreadsheet includes a separate worksheet for every Item advertised in this PSB. Complete the Worksheet for each Item, completing all columns shown for the Prime consultant, and for each proposed sub-consultant. For each sub-consultant the Prime's firm name must be entered in the first column. YOU MAY NOT ADD, or DELETE columns, or reformat the sheets or any setting in the cell (font/type). Only complete the worksheet for the Item that you wish to submit a SOI on: all other worksheets may be deleted from the Spreadsheet before being submitted to the Tollway.

The SOI Team Spreadsheet contains imbedded formulas – DO NOT MODIFY THE COLUMNS, ROWS AND/OR ANY CELLS. All information needs to be typed - not copied in. DO NOT skip rows when entering information; there should be no blanks between information. DO NOT write-protect your submissions. DO save your file with your cursor in cell A1 and as an Excel 97-2003 before submitting.

The SOI Team Spreadsheet is to be submitted once as a single Spreadsheet containing Worksheets for each Item.

Subject: **SOIPSB12-2, FIRM NAME CODE, ITEM (#'s)**

**Do NOT send your spreadsheet as a .pdf file – it must be in the Excel format as provided.**

All required Exhibits can be found on the Tollway's Website.  
(<http://www.illinoistollway.com>)

- When submitting "Partnership Mentor/Protégé" team information, please use the Prime's 2-6 character Firm Name Code.
- When submitting "Joint Venture" team information please, use the **new** Firm Name Code assigned to the Joint Venture.

## **NOTICE**

It is important that the Submittal Instructions be followed. Failure to follow the instructions may result in your firm being disqualified.

Address electronic submittals to [SOIPSB.12-2@getipass.com](mailto:SOIPSB.12-2@getipass.com)

You will receive an e-mail delivery receipt confirmation if submitted correctly.

When sending your Statements of Interest electronically, the subject line MUST read:

### **SOIPSB12-2, FIRM NAME CODE, ITEM 1**

Any variation excluding SOIPSB12-2 from the subject line will result in your firm's submittal(s) being directed to a "SPAM FOLDER" which will automatically delete the e-mail.

#### **In the event of bid/offer disqualification:**

You may submit a written protest of our actions to the PROTEST REVIEW OFFICE following the requirements of the Standard Procurement Rules (44 Ill. Adm. Code 1.5550). We must physically receive the protest by noon of the seventh calendar day after you knew or should have known of the facts giving rise to the protest.

#### **PROTEST REVIEW OFFICE:**

CHIEF PROCUREMENT OFFICER  
ATTN: PROTEST REVIEW OFFICE  
401 S. SPRING STREET  
SUITE 518, STRATTON OFFICE BUILDING  
SPRINGFIELD, IL 62706  
PHONE: (217) 558-2127  
FACSIMILE: (217) 558-2164  
ILLINOIS RELAY: (800) 526-0844

# **ELECTRONIC SUBMITTAL INSTRUCTIONS (cont.)**

The Tollway requires electronic submittals for the Professional Services Bulletin's Statements of Interest. All firms prequalified with the Illinois Department of Transportation (IDOT) are able to transmit their responses to the Tollway's Bulletins by e-mail. All respondents to the Tollway Bulletin are to identify themselves in their electronic submittal by using the same unique 2 to 6 character Firm Name Code assigned to IDOT prequalified consultant firms. This code is located at the top of IDOT's SEFC Prequalification Page next to the Firm Name. It is also sent with your annual IDOT prequalification letter.

If your firm is not prequalified with IDOT and does not have a Firm Name Code, please call Stella Banak at (630)241-6800, Ext. 3987.

1. All electronic submittals must be addressed to [SOIPSB.12-2@getipass.com](mailto:SOIPSB.12-2@getipass.com)
2. All electronic submittals of your firm's e-mails subject lines MUST read: **SOIPSB12-2, FIRM NAME CODE, ITEM (#'s)**.  
\*When submitting "Partnership Mentor/Protégé" Team files, please use the Prime's 2-6 character Firm Name Code. When submitting "Joint Venture" team files please, use the **new** Firm Name Code assigned to the Joint Venture.
3. All Statements of Interest to be submitted through the e-mail system must use Adobe Acrobat 5.0 version or greater.
4. The size limitation on incoming e-mails is 7MB. If you exceed this limit, you must separate the contents into multiple e-mails. Identify the number of e-mails being sent (i.e. 1 of 3). Please do not submit part of an Item in one e-mail and another part in the next e-mail. Only those Item submittals that exceed 7MB should be submitted in more than one e-mail.
5. Scanned images, color graphics, and photographs which are converted to Adobe Portable Document Files (PDF) can be very large. Therefore, color graphics, photographs and company logo images should not be included in the SOI submittal. Scanned images are discouraged since all of the Forms and Exhibits are available on the Tollway's website. The Word and Excel documents are labeled as follows:

Exhibit A.doc
Exhibit B.doc
Exhibit C.doc = WL.pdf
Exhibit D.doc & Exhibit D.xls
Certification by Principal.doc
Signature Certification.doc
Certification Disclosure Forms.doc = DS.pdf
SOITEAM Spreadsheet.xls = SOITEAM.xls
ECP Internship Weekly Sign-in and out sheet
Mentor-Protégé Details

Once you complete the Word documents **convert them to Adobe .pdf** for the submittal.

## **ELECTRONIC SUBMITTAL INSTRUCTIONS (cont.)**

6. Do not send zipped files. They will be rejected and cause your submittal to be denied.
7. SOI e-mails must be received BY 4:30 P.M. CST. Any e-mails or partial submittals received after that time will be rejected.
8. It is important that your e-mail be prepared according to the following instructions. (Note: Engineering is used for example purposes only.)
  - The Subject Line **must** read: **SOIPSB12-2, FIRM NAME CODE, ITEM 1**
  - The first line of your e-mail should indicate your Firm Name, PSB and Item Number(s) for which your firm is submitting. If submitting more than one e-mail due to size, only reference the item numbers included with the e-mail.
  - The second line should list the name and phone number of your firm's contact person.
  - Each attachment must be labeled as indicated below:
    - 1) For each Item on which you are submitting, use your 2-6 character Firm Name Code (this example = abc), immediately followed by the 2-digit Item Number (i.e., 01 through 99).  
(Example: abc02.pdf)
    - 2) For your firm's Certification by Principal (Exhibit A), use your 2-6 character Firm Name Code, followed by PRN.  
(Example: abcPRN.pdf)
    - 3) For your firm's Disclosure Forms (Exhibit B), use your 2-6 character Firm Name Code, followed by DS.  
(Example: abcDS.pdf)
    - 4) For your firm's Current Obligations (Exhibit C), use your 2-6 character Firm Name Code, followed by WL.  
(Example: abcWL.pdf)
    - 5) For your firm's SOITEAM Spreadsheet, use your 2-6 character Firm Name Code, followed by SOITEAM.xls. (The firm name for a firm participating in the Mentor Protégé program should use the Prime's 2-6 character Firm Name Code. Firms involved in a Joint Venture should each fill out an SOITEAM spreadsheet with their own Firm Name Code – for this document only. For Joint Ventures; the subject line of each email should utilize the new Firm Name code assigned to the Joint Venture.)  
(Example: abcSOITEAM.xls)

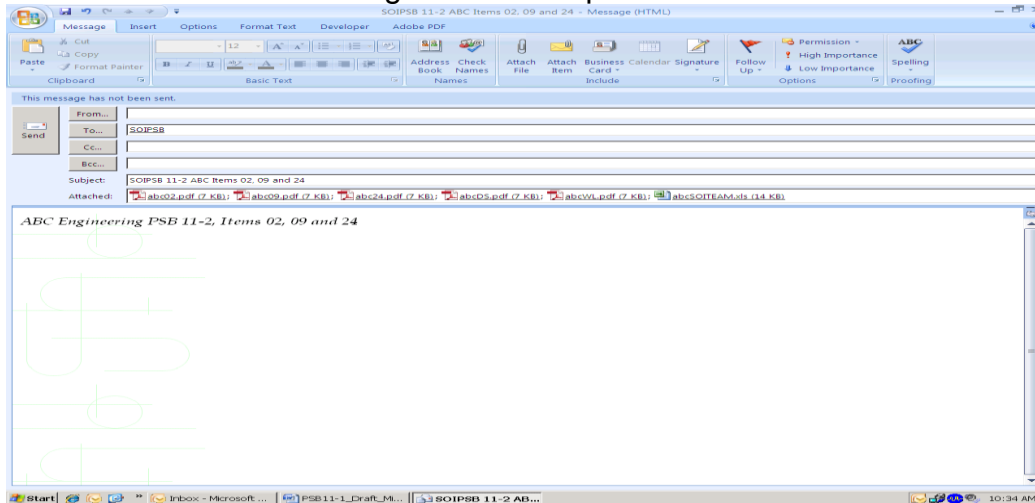
***DO NOT CONVERT THE SOITEAM SPREADSHEET INTO pdf.***



9. Signatures must be scanned, then cut/copied and pasted into the appropriate signature blocks. The file (except SOITEAM and Exhibit D.xls) must then be converted to a PDF.

## **E-MAIL INSTRUCTIONS FOR ELECTRONIC SUBMITTAL**

\*Please review the following e-mail example:



Detail Descriptions of Attachments for electronic submittal:

- abc02, abc09 and abc24 are the Statements of Interest for the submitted Items and must include Exhibit A. Following Exhibit A, include resumes of key management personnel and project staff listed in Exhibit A. If Exhibit B is required, include next, followed by resumes of individuals listed on page 2 of Exhibit B.
- abcPRN is the Certification by Principal. Only one copy of the Certification is required.
- abcDS is the Disclosure Forms. Only one copy of the Disclosure Forms is required. (The word file "Certification Disclosure Forms.doc" includes all certification forms, the Disclosure of Business Operations in Iran and the Delinquent Debt Form.)
- abcWL is the Current Obligation Form (Exhibit C). Only one copy of the Current Form is required. Instructions shown on page one should not be sent.
- abcSOITEAM.xls is the "SOI Team Prime and Subconsultant PSB 12-2" Spreadsheet. Since the Spreadsheet contains a worksheet for each ITEM only one copy of the SOITEAM.xls file is required.
- abcExhibitD.xls is the spreadsheet version of Available Key and Support Personnel. The last column is to indicate the actual percent of time to be spent on the project.
  - All required Exhibits can be found on the Tollway's Website.  
(<http://www.illinoistollway.com>)

\*This example is an illustration of the use of "Firm Name Code's" and file names. Please follow the Electronic Submittal Instructions regarding e-mail size limitations.

# STATEMENTS OF INTEREST

## INFORMATION

### A. DIRECT LABOR MULTIPLIER

The Direct Labor Multiplier to be used on all projects advertised in the PSB is as follows:

Phase I and II (Studies, Design, and Survey)	2.8
Phase III (Construction Management)	2.8
Program or Project Management	2.5
<ul style="list-style-type: none"> <li>• Program Management Office</li> <li>• Program Oversight Monitor</li> <li>• Design Managers</li> <li>• Construction Managers</li> </ul>	

The Direct Labor Multiplier for specialty engineering services will be based upon the firm's current overhead and negotiated rate.

### B. SALARY CAPS AND PERSONNEL COMPENSATION

**Project Management**  
**Project Managers and Principals \$70 per hour**

**Personnel with specialized expertise required for Project Management, DSE, and CM projects**

*Personnel brought in as "experts" can bill at a rate not to exceed \$85 per hour with the written approval of the Chief Engineer. These personnel are not assigned to the project as Key Personnel but are available to assist in specific areas of expertise as needed.*

### C. ESTIMATED CONSTRUCTION COST OF PROJECTS

The estimated construction cost of each project is presented in the following categories or may be specific to a project detail. This is to assist the consultant in determining the relative size of the project. The construction cost category will be included in each Item. The categories are:

CATEGORY	ESTIMATED CONSTRUCTION COSTS
1	\$0M - \$ 10M
2	\$ 10M - \$ 25M
3	\$ 25M - \$ 50M
4	\$ 50M - \$ 75M
5	\$ 75M - \$100M
6	Over \$100M

# **STATEMENTS OF INTEREST** **INFORMATION**

## **ALLOWABLE DIRECT COSTS**

Allowable direct costs have been updated as of August 1, 2008 and can be found on the Tollway's website.

(<http://www.illinoistollway.com>)

For information on accessing the Tollway Website please see the last page of this document. The website for State Reimbursement rates is:

[http://www.state.il.us/cms/2\\_servicese\\_oth/trvlreim.htm](http://www.state.il.us/cms/2_servicese_oth/trvlreim.htm)

# **STATEMENTS OF INTEREST** **INFORMATION**

## **ALLOWABLE DIRECT COSTS**

**08.01.2008**

The following costs are allowable when requested by the Department and included in the contract. The costs are allowable when it is customary for the firm to bill for the cost and it can be itemized in the firm's billing and accounting systems.

Per Diem	State Rate (Maximum)
Lodging	State Rate (Maximum)
Air Fare	Coach Rate with 2 weeks advance purchase
Vehicles	
Mileage	State Rate* (Maximum)
Daily Rate (owned or leased the same)	\$45/day (Maximum) Including Tolls
Overtime	Premium portion
Tolls	Actual Cost
Film and Film Processing**	Actual Cost
Overnight Delivery/Postage Courier Service	Actual Cost
Copies of Deliverables and Mylars	Actual Cost
Specific Insurance – required for project	Actual Cost
CADD	Actual Costs (Maximum of \$15.00/Hr)
Monuments – Permanent	Actual Cost
Payment for Newspaper Ads	Actual Cost
Web Site	Actual Cost
Facility Rental for Public Meetings & Exhibits/Rendering & AV Equipment/Transcriptions	Actual Cost
Recording Fees	Actual Cost
Courthouse Fees	Actual Cost
Testing of Soil Samples	Actual Cost
Lab Services (excluding Phase III normal construction inspection such as beam breaks, cylinder breaks, pavement cores) Equipment rental specific for project (snooper for bridge inspection, noise meter, etc.)	Actual Cost
Specialized equipment – on an as needed basis with prior approval	Actual Cost
Traffic Systems	Actual Cost
Mobile Phone (for traffic system implementation)	
Telephone Usage (for traffic system monitoring)	
Storm sewer cleaning and televising	Actual Cost
Traffic control and protection	Actual Cost
Aerial photography and mapping	Actual Cost
Utility exploratory trenching	Actual Cost

# **STATEMENTS OF INTEREST** **INFORMATION**

## **ALLOWABLE DIRECT COSTS**

- \*website for State Reimbursement Rates  
[http://www.state.il.us/cms/2\\_servicese\\_oth/trvlreim.htm](http://www.state.il.us/cms/2_servicese_oth/trvlreim.htm)
- \*\*Use of digital cameras verses film cameras is encouraged when firms own digital cameras and the discussion of their use will be part of the negotiations. Film & copies will be reimbursed at actual costs.
- On all agreements authorization after January 1, 2005, "GPS Equipment" is considered tools of the trade.

# STATEMENTS OF INTEREST INFORMATION

## ALLOWABLE DIRECT COSTS Construction Inspection

### Construction Inspection Communications:

Cell Phones (maximum of 3 without additional approval. Personal phones that do not remain on the job site are not allowable)	\$70/month/phone (Maximum)
Radio Communication	Actual Cost
2-way Radio	Actual Cost

<b>Vehicles (Only for Vehicles assigned to project)</b> <b>DAILY RATE ONLY</b>	<b>\$45/day (Maximum)</b> Including Tolls
---	--

The number of days will be calculated as follows:

For extended stay\*\*- Number of days on job site plus one

Day to travel to and from job site

Weekly (hotel) – Number of days on job site plus one day to

Travel to and from job site per week.

Shift Differential

Actual Cost based on  
firm policy

\*\*Extended Stay Status applies to individuals on the project over 20 Consecutive working days. The decision whether individuals will stay over the weekend will be made after the Contractor's Schedule is available and shall be made jointly by the Consultant Liaison and the IDOT Resident.

### NOTES:

For CM contracts, beam and cylinder breaks are not reimbursable.

Overtime to employees traveling to and from the site will be allowed depending on the firm's policy and limited to the Tollway's CM Manual allowance.

# **STATEMENTS OF INTEREST**

## **SCHEDULE FOR CONSULTANT SELECTION**

<b>Task</b>	<b>Date Due</b>
Statement of Interests (SOIs) Due from Consultants – Standard Disclosures required from Respondent. Upon selection of the Prime, sub-consultants whose contracts exceed \$25,000 SHALL separately complete and submit the Certification/Disclosure forms to the Prime. The Prime shall submit same in Adobe Acrobat® .pdf file format on a Compact Disk (CD) to State Purchasing Officer (SPO) through the General Manager of Engineering at 2700 Ogden Ave., Downers Grove, IL 60515 within 20 days of contract execution (generally the Notice to Proceed date).	May 16, 2012
Consultant Selection	Week of May 21, 2012
Notify Consultants of Selection	Week of May 21, 2012
Final Proposal/Agreement Due from Selected Consultant	June 2012
Board Approval – Copies of all sub-consultant agreements that exceed \$25,000 must be submitted to the State Purchasing Officer (SPO) through the General Manager of Engineering at 2700 Ogden Ave., Downers Grove, IL 60515 no later than 20 days from contract execution (generally the Notice to Proceed date).	June /July 2012
Notice to Proceed	July/August 2012

## Professional Services Bulletin No. 12- 2

Item No.	County	Description	Page
1	Boone, McHenry, Kane	<b>I-90, Roadway Widening I-39 to Elgin Toll Plaza.</b> Construction Management Services.	A-1



**1. Roadway Widening, Jane Addams Memorial Tollway M.P. 17.4 (I-39) to M.P. 53.8 (Elgin Toll Plaza)**

This project has a 20% D/M/WBE participation goal.

Phase III engineering services are required for three construction contracts related to the advanced work contracts associated with future roadway and bridge widening on the Jane Addams Memorial Tollway between M.P. 17.4 (I-39) to M.P. 53.8 (Elgin Toll Plaza) in Boone, McHenry and Kane Counties, Illinois.

The Consultant will perform on-site inspection, review layout of contract including design changes, provide geotechnical inspection and testing, prepare records, maintain documentation, submit pay estimates and change orders and any other duties requiring the services of an engineer to complete this project on a timely basis and in accordance with Tollway specifications. The Consultant must complete and submit final measurements, calculations and final contract documents to the Tollway no later than six (6) weeks after completion of Punch List for the project. The Consultant must have MicroStation capabilities. All final documents shall be submitted in hard copy and electronic format and follow the ICAPP Manual. All CADD file documents shall be required to contain all record drawing modifications.

Firms must be prequalified by IDOT in the following categories:

**Special Services (Construction Inspection)  
Highways (Freeway)**

The Tollway will allow a Prime consultant to meet the prequalification for Highways (Freeway) through a subconsultant.

Key personnel listed on **Exhibit A** for this project must include:

- The Resident/Liaison Engineer (must be an Illinois Licensed Professional Engineer or an Illinois Licensed Structural Engineer).
- The Materials Coordinator.
- The Document Technician. (The person actively performing the documentation on the project must possess a current IDOT Construction Document certificate. **Include the Documentation Certificate Number for IDOT class S-14, Documentation of Contract Quantities.**)
- The Materials QA Technician.
- The person who will be responsible for roadway design related issues (must be an Illinois Licensed Professional Engineer).

Construction estimate: Category 3.

Schedule: Construction of this project is scheduled to start in Fall 2012 and be completed by Spring 2013.

The Consultant must have MicroStation capabilities. All final documents shall be submitted in hard copy and electronic format and follow the ICAPP Manual.

This project will be managed through the Tollway's web-based project management system. The Consultant will be required to participate in these procedures and will receive training on the system.

The Tollway will furnish the Consultant with guidelines for the Consultant's Quality Program (CQP). The CQP is due fourteen (14) days after Notice to Proceed.

The Consultant who is selected for this project will be notified and scheduled to attend a scope briefing at the Tollway Central Administration office building in Downers Grove.

# **NOTICE**

## **PHASE III: CONSTRUCTION ENGINEERING SERVICES**

**The following applies to all Phase III Engineering service items.**

**After the Consultant has been selected, the incumbent CM shall provide the following to the Tollway:**

The Consultant selected for the Construction Management (CM) Services shall submit for the Tollway's review and approval, a management plan for the specific Project for which the Consultant is selected. This plan shall include an outline of the full-time or part-time plant and on-site inspection services sampling and laboratory testing the Consultant plans to provide for Quality Assurance. The selected CM's Consultant's Quality Program (CQP) shall include the identification and pre-qualifications of the Field Inspectors and Laboratory Technicians to be assigned to this project as employees of the Consultant or a qualified Sub-consultant. The CQP shall include periodic verification by an independent qualified Sub-consultant that the Quality Assurance operations are proceeding as specified using the proper methods of sampling and testing.

The name of any accredited Material Laboratory(s) to be utilized for the Quality Assurance work must be provided with the CQP. The laboratory must be accredited under the AASHTO Accreditation Program (AAP). The AAP requires on-site inspections and participation in proficiency ample programs. The Portland cement concrete PCC inspections and proficiency programs are conducted by the Cement and Concrete Reference Laboratory (CCRL). The hot-mix asphalt (HMA) programs are conducted by AASHTO Materials Reference Laboratory (AMRL). Either CCRL or AMRL can conduct the aggregate program for your lab. Both AMRL and CCRL are schedule to be in Illinois this year.

The laboratory shall be accredited in all of the test procedures specified in IDOT Bureau of Materials and Physical Research (BMPR) Policy Memorandum "Minimum Private Laboratory Requirements for Construction Materials Testing or Mix Design." The current IDOT policy (2001-01) can be found in IDOT's Manual of Test Procedures for Materials.

Personnel performing materials testing for aggregate, PCC, and HMA shall have completed the appropriate QC/QA trained technician classes. Personnel performing soils field tests shall have completed IDOT class S-33, "Standard Earth Density." (Detailed on next page.)

The Laboratory Technicians to be assigned to this project must be prequalified by having passed the IDOT 3-day Aggregate training courses for Aggregate Testing and the IDOT QC/QA Level I and Level II (HMA and PCC) Testing Courses.

The Field Inspectors assigned to this project for on-site Quality Assurance must be prequalified by having passed the IDOT QC/QA Half-Day Nuclear Density training course, for earthwork quality control and for monitoring the on-site bituminous construction work. The Field Inspectors assigned to the on-site quality control of concrete placement shall be prequalified by having passed the IDOT/ACI Portland Cement Concrete Level I training course. Personnel performing soils field tests shall have completed IDOT class S-33, "Standard Earth Density."

The Consultant's Quality Assurance responsibilities at the material production plants shall be performed by a Field Inspector having passed the 3-day IDOT Aggregate Gradation Control System training course combined with the IDOT QC/QA Level I and Level II (HMA and PCC) Testing courses to perform the specified inspection of approved materials at the concrete and bituminous plants.

# **NOTICE**

## **CONSTRUCTION AND QUALITY ASSURANCE CONSULTANTS**

### **S 33-Geotechnical Field Testing and Inspection Class**

S33 is a required class for technicians performing soil tests on construction projects. This includes consultant personnel providing Construction Inspection or Quality Assurance Testing on Tollway projects. The Illinois Department of Transportation (IDOT) will schedule sessions of this class after determining the demand. Below is a description of the class and sign-up information.

#### **Course Objectives**

The student will be able to do the following: 1. Determine the Standard Dry Density and Optimum Moisture content of soil or soil mix according to AASHTO T 99. 2. Determine in-place density in accordance with approved test procedures. 3. Select the correct soil curve by the use of a one-point proctor and/or textural classification of the soils. 4. Determine the moisture content of a soil by either laboratory or field methods. 5. Perform validity checks of the soils test results. 6. Report results in accordance with departmental requirements.

#### **Prerequisites:**

1. One year of college level technical training or six months experience, or consent of the course instructor.
2. High school math, including ability to calculate percentages.

#### **Course Length:**

Two Days, including written examination.

#### **Cost:**

There is no cost to consultants.

#### **Location:**

District One, District Eight, and other locations determined by demand.

#### **Schedule:**

As determined by demand; late fall, winter, and early spring.

#### **To Register:**

Mail or Fax a note or e-mail Brad Risinger in the Technical Training Unit. For each proposed registrant, provide name, firm name, address, phone, FAX and e-mail. Please list multiple registrants in priority order, since seating in initial classes may be limited.

Brad Risinger  
IDOT – Bureau of Operations  
313 Hanley Building, Room 009  
2300 S. Dirksen Parkway  
Springfield, IL 62764  
(217)557-2070  
FAX (217)782-1927  
[Brad.Risinger@illinois.gov](mailto:Brad.Risinger@illinois.gov)

# **NOTICE**

## **QUALITY ASSURANCE PREQUALIFICATION CATEGORY**

### **By the Illinois Department of Transportation (IDOT)**

This notice is for consultants who are or wish to be, prequalified in the Quality Assurance (QA) prequalification category. The requirement for accreditation of QA Testing laboratories was phased in over time and is now required.

QA Testing labs must be fully accredited to be considered for any new contracts or to renew prequalification.

NOTE: Neither prequalification nor accreditation is required for consultants working directly for contractors, performing Quality Control (QC) activities.

Synopsis of requirements:

- The laboratory must be accredited under the AASHTO Accreditation Program (AAP). The AAP requires on-site inspections and participation in proficiency ample programs. The Portland cement concrete PCC inspections and proficiency programs are conducted by the Cement and Concrete Reference Laboratory (CCRL). The hot-mix asphalt (HMA) programs are conducted by AASHTO Materials Reference Laboratory (AMRL). Either CCRL or AMRL can conduct the aggregate program for your lab. Both AMRL and CCRL are schedule to be in Illinois this year.
- The laboratory shall be accredited in all of the test procedures specified in IDOT Bureau of Materials and Physical Research (BMPR) Policy Memorandum "Minimum Private Laboratory Requirements for Construction Materials Testing or Mix Design." The current IDOT policy (2001-01) can be found in IDOT's Manual of Test Procedures for Materials. An update is scheduled to be Published DATE soon and may be viewed or downloaded from the IDOT web-site.
- Personnel performing materials testing for aggregate, PCC, and HMA shall have completed the appropriate QC/QA trained technician classes. Personnel performing soils field tests shall have completed IDOT class S-33, "Standard Earth Density." The laboratory must be accredited under the AASHTO Accreditation Program (AAP). The AAP requires on-site.

The description of the prequalification categories, the SEFC, and the BMPR Policy Memo may be viewed or downloaded from the IDOT Internet Site: <http://www.dotil.gov>

Information about the AAP accreditation and AMRL programs may be found on the AMRL Web Site: <http://patapsco.nist.gov/amrl/home/index.asp>

Information about the CCRL inspection and proficiency sample programs may be found on the CCRL Web Site: <http://www.bfrl.nist.gov/862/ccrl/front.htm>

# NOTICE

## FOR CLARIFICATION OF STATEMENTS OF INTEREST REQUIREMENTS

A Statement of Interest listing the same individual as being responsible for performing both the work and Quality Control/Quality Assurance for the same work **is not** acceptable. The Quality Control/Quality Assurance personnel on Exhibit A should not be the same personnel preparing the data. If the prime firm does not have personnel to cover the QC/QA requirements then a Sub-consultant prequalified in the category may be used.

The following sections have been added to the Guidelines in the Professional Services Bulletin and the advertisements.

5) Complete Exhibit A as follows:

- a) List the required key personnel to match required prequalification categories and any additional personnel requirements designated in the project advertisement. Include firm name if work is to be completed by a Sub-consultant.
  
- b) QC/QA personnel must be different individuals than those preparing the documents.

# NOTICE

## STATE BOARD OF ELECTIONS REGISTRATION PUBLIC ACT 95-971 AS AMENDED BY PUBLIC ACT 96-0848

Public Act 95-0971, as amended by Public Act 96-0848, went into effect January 1, 2009. The Act addresses campaign contributions, as well as registration and reporting requirements with the State Board of Elections, for certain State vendors and bidders. Accordingly, this solicitation contains the provisions that implement the Act. These provisions may be applicable to the contract resulting from this solicitation.

As a result, certain business entities are required to register with the State Board of Elections. A business may register electronically by going to <https://BEREP.elections.il.gov> or by accessing the Board of Elections website at <http://www.elections.il.gov> and clicking on the Business Registration tab. An updated certificate of registration is produced upon registration as well as each time any required information is changed by the user.

Frequently asked questions regarding Board of Elections registration and its implementation can be reviewed at:

<http://www.elections.il.gov/businessregistration/businessregistrationfaq.aspx>

To demonstrate compliance with Public Act 95-971, bidders **MUST** submit a current copy of the Board of Elections registration certificate with their proposals/bids.

**Failure to submit the Board of Elections registration certificate will result in rejection of your proposal/bid.**

# **NOTICE**

## **VENDOR DELINQUENT DEBT**

In accordance with Illinois Procurement Code 30 ILCS 500/Section 50-11 vendors and their affiliates are barred from submitting or being awarded a state contract if there is an unsatisfied delinquent debt with the State.

Prior to awarding any contract or entering into any agreements, state agencies are required to inquire, using the vendor FEIN, the Comptrollers Offset System to determine if any delinquent debt has been placed by a state agency. The inquiry shall be made for the prime vendor and each known sub-contractor.

If delinquent debt is confirmed on the Prime contractor/consultant, the award may not be granted.

If delinquent debt is confirmed on a sub-contractor/consultant, the award may still be made to the Prime contractor/consultant; however, the sub-contractor/consultant may not be used as part of the contract until the debt has been satisfied. Every sub-contractor/consultant contract shall contain a certification by the sub-contractor/consultant that it is not barred from being awarded a contract under 30 ILCS 500/50-11.

Therefore, the Federal Employment Identification Number (FEIN) is to be included by the consultant in the SOI Team Spreadsheet for both the Prime consultant and all known sub-consultants.



## **NOTICE**

### **ILLINOIS TOLLWAY'S CONTRACT PAYMENT POLICY**

The Illinois Tollway will no longer make payments under contracts for costs incurred during the preceding calendar year if any invoice for that work is received after February 28th of the subsequent fiscal year.

This policy will enable the Illinois Tollway to close its financial books both on time and accurately. In order to meet the requirements of Generally Accepted Accounting Principles and those of the Illinois Auditor General and external auditors, the Tollway must account for all of its expenditures for a given year before the end of the subsequent February.

The Illinois Tollway's current contracts already require vendors to submit their invoices and progress reports on the 20<sup>th</sup> of each month for the previous month's work. Therefore, we do not anticipate this change in policy to have an adverse impact on payment of invoices.

This policy includes payment of any "re-bill" issues that may arise. We are unable to make any payments for work in a given year if it has not been properly invoiced to the Illinois Tollway by February 28th of the following year.

# **NOTICE**

## **EARNED CREDIT PROGRAM CONSTRUCTION MANAGERS INTERNSHIP**

The Earned Credit Program (ECP) Construction Managers Internship was formed to promote the hiring of ECP candidates by placing them within Tollway projects. The ECP Construction Manager Internship Program provides contractors the benefit of observing ECP candidates' abilities on the jobsite prior to hiring. ECP candidates benefit from exposure to different trade unions, contractors and sub-contractors within Tollway projects.

The ECPCM Internship Program is a four-week program (160 hours) that prepares candidates by exposing them to the work setting of a construction site. The program provides ECP candidates with the opportunity to be involved in day-to-day operations, obtain safety training and have access to contractors for job interviewing purposes. The interns are mentored to enhance their "soft-skills" as they interface with the various elements of the work site.

ECP candidates should:

1. Shadow and assist field inspectors.
2. Participate in job meetings with project managers, construction managers, contractors and sub-contractors.
3. Maintain a field journal used in discussions with engineers.
4. Schedule and undergo interviews with contractors and sub-contractors on the jobsite.

Construction managers should:

1. Introduce ECP candidates to contractors and sub-contractors on the jobsite and help in coordinating interviews.
2. Provide counsel and feedback through a bi-weekly evaluation process.
3. Upon completion of the 160 hours of internship, bill the time to the Tollway through the regular invoicing process.

The purpose of the ECPCM Internship Program is to encourage union signatory contractors, sub-contractors and fabricators to sponsor into applicable unions qualified and eligible disenfranchised individuals: African Americans, Hispanics, females, ex-offenders and veterans referred to them by the Tollway. These disenfranchised individuals have been screened using industry standards for union membership. The "credit" is currently only applicable to the Tollway's Congestion Relief Program contracts, however, the ECP candidates can be assigned to work anywhere in the State of Illinois as long as they are paid union-scale wages and benefits.

Job placement opportunities are created by the construction manager advocating placement of the candidate with project general contractors or sub-contractors. The ultimate goal of the program is to place ECP candidates with a construction company and, if necessary, sponsor them into a trade union.



Illinois State Toll Highway Authority  
 ECP Internship Program  
 Weekly Sign-In and Out Sheet

Construction Manager \_\_\_\_\_

Resident Engineer \_\_\_\_\_

ECP Intern \_\_\_\_\_

Date	ECP Intern Signature	Time Arrived	Time Departed	Total Hours

**Internship Performance Evaluation**

Project Number \_\_\_\_\_ Location \_\_\_\_\_

Total Hours \_\_\_\_\_

Supervisor \_\_\_\_\_

Supervisor Signature \_\_\_\_\_ Date: \_\_\_\_\_

Comments:

# DISADVANTAGED, MINORITY, WOMEN OWNED BUSINESS ENTERPRISE (D/M/WBE) PARTICIPATION

The Tollway hereby notifies all applicants that it will affirmatively ensure that in any contract entered into pursuant to this advertisement, disadvantaged, minority and/or women-owned business enterprises will be encouraged to submit a Statement of Interest (SOI) response to this invitation and/or to participate in the advertised Disadvantaged Business Enterprise (DBE) goal of the work to be performed under the contract as a sub-consultant.

To qualify as an eligible DBE, the firm must be currently certified by one of the following agencies currently participating in the Illinois Unified Certification Program (IL UCP):

- Illinois Department of Transportation (IDOT)
- Chicago Transit Authority (CTA)
- PACE
- METRA
- City of Chicago

**A current letter of certification from the applicable D/M/WBE Agency is requested with your SOI submittal (Certifications are to be included as attachments to Exhibit A – proposed staff).**

You can view/print and download the most current listing of DBE firms at IDOT's web site <http://www.dot.state.il.us>. A link entitled "IL UCP Directory" can be found on the right hand side of the home page. Note: Once in the DBE Directory, make sure you select IL UCP participates to view **all** certified DBE's regardless of host agency.

To qualify as an eligible Minority/Women-Owned Business Enterprise (M/WBE), the firm must be certified by the City of Chicago.

You can view/print and download the most current listing of M/WBE firms at the City of Chicago's web site <http://www.cityofchicago.gov>. A link entitled "City Departments" can be found on the top of the home page. Once in the City Departments Directory, scroll down to Procurement Department. A link entitled "Search the M/WBE Directory" can be found on the left hand side of the Procurement Department website.

To qualify as an eligible D/M/WBE, the following must be met:

- At least 51% of the company must be owned by one or more members of an eligible disadvantaged or minority classification or by women. These individuals must exercise control over management and daily operations of the firm.
- The D/M/WBE firm must provide a commercially useful function.
- The D/M/WBE must provide evidence of a current DBE, MBE or WBE certification by the IL UCP or the City of Chicago; and,
- The M/WBE is being proposed to provide services identified in the Specialty Area on the Letter of Certification.

# **Illinois Tollway Disclaimer Statement Disadvantaged Business Enterprises (DBE) Directory and City of Chicago Minority and Women-Owned Business (M/WBE) Directory**

Firms listed in either the Illinois Unified Certification Program (IL UCP) Disadvantaged Business Enterprises Directory (Directory) or the City of Chicago Minority and Women-Owned Business Directory have been certified as a Disadvantaged Business Enterprise (DBE) by one of the IL UCP participating agencies (Illinois Department of Transportation, City of Chicago, Chicago Transit Authority, Metra and Pace) or by the City of Chicago.

The criteria, standards and procedures by which certification decisions are made can be obtained from any of the IL UCP certifying agencies. The contract dollar amounts committed to DBE/MBE/WBE certified firms on Illinois Tollway contracts may be eligible to be counted toward the fulfillment of DBE/MBE/WBE contract goals on both construction contracts and professional service awards.

These directories are to be used as an “informational source only” and the following must be considered:

- Certification does not mean that a firm is in any way prequalified to provide the products and/or services the firm claims it can provide. “Certification” means that the IL UCP or the City of Chicago has determined, on the basis of information provided and the representations therein, that a business is a bona fide DBE/MBE/WBE. The IL UCP or the City of Chicago does not, as a result of either listing, make any representation concerning the ability of any listed firm to perform work in the specialty listed;
- The Tollway does not, through its use of and referral to IL UCP DBE and City of Chicago MBE/WBE lists, make any representation concerning the ability of any listed firm to perform work in the specialty listed.
- The Illinois Tollway in awarding a contract has discretion in determining whether a DBE/MBE/WBE firm’s listed work categories are eligible to be counted toward the fulfillment of DBE/MBE/WBE contract goals; and
- The IL UCP disclaims any and all responsibility concerning errors, omissions or misrepresentations which may be contained in its publication. It is the responsibility of all contractors to:
  - a) Conduct their own investigation to determine the capability and capacity of the DBE/MBE/WBE firm(s) to satisfactorily perform the proposed work; and
  - b) Ensure the DBE/MBE/WBE firm(s) has a current DBE/MBE/WBE certification letter.

These directories list the most current IL UCP DBE/City of Chicago MBE/WBE certified firms. If there are any questions concerning either of these directories, please contact any one of the participating IL UCP agencies or the City of Chicago Department of Compliance.

# **PARTNERSHIP – MENTOR/PROTÉGÉ – PROGRAM GUIDELINES**

## **PROGRAM OVERVIEW**

The Illinois Tollway has created the Partnership - Mentor/Protégé Program in an effort to facilitate our professional service consultants in meeting our stated Disadvantaged Business Enterprise/Minority Business Enterprise/Women Business Enterprise (D/M/WBE) goals, assist certified D/M/WBE firms build their capacity through participating in a prime consultant role and assist D/M/WBE's in becoming and/or remaining self-sufficient, competitive and profitable business enterprises.

Under this Program, the Professional Services Consultant (Mentor) will receive twenty percent (20%) credit towards meeting its contractual D/M/WBE participation goals through participating in this Partnership Mentor/Protégé Program.

To be eligible, the Protégé (D/M/WBE) must self perform no less than 15% of the services on the prime level. If this requirement is satisfied, the Mentor will be given an additional 5% credit for successfully participating in the Partnership - Mentor Protégé Program.

## **PROCEDURE FOR PARTICIPATING IN THE TOLLWAY'S PARTNERSHIP MENTOR/PROTÉGÉ PROGRAM**

A D/M/WBE means a business certified by either the City of Chicago as a D/M/WBE or certified as a DBE by the Illinois Unified Certification Program. Current participants include the Illinois Department of Transportation (IDOT), Chicago Transit Authority (CTA), Regional Transit Authority (RTA), METRA and the City of Chicago in accordance with the requirements of 49 CFR Part 26.

1. Partnership - Mentor and Protégé must submit a completed Tollway Mentor/Protégé Agreement as part of the Statement of Interest submitted in response to a Professional Service Bulletin. (The 'agreement' that is developed by the parties represents the working contract that has been agreed to.)
2. The Tollway Mentor/Protégé Agreement (no longer than two pages) describes the roles of personnel, hours, costs, deliverables, supervision, office space and equipment, etc. Essentially, anything that is performed in the Mentor/Protégé relationship can be uniquely addressed in this agreement. The goal of the agreement is to bring a Protégé up to a level of sufficiency to function as a Prime for upcoming work. The Partnership - Mentor Protégé Agreement must include the following:
  - A. Assessment of the Protégé needs.
  - B. Description of the specific assistance that the Mentor will provide to address those needs (minimum three of the optional capacity building items).
  - C. Mandatory capacity building items identified. (Section III).
  - D. Provision that either party can terminate with 30 days advance notice to the other party and the Tollway. The following provisions are acceptable justifications for requesting termination:
    - Either party has failed or is unable to meet its obligation under the Agreement.
    - Protégé is not progressing or is not likely to progress in accordance with the Agreement.

# PARTNERSHIP – MENTOR/PROTÉGÉ – PROGRAM GUIDELINES

3. The Partnership - Mentor Protégé Agreement is subject to the approval of the Tollway's General Manager of Diversity. If the Agreement is not approved, the Mentor and Protégé will be advised by the General Manager of Diversity of the reasons why the Agreement is not acceptable and shall have 5 days to cure the deficiencies and resubmit the Partnership - Mentor Protégé Agreement.

## **MENTOR/PROTÉGÉ REQUIREMENTS**

Mentor/Protégé Agreement will not be approved if the assistance to be provided is not sufficient to promote any real gains to the Protégé.

The Mentor must identify the D/M/WBE firm that will participate as the Protégé and describe in narrative form the scope of services that the Protégé will maintain responsibility for on the prime level and provide a detailed description of training, support and services the Mentor will provide to the Protégé as part of the Partnership - Mentor/Protégé Agreement.

The Mentor must demonstrate a significant level of commitment, performance and capability to provide meaningful instruction and beneficial resources to its Protégé. The Protégé D/M/WBE firm must participate in a formal partnership on the prime consultant level.

### **A. The Mentor must provide mandatory capacity building to the Protégé in the following areas:**

- Provide guidance and oversight to the Protégé.
- Work with the Protégé in developing a Project Management Plan from conception of the project through project completion.
- Provide guidance and oversight to the Protégé on the development of the Quality Assurance/Quality Control Plan including the CAD Plan if applicable.
- Familiarizing Protégé with applicable laws, regulations and rules.

### **B. The Mentor may provide optional capacity building to the Protégé in the following areas:**

- Training in technical aspects of operating the business, such as invoicing, accounts receivable, marketing, business forecasting and associated budgeting, human resource and information technology development, selection techniques for insurance and banking relationships.
- Assistance in preparation of change orders, claim filing, resolution of disputes, scheduling and other aspects of performance.
- Assistance in the preparation of contract documents, proposals and Statements of Interest.
- Guidance regarding the Protégé's procedures in accounting for daily actual cost of labor, production and overhead.
- Identify Protégé's unique challenges and provide a plan to address each challenge.

# PARTNERSHIP – MENTOR/PROTÉGÉ – PROGRAM GUIDELINES

## PROTÉGÉ PROGRAM REQUIREMENTS

The Protégé must be certified and in Good Standing by one of the pre-identified agencies as a DBE, MBE and/or WBE firm. The D/M/WBE Protégé firm must perform a commercially useful function under the contract, have the wherewithal and experience to perform under the consultant's Agreement and not act merely as a middle-person, passive conduit or broker of services.

The Protégé should have an established track record as a professional service consultant and expressed interest in expanding its services in a particular field such as construction management, construction engineering, construction, inspection services, project management and/or surveying services.

The Protégé commitment must meet at a minimum 15% D/M/WBE participation of the total contract value on the prime level. The participating Protégé must actually perform a distinct element of work and must provide management and supervision of that work with its own work force.

The Protégé is eligible to participate in other subcontracting opportunities, outside the parameters of the Partnership - Mentor/Protégé Program, on other contracts. Exclusive agreements between the Mentor and Protégé are prohibited and violate federal anti-trust laws.

The Protégé must remain a separate and distinct independent business entity from the Mentor.

## PROGRAM MONITORING, REPORTING AND RECORD KEEPING

Tollway staff will conduct periodic compliance reviews to monitor and report the Protégé's progress. A schedule will be established with the parties to monitor performance and compliance with the Partnership - Mentor/Protégé Agreement.

Commencing 30 days following the date that the Partnership - Mentor Protégé Agreement is approved, a Monthly Utilization Report (MUR) must be submitted to the General Manager of Diversity to verify payments towards meeting the 15% of the prime contract commitment to the Protégé as a partner on the prime consultant level. The MUR must summarize the kinds of services and/or skills provided to Protégé including hours and areas of involvement, such as managerial, technical or financial assistance. Additional information may be requested by the Tollway if the report is not acceptable. The MUR is available on the Tollway's website – see Diversity Program section.

Time sheets in a form acceptable to the Tollway and MUR's must be maintained by the Mentor with a sign-off by Protégé to be submitted to the General Manager of Diversity.

Illinois Tollway Authority  
2700 Ogden Avenue  
Downers Grove, Illinois 60515  
Attention: General Manager of Diversity

**When submitting please use the Prime's 2-6 character Firm Name Code on each file. For further assistance on submitting Partnership Mentor/Protégé SOI's please call:**

Stella Banak  
General Manager of Engineering  
Engineering Department  
The Illinois Tollway  
(630)241-6800, extension 3987



## Mentor/Protégé Proposal Details

PSB # 12-2 Item # \_\_\_\_\_

Description \_\_\_\_\_

Mentor Company Name:

\_\_\_\_\_

Protégé Company Name:

\_\_\_\_\_

Above named Protégé is currently certified as the following: **(check all that apply and attach current letter of certification from applicable agency)**

DBE/IL-UCP program  MBE City of Chicago  WBE City of Chicago

If the above named Protégé has previously performed as a Prime consultant on an Illinois Tollway contract, list date, contract #, and description of scope:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

List all previous Mentor/Protégé partnerships that Protégé has been involved in:

Contract # \_\_\_\_\_ Protégé Award \$ \_\_\_\_\_ Mentored by \_\_\_\_\_

Contract # \_\_\_\_\_ Protégé Award \$ \_\_\_\_\_ Mentored by \_\_\_\_\_

Contract # \_\_\_\_\_ Protégé Award \$ \_\_\_\_\_ Mentored by \_\_\_\_\_

Contract # \_\_\_\_\_ Protégé Award \$ \_\_\_\_\_ Mentored by \_\_\_\_\_

# JOINT VENTURE AGREEMENT

The Illinois Tollway began considering statements submitted by Joint Ventures with PSB 08-02. The Joint Venture Agreement, signed by all parties, as well as the Joint Venture's Federal Employer Identification Number (FEIN) **MUST** be included within ten (10) business days after notification of selection. The Joint Venture Agreement must clearly identify the parties in interest and their respective rights and responsibilities. The Joint Venture may have no more than three members.

The Joint Venture will be considered the Prime Consultant. The selection criteria for the Joint Venture will include the combined firm's pre-qualification categories, and the sum of the individual firm's work capacity and evaluation history.

The Tollway requires the Joint Venture Entity to perform no less than 40% of the work, meaning the Joint Venture cannot subcontract more than 60% of the project work. The scope of work performed by each member of the Joint Venture and subcontractors must be clearly spelled out in the Statement of Interest. Each member of the Joint Venture must make a substantial contribution to the performance of the work being done by the Joint Venture. What is meant by substantial depends on the number of members in the Joint Venture, the professional qualifications of each member, and the nature of the work being performed.

Each member of the Joint Venture will procure and maintain separate insurance policies appropriate for the services to be performed and in accordance with the Tollway's standard insurance requirements set forth in our Consultant Agreements (See Tollway website @ [www.illinoistollway.com](http://www.illinoistollway.com) under Doing Business: Construction and Engineering: Consultant Contract Forms). Each member to the Joint Venture will indemnify the Joint Venture against claims arising from their performance under the Joint Venture. The insurance and indemnification obligations survive the termination of the Joint Venture. In the event of the termination of the Joint Venture, the insurance and indemnification rights of the Joint Venture must be assignable to the Tollway as a matter of law. Proof of compliance with these requirements must be submitted to the Tollway with (or within) the fully-executed Joint Venture Agreement.

The Joint Venture entity will submit one Statement of Interest with the following specified:

- Designate a single project manager who will serve as the Joint Venture's primary contact with the Tollway.
- Indicate the firm responsible for each prequalification category.
- Each individual firm's work left, disclosure forms and delinquent debt forms.
- The firm responsible for invoicing.
- One Exhibit A, plus other required documents specified in the PSB, combining the information for all firms (Indicate personnel name and firm name on Exhibit A for key staff).

## **EXHIBIT A EXAMPLE:**

### **Name Required Prequalification Category :**

Location Drainage

\*Name Ms. Jackie Smith (ABC Engineering, Assoc.)

Category PE (PE, SE, LS)

Registration # 00012345

Year Registered 2002 State IL

Office Location:

City Chicago State IL

A firm planning to submit a Statement of Interest as a Joint Venture is required to contact the Tollway for a new Statement of Interest Code. Contact Stella Banak by e-mail at [sbanak@getipass.com](mailto:sbanak@getipass.com). The code is required so that the Joint Venture proposal is recognized as a Joint Venture. (The only exception is that each Firm involved in the Joint Venture is required to fill out a SOITEAM.xls spreadsheet. Each firm should use its own Firm Name Code for this document only. The managing firm should list the sub-consultants working with the Joint Venture team in its SOITEAM.xls spreadsheet.)

# REQUIRED EXHIBITS AND CERTIFICATIONS TO BE COMPLETED

1. SOI Team Spreadsheet (save as Excel 97-2003 version)
2. Certification by Principal of Submitting Firm
3. Exhibit A: Proposed Personnel (attach DBE Certifications)
4. Exhibit B: Location/Design - Environmental Questionnaire (if required.)
5. Exhibit C: Current Obligations
6. Exhibit D: Availability of Key and Support Personnel (submit as a .pdf **and** Excel spreadsheet)
7. Certification Disclosure Forms (Revised December 1, 2011)  
(The Disclosure Certification Forms include the Subcontractor Information/Delinquent Debt Review Form and addresses Public Act 95-971)
  - The Consultant Quality Plan (CQP) is only required to be submitted by the selected consultant within 14 days after the first scoping meeting at the Tollway's offices.
  - Exhibits from previous Professional Services Bulletins will not be accepted.
  - Failure to submit the Certification and Exhibits included in this PSB will result in rejection of the submittal.
  - The Exhibits are required to be submitted by the **Prime Consultant only**. (Please see "Notices" regarding "Joint Venture" submissions.)
  - The Certification/Disclosure forms are required to be completed and submitted by the Prime with the offer. Once the Prime is notified of selection, any sub-consultant whose contract value exceeds \$25,000 is required to complete and submit the Sub-Consultant Certification/Disclosure forms in Adobe Acrobat® .pdf file format to the Prime. The Prime will in turn submit the Sub-consultant Certification/Disclosures via Compact Disk (CD) to the State Purchasing Officer (SPO) through the General Manager of Engineering at 2700 Ogden Ave., Downers Grove, IL 60515.
  - Exhibit D must include **all** staff from the Prime firm and the Sub-consultants.

## **PROFESSIONAL SERVICES BULLETIN (PSB)** **SUBMITTAL CHECK LIST**

**The Illinois Tollway encourages use of this Check List when preparing your Statement of Interest (SOI).**

- Download the most current forms as listed on our website:  
<http://www.illinoistollway.com> for your SOI submittals (Doing Business: Construction and Engineering – Joint Resources – Professional Services Bulletin).
- Include a separate Statement of Interest (SOI) for each PSB item (if more than one). SOI must be submitted in adobe.pdf format and labeled as described in e-mail instructions. Use the SOI CODE that is provided by IDOT at the top of your SEFC prequalification sheet.
- Include DBE commitment and percentage breakdowns in both the SOI.pdf and SOITEAM Excel spreadsheet. Percentages must match.
- If the SOI identifies a Mentor-Protégé partnership, include a copy of Mentor-Protégé Agreement, D/M/WBE certifications and Mentor-Protégé Detail sheet with SOI.
- SOITEAM Spreadsheets should include Prime, sub-consultant(s) and D/M/WBE percentage breakdowns.
- Submit copies of current D/M/WBE letters of certification from applicable agencies as verification of current DBE status as an attachment to Exhibit A. Include with your scanned SOI.
- Exhibit A: Proposed staff specific to each SOI submitted, including sub-consultants, resumes, category of work, etc.
- Exhibit B: Location/Design - Environmental Questionnaire (when applicable).
- Exhibit C: Current Obligations – provide most current dollar amounts.
- Exhibit D: Availability of Key and Support Personnel (must include **all** staff – both Prime and subconsultants). Submit as a .pdf and Excel spreadsheet.
- Certification/Disclosure Forms (Revised December 1, 2011) for Primes. The Certification/Disclosure Forms include:
  - Public Act 95-971 – Political Contributions
  - Department of Human Rights (DHR) Public Contract Number
  - Potential Conflicts of Interest
  - Financial Disclosures
  - Subcontractor Information/Delinquent Debt Review Form

Political Contributions are subject to Public Act 95-0971 – Primes **MUST** include a copy of the Board of Elections Registration certificate with their Certification/Disclosure forms.

A separate Subcontractor Information/Delinquent Debt page should be completed for each PSB item number for which a SOI is submitted. Enter the PSB item number in lieu of the Project Number. Indicate percentages to be allocated to subconsultants to the extent known (must match SOITEAM spreadsheet percentages).

Include your Certification by Principal form when submitting your SOI.

Follow the E-mail instructions when submitting your SOI.

SOI submittals must be received between May 1, 2012, and 4:30 P.M. CST, May 16, 2012. Sending the SOI just before 4:30 P.M. does not guarantee that it will be received by 4:30 P.M.

The Consultant Quality Plan (CQP) is only required to be submitted by the selected consultant within 14 days after the first scope meeting at the Tollway's office.

**Failure to submit the required Certifications and Exhibits included in this PSB will result in rejection of the submittal.**

.

## **NOTICE OF ELECTRONIC SIGNATURES**

In order for the Tollway to verify your scanned signature (on the Certification of Principal of Submitting Firm, Exhibit A and Disclosure Forms) we request that you complete the **Signature Certification for Electronic Submittals** form and submit it to us in **hard-copy** immediately. The same form shall be submitted with the sub-consultant Certification/Disclosure forms upon selection of the Prime.

A Signature Certification Form must be completed for each individual that will be signing any of the above mentioned documents.

Send submittal to:

Ms. Stella Banak  
General Manager of Engineering  
Engineering Department  
Illinois State Tollway  
2700 Ogden Avenue  
Downers Grove, IL 60515

Questions can be addressed to [sbanak@getipass.com](mailto:sbanak@getipass.com)

***If a Signature Certification Form has previously been submitted to the Tollway it is not necessary to submit this form again. This form must be submitted, however, when a new signatory is added for your firm.***

All required Exhibits can be found on the Tollway's Website.  
<http://www.illinoistollway.com> (See Doing Business)





# CERTIFICATION BY PRINCIPAL OF SUBMITTING FIRM

I certify that I am the \_\_\_\_\_ of the firm of \_\_\_\_\_ and that I have thoroughly reviewed our existing and pending obligations for services by our Transportation Technical Staff **(including work for which selection has been made but negotiations and/or agreements execution have not been finalized)** during the ensuing year(s) to all of our clients on any type of project and have included them on Exhibit C.

If we are selected for this project, we will assign it as a top priority project using the identified Key and Support Personnel on Exhibit A for the full term of the contract.

Our Team will complete this project within the time frame stated in the PSB for this Item.

Our firm will meet or exceed the D/M/WBE goal for this Item.

Our Team will implement the Tollway's Quality Program.

The office location from which a majority of the work for this project will be performed is:

(Enter address)

---

I certify that the information contained in this Statement of Interest is true and accurate.

Date \_\_\_\_\_

Signature \_\_\_\_\_

Print Name \_\_\_\_\_

# Exhibit A – Proposed Staff

PSB# \_\_\_\_\_ Item# \_\_\_\_\_

Please provide the information for the following Key Personnel, including the staff from the Sub-consultants. The personnel named Exhibit A must also be listed on Exhibit D: Availability of Key and Support Personnel.

### Project Manager :

Name \_\_\_\_\_  
Category \_\_\_\_\_ (PE, SE, LS)  
Registration # \_\_\_\_\_  
Year Registered \_\_\_\_\_ State \_\_\_\_\_  
Office Location \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_

### Project Engineer :

Name \_\_\_\_\_  
Category \_\_\_\_\_ (PE, SE, LS)  
Registration # \_\_\_\_\_  
Year Registered \_\_\_\_\_ State \_\_\_\_\_  
Office Location \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_

### QA/QC Roadway :

\*Name \_\_\_\_\_  
\_\_\_\_\_  
Category \_\_\_\_\_ (PE, SE, LS)  
Registration # \_\_\_\_\_  
Year Registered \_\_\_\_\_ State \_\_\_\_\_  
Office Location: \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_

### QA/QC Structures:

\*Name \_\_\_\_\_  
\_\_\_\_\_  
Category \_\_\_\_\_ (PE, SE, LS)  
Registration # \_\_\_\_\_  
Year Registered \_\_\_\_\_ State \_\_\_\_\_  
Office Location: \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_

### Other Required Key Staff:

#### Name Required Prequalification Category :

\*Name \_\_\_\_\_  
\_\_\_\_\_  
Category \_\_\_\_\_ (PE, SE, LS)  
Registration # \_\_\_\_\_  
Year Registered \_\_\_\_\_ State \_\_\_\_\_  
Office Location: \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_

#### Name Required Prequalification Category:

\*Name \_\_\_\_\_  
\_\_\_\_\_  
Category \_\_\_\_\_ (PE, SE, LS)  
Registration # \_\_\_\_\_  
Year Registered \_\_\_\_\_ State \_\_\_\_\_  
Office Location: \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_

#### Name Required Prequalification Category :

\*Name \_\_\_\_\_  
\_\_\_\_\_  
Category \_\_\_\_\_ (PE, SE, LS)  
Registration # \_\_\_\_\_  
Year Registered \_\_\_\_\_ State \_\_\_\_\_  
Office Location \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_

#### Required Prequalification Category:

\*Name \_\_\_\_\_  
\_\_\_\_\_  
Category \_\_\_\_\_ (PE, SE, LS)  
Registration # \_\_\_\_\_  
Year Registered \_\_\_\_\_ State \_\_\_\_\_  
Office Location \_\_\_\_\_  
City \_\_\_\_\_ State \_\_\_\_\_

\*If work is being done by a Sub-consultant list firm name also.

# Exhibit A – Proposed Staff

PSB# \_\_\_\_\_ Item# \_\_\_\_\_

**Other Required Key Staff:**

**Name Required Prequalification Category :**

\*Name \_\_\_\_\_  
 Category \_\_\_\_\_ (PE, SE, LS)  
 Registration # \_\_\_\_\_  
 Year Registered \_\_\_\_\_ State \_\_\_\_\_  
 Office Location \_\_\_\_\_  
 City \_\_\_\_\_ State \_\_\_\_\_

**Name Required Prequalification Category:**

\*Name \_\_\_\_\_  
 Category \_\_\_\_\_ (PE, SE, LS)  
 Registration # \_\_\_\_\_  
 Year Registered \_\_\_\_\_ State \_\_\_\_\_  
 Office Location \_\_\_\_\_  
 City \_\_\_\_\_ State \_\_\_\_\_

**Name Required Prequalification Category :**

\*Name \_\_\_\_\_  
 Category \_\_\_\_\_ (PE, SE, LS)  
 Registration # \_\_\_\_\_  
 Year Registered \_\_\_\_\_ State \_\_\_\_\_  
 Office Location \_\_\_\_\_  
 City \_\_\_\_\_ State \_\_\_\_\_

**Name Required Prequalification Category:**

\*Name \_\_\_\_\_  
 Category \_\_\_\_\_ (PE, SE, LS)  
 Registration # \_\_\_\_\_  
 Year Registered \_\_\_\_\_ State \_\_\_\_\_  
 Office Location \_\_\_\_\_  
 City \_\_\_\_\_ State \_\_\_\_\_

**Name Required Prequalification Category :**

\*Name \_\_\_\_\_  
 Category \_\_\_\_\_ (PE, SE, LS)  
 Registration # \_\_\_\_\_  
 Year Registered \_\_\_\_\_ State \_\_\_\_\_  
 Office Location \_\_\_\_\_  
 City \_\_\_\_\_ State \_\_\_\_\_

**Name Required Prequalification Category:**

\*Name \_\_\_\_\_  
 Category \_\_\_\_\_ (PE, SE, LS)  
 Registration # \_\_\_\_\_  
 Year Registered \_\_\_\_\_ State \_\_\_\_\_  
 Office Location \_\_\_\_\_  
 City \_\_\_\_\_ State \_\_\_\_\_

\*If work is being performed by a Sub-consultant list firm name also.

**Attach resumes' of above listed personnel.**

<u>Management</u>	<u>Professionals</u>	<u>Sub-professionals</u>
	Engineers	Technicians
<b>Total</b>	_____	_____
	Land Surveyors	Draftsman
	Architects	Survey Crew
	Others	Clerical
	<b>Total</b>	Other
	_____	_____
		<b>Total</b>
		_____
		<b>Total Project Staff</b>
		_____

# Exhibit A – Proposed Staff

PSB# \_\_\_\_\_ Item# \_\_\_\_\_



Firm will complete project within estimated time listed in the project advertisement. Yes  No

If **Yes**, provide completion date and/or number of months. \_\_\_\_\_

If **No**, explain:

---

---

---

---

---

---

---

---

---

---

---

---

List all Subconsultant(s) and denote if sub is a DBE, MBE or WBE; and the item(s) [category(ies)] of work they will perform. Attach copies of valid DBE certification forms (See Disadvantaged, Minority, Women Owned Business Enterprise (D/M/WBE) Participation Section).

---

---

---

---

---

---

---

---

---

---

---

---



## Exhibit B

### Location/Design Studies – Environmental Questionnaire

PSB No./Item No. **12-2** / \_\_\_\_\_

Firm Name: \_\_\_\_\_

---

---

#### Location/Design Study Work

1. List and describe in a short paragraph up to a maximum of five similar or more complex Location/Design studies your firm has completed in the last five years. If ISTHA project(s), use PSB No. and Item # (i.e., 11-1/5).
2. List and describe in a short paragraph up to a maximum of three less complex Location/Design studies your firm has completed in the last five years. If ISTHA project(s), use PSB No. and Item #.
3. Briefly outline the procedures you will use to accomplish the project Location/Design study objectives if selected. (This description should not exceed three pages.)

---

---

#### Environmental Work

This portion is to be completed when projects require Environmental Reports (Environmental Assessment or Environmental Impact Statements). Check the appropriate Prequalification Level Advertised for this project.

EA

EIS

1. For EAs briefly describe a similar or more complex environmental report completed within the last ten years. For EISs, briefly describe a similar or more complex highway-related environmental report completed within the last ten years. (Completed report requires environmental documents approved for public release.)



## Exhibit B (continued)

If an ISTHA project, use PSB No. and Item #. Include the project location, type of facility studied, nature of environmental work, and public involvement process. If non-ISTHA project, include with the description the name and telephone number and e-mail address of a person in the contracting agency familiar with the project. (This description should not exceed two pages.)

2. Briefly describe the environmental issues you expect to play a meaningful role in this project. Include a description of how public involvement proceedings will be conducted, if deemed necessary. (This description should not exceed the following: three pages for EAs, and five pages for EISs.)
3. Briefly describe how you plan to proceed with the Environmental portion of this project. This description should not exceed the following: one page for simple EAs, two pages for complex EAs, and three pages for EISs.
4. List the individuals, including subconsultants (if any), that will be responsible for the applicable environmental issue areas listed below, and the office location from which these individuals will be working. (Categories that must be assigned to a person prequalified in that area are noted with an asterisk.) All the environmental work must be performed either by the prime consultant or by a subconsultant firm prequalified in the required category.

	<u>Individual Name</u>	<u>Firm Name</u>	<u>Office Location</u>
*Environmental Lead	_____	_____	_____
Percent of Time Devoted to Project	_____	_____	_____
*Air	_____	_____	_____
*Noise	_____	_____	_____
*Water Quality	_____	_____	_____
Wetlands and Associated Aquatic Resources	_____	_____	_____
Biological Resources	_____	_____	_____

(other than wetlands)	_____	_____	_____
	_____	_____	_____
*Community Impacts	_____	_____	_____
Cultural Resources	_____	_____	_____
Agriculture	_____	_____	_____
Special Waste	_____	_____	_____
Geology	_____	_____	_____
*Public Involvement	_____	_____	_____
*Technical Writer	_____	_____	_____
*QC/QA for Environmental Document	_____	_____	_____

Resumes are required for individuals listed above and must include details of actual work performed by the individual on specific projects, including dates. Resumes are not to exceed two pages.

\*Must be assigned to currently prequalified individuals identified in the firm’s most recently approved Statement of Experience and Financial Condition as submitted to IDOT.

\*\*Must be assigned to staff identified in your firm’s QC/QA Plan.

- Briefly describe how the environmental staff identified in item 4 will be incorporated into the study process. Particular attention should be given to those not located in the firm’s primary office who are responsible for conducting the work. This description should not exceed one page.

# INSTRUCTIONS FOR COMPLETING EXHIBIT C – CURRENT OBLIGATIONS

## Work Being Negotiated or Under Agreement with the Illinois State Toll Highway Authority

If your firm currently has work awarded by ISTHA, complete **Exhibit C**, page 1 of 3, showing *Project Fee and Fee Remaining in the Estimated Time Period for Completion of Each Project*. **[Projects being negotiated and scheduled supplements should be listed and the fee columns estimated.]** If your firm has a contract in which the Tollway has suspended the work, list the Project Fee and Fee Remaining To Be Earned and your best estimate of when the work will resume. If your firm is participating in an ISTHA project as a Sub-consultant, complete the "**Your Firm as a Sub-consultant**" block showing *Subcontract Fee and Fee Remaining in the Estimated Time Period for Completion of Each Project*.

- **Work Being Negotiated or Under Agreement by Your Transportation Staff for Other than the Illinois State Toll Highway Authority**

For any work your firm has other than ISTHA, complete **Exhibit C**, page 2 of 3, listing the *Fee Remaining in the Time Period for Completion of the Projects in the Appropriate Agency*.

- **Current Obligations for the Illinois State Toll Highway Authority that Your Firm has Subcontracted**

If your firm currently has work where a Sub-consultant is being utilized, see **Exhibit C**, page 3 of 3, and complete and submit page 3 showing their *Subcontracted Fee and Work Remaining* in the appropriate columns. If you currently have no Sub-consultants on your ISTHA contracts, mark "**None**" and submit.

- **Summary of Work**

Please provide this information from totals on Exhibit C, pages 1 and 2. The table for this information is found in Exhibit C at the bottom of page 2.



# EXHIBIT C

Current Obligations of Work for the Illinois State Tollway Highway Authority

(Name of Your Firm)

Your firm as Prime Consultant

Your firm as Sub-consultant To:

PSB No.	Total Project Fee (000's)	<u>Fee Remaining without Sub-consultants</u>					
		0-6 Months (000's)		7-18 Months (000's)		>18 Months (000's)	
		Design	Constr.	Design	Constr.	Design	Constr.
<u>Total as Prime</u> (enter here & table on Page 3)							

Consultant You are Subcontracted To	PSB No.	Total Project Fee (000's)	<u>Fee Remaining</u>					
			0-6 Months (000's)		7-18 Months (000's)		>18 Months (000's)	
			Design	Constr.	Design	Constr.	Design	Constr.
<u>Total as Sub-consultant</u> (enter here & table on Page 3)								

# EXHIBIT C

## Current Obligations Of Work By Your Transportation Staff For Other Than The Illinois State Toll Highway Authority

(Name of your Firm)

	Total AGR Amount (000's)	Fee Remaining To Be Earned					
		0-6 Months		7-18 Months		>18 Months	
		Design	Constr.	Design	Constr.	Design	Constr.
City of Chicago							
Illinois Department of Transportation							
All Other Work (Public & Private)							
<b>Total Non-ISTHA (enter here &amp; on table below)</b>							

**Note: The start date for the 0-6 months will be the date of this PSB**

### Summary of Work

Totals For Firm	0-6 Months		7-18 Months		>18 Months	
	Design	Constr.	Design	Constr.	Design	Constr.
<b><u>Total As Prime</u></b>						
Total As Sub-consultant						
Total For Non-ISTHA						
<b>Total</b>						

Exhibit C – Page 2 of 3





# NOTICE

## **TAXPAYER IDENTIFICATION PAGE REVISION CONSULTANT DISCLOSURE/CERTIFICATION - EFFECTIVE 4/1/10**

The Taxpayer Identification section of the Consultant Disclosure/Certification form has been revised (see page 10 of 13).

When submitting your Disclosure/Certification form, you are required to check the legal status option that applies to your firm. Please verify your legal status before checking the appropriate line.

One of the options on the form is “Partnership/Legal Corporation”. This option **does not** suggest Partnership **and/or** Legal Corporation. Checking this option implies the firm is a Partnership and also a Legal Corporation.

The option “Corporation not providing or billing Medical and/or Health Care Services” is related to the professional services you provide, not whether your firm has healthcare coverage for your employees.

## CERTIFICATION/DISCLOSURE FORMS



Vendor acknowledges and agrees that compliance with this section and each subsection for the term of the contract and any renewals is a material requirement and condition of this contract. By executing this contract Vendor certifies compliance with this section and each subsection and is under a continuing obligation to remain in compliance and report any non-compliance.

This section and each subsection applies to subcontractors used on this contract. Vendor shall include these Standard Certifications in any subcontract used in the performance of the contract using the Standard Subcontractor Certification form provided by the State.

If this contract extends over multiple fiscal years including the initial term and all renewals, Vendor and its subcontractors shall confirm compliance with this section in the manner and format determined by the State by the date specified by the State and in no event later than July 1 of each year that this contract remains in effect.

If the Parties determine that any certification in this section is not applicable to this contract it may be stricken without affecting the remaining subsections.

1. As part of each certification, Vendor acknowledges and agrees that should Vendor or its subcontractors provide false information, or fail to be or remain in compliance with the Standard Certification requirements, one or more of the following sanctions will apply:

- the contract may be void by operation of law,
- the State may void the contract, and
- the Vendor and its subcontractors may be subject to one or more of the following: suspension, debarment, denial of payment, civil fine, or criminal penalty.

Identifying a sanction or failing to identify a sanction in relation to any of the specific certifications does not waive imposition of other sanctions or preclude application of sanctions not specifically identified.

2. Vendor certifies it and its employees will comply with applicable provisions of the U.S. Civil Rights Act, Section 504 of the Federal Rehabilitation Act, the Americans with Disabilities Act (42 U.S.C. § 12101 et seq.) and applicable rules in performance under this contract.

3. Vendor certifies it is not in default on an educational loan (5 ILCS 385/3). This applies to individuals, sole proprietorships, partnerships and individuals as members of LLCs.

4. Vendor (if an individual, sole proprietor, partner or an individual as member of a LLC) certifies it has not received an (i) an early retirement incentive prior to 1993 under Section 14-108.3 or 16-133.3 of the Illinois Pension Code, 40 ILCS 5/14-108.3 and 40 ILCS 5/16-133.3, or (ii) an early retirement incentive on or after 2002 under Section 14-108.3 or 16-133.3 of the Illinois Pension Code, 40 ILCS 5/14-108.3 and 40 ILCS 5/16-133, (30 ILCS 105/15a).

5. Vendor certifies it is a properly formed and existing legal entity (30 ILCS 500/1.15.80, 20-43); and as applicable has obtained an assumed name certificate from the appropriate authority, or has registered to conduct business in Illinois and is in good standing with the Illinois Secretary of State.

6. To the extent there was a incumbent Vendor providing the services covered by this contract and the employees of that Vendor that provide those services are covered by a collective bargaining agreement, Vendor certifies (i) that it will offer to assume the collective bargaining obligations of the prior employer, including any existing collective bargaining agreement with the bargaining representative of any existing collective bargaining unit or units performing substantially similar work to the services covered by the contract subject to its bid or offer; and (ii) that it shall offer employment to all employees currently employed in any existing bargaining unit performing substantially similar work that will be performed under this contract (30 ILCS 500/25-80). This does not apply to heating, air conditioning, plumbing and electrical service contracts.

7. Vendor certifies it has not been convicted of bribing or attempting to bribe an officer or employee of the State of Illinois or any other State, nor has Vendor made an admission of guilt of such conduct that is a matter of record (30 ILCS 500/50-5).

8. If Vendor has been convicted of a felony, Vendor certifies at least five years have passed after the date of completion of the sentence for such felony, unless no person held responsible by a prosecutor's office for the facts upon which the conviction was based continues to have any involvement with the business (30 ILCS 500/50-10).
9. If Vendor, or any officer, director, partner, or other managerial agent of Vendor, has been convicted of a felony under the Sarbanes-Oxley Act of 2002, or a Class 3 or Class 2 felony under the Illinois Securities Law of 1953, Vendor certifies at least five years have passed since the date of the conviction. Vendor further certifies that it is not barred from being awarded a contract and acknowledges that the State shall declare the contract void if this certification is false (30 ILCS 500/50-10.5).
10. Vendor certifies it is not barred from having a contract with the State based on violating the prohibition on providing assistance to the state in identifying a need for a contract (except as part of a public request for information process) or by reviewing, drafting or preparing solicitation or similar documents for the State (30 ILCS 500/50-10.5e).
11. Vendor certifies that it and its affiliates are not delinquent in the payment of any debt to the State (or if delinquent has entered into a deferred payment plan to pay the debt), and Vendor and its affiliates acknowledge the State may declare the contract void if this certification is false (30 ILCS 500/50-11) or if Vendor or an affiliate later becomes delinquent and has not entered into a deferred payment plan to pay off the debt (30 ILCS 500/50-60).
12. Vendor certifies that it and all affiliates shall collect and remit Illinois Use Tax on all sales of tangible personal property into the State of Illinois in accordance with provisions of the Illinois Use Tax Act (30 ILCS 500/50-12) and acknowledges that failure to comply can result in the contract being declared void.
13. Vendor certifies that it has not been found by a court or the Pollution Control Board to have committed a willful or knowing violation of the Environmental Protection Act within the last five years, and is therefore not barred from being awarded a contract (30 ILCS 500/50-14).
14. Vendor certifies it has not paid any money or valuable thing to induce any person to refrain from bidding on a State contract, nor has Vendor accepted any money or other valuable thing, or acted upon the promise of same, for not bidding on a State contract (30 ILCS 500/50-25).
15. Vendor certifies it is not in violation of the "Revolving Door" section of the Illinois Procurement Code (30 ILCS 500/50-30).
16. Vendor certifies that it has not retained a person or entity to attempt to influence the outcome of a procurement decision for compensation contingent in whole or in part upon the decision or procurement (30 ILCS 500/50-38).
17. Vendor certifies it will report to the Illinois Attorney General and the Chief Procurement Officer any suspected collusion or other anti-competitive practice among any bidders, offerors, contractors, proposers or employees of the State (30 ILCS 500/50-40, 50-45, 50-50).
18. In accordance with the Steel Products Procurement Act, Vendor certifies steel products used or supplied in the performance of a contract for public works shall be manufactured or produced in the United States, unless the executive head of the procuring agency grants an exception (30 ILCS 565).
19. a) If Vendor employs 25 or more employees and this contract is worth more than \$5000, Vendor certifies it will provide a drug free workplace pursuant to the Drug Free Workplace Act.  
b) If Vendor is an individual and this contract is worth more than \$5000, Vendor shall not engage in the unlawful manufacture, distribution, dispensation, possession or use of a controlled substance during the performance of the contract (30 ILCS 580).
20. Vendor certifies that neither Vendor nor any substantially owned affiliate is participating or shall participate in an international boycott in violation of the U.S. Export Administration Act of 1979 or the applicable regulations of the U.S. Department of Commerce. This applies to contracts that exceed \$10,000 (30 ILCS 582).
21. Vendor certifies it has not been convicted of the offense of bid rigging or bid rotating or any similar offense of any state or of the United States (720 ILCS 5/33 E-3, E-4).
22. Vendor certifies it complies with the Illinois Department of Human Rights Act and rules applicable to public contracts, including equal employment opportunity, refraining from unlawful discrimination, and having written sexual harassment policies (775 ILCS 5/2-105).

23. Vendor certifies it does not pay dues to or reimburse or subsidize payments by its employees for any dues or fees to any "discriminatory club" (775 ILCS 25/2).

24. Vendor certifies it complies with the State Prohibition of Goods from Forced Labor Act, and certifies that no foreign-made equipment, materials, or supplies furnished to the State under the contract have been or will be produced in whole or in part by forced labor, or indentured labor under penal sanction (30 ILCS 583).

25. Vendor certifies that no foreign-made equipment, materials, or supplies furnished to the State under the contract have been produced in whole or in part by the labor or any child under the age of 12 (30 ILCS 584).

26. Vendor certifies that it is not in violation of Section 50-14.5 of the Illinois Procurement Code (30 ILCS 500/50-14.5) that states: "Owners of residential buildings who have committed a willful or knowing violation of the Lead Poisoning Prevention Act (410 ILCS 45) are prohibited from doing business with the State until the violation is mitigated".

27. Vendor warrants and certifies that it and, to the best of its knowledge, its subcontractors have and will comply with Executive Order No. 1 (2007). The Order generally prohibits Vendors and subcontractors from hiring the then-serving Governor's family members to lobby procurement activities of the State, or any other unit of government in Illinois including local governments if that procurement may result in a contract valued at over \$25,000. This prohibition also applies to hiring for that same purpose any former State employee who had procurement authority at any time during the one-year period preceding the procurement lobbying activity.

28. Vendor certifies that information technology, including electronic information, software, systems and equipment, developed or provided under this contract will comply with the applicable requirements of the Illinois Information Technology Accessibility Act Standards as published at [www.dhs.state.il.us/iitaa](http://www.dhs.state.il.us/iitaa). (30 ILCS 587)

29. Vendor certifies that it has read, understands, and is in compliance with the registration requirements of the Elections Code (10 ILCS 5/9-35) and the restrictions on making political contributions and related requirements of the Illinois Procurement Code (30 ILCS 500/20-160 and 50-37). Vendor will not make a political contribution that will violate these requirements. These requirements are effective for the duration of the term of office of the incumbent Governor or for a period of 2 years after the end of the contract term, whichever is longer.

In accordance with section 20-160 of the Illinois Procurement Code, Vendor certifies as applicable:

Vendor is not required to register as a business entity with the State Board of Elections.

or

Vendor has registered **and has attached a copy** of the official certificate of registration as issued by the State Board of Elections. As a registered business entity, Vendor acknowledges a continuing duty to update the registration as required by the Act.

VENDOR (show Company name and DBA)

\_\_\_\_\_

Signature \_\_\_\_\_

Printed Name \_\_\_\_\_

Title \_\_\_\_\_ Date \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_



# DEPARTMENT OF HUMAN RIGHTS (DHR) PUBLIC CONTRACT NUMBER

**(775 ILCS 5/2-105)** If you employed fifteen or more full-time employees at any time during the 365-day period immediately preceding the publication of this solicitation in the Illinois Procurement Bulletin (or issuance date if not published), you must have a current Public Contract Number or have proof of having submitted a completed application for one prior to the offer opening date. If we cannot confirm compliance, we will not be able to consider your bid or offer. Please complete the appropriate sections below.

Name of Company (and DBA) \_\_\_\_\_.

\_\_\_\_\_ (check if applicable) The number is not required as the company has employed 14 or less full-time employees during the 365 day period immediately preceding the publication of this solicitation in the Illinois Procurement Bulletin (or issuance date if not published).

DHR Public Contracts Number \_\_\_\_\_

Or, if number has not yet been issued,

Date completed application for the number was submitted to DHR \_\_\_\_\_.

## **NOTICE:**

**Numbers issued by the Department of Human Rights (or its predecessor agency, the Illinois Fair Employment Practices Commission) prior to July 1, 1998, are no longer valid. This affects numbers below 89999-00-0. Valid numbers begin with 90000-00-0. If your organization holds an expired number, you must re-register with DHR by completing the required form.**

You can obtain an application form by:

1. **Telephone:** Call the DHR Public Contracts Unit at (312) 814-2431 between Monday and Friday, 8:30 AM - 5:00 PM, CST. [TDD (312) 263-1579].
2. **Internet:** Download the form from the Internet at "[www.state.il.us/cms](http://www.state.il.us/cms)". In the Purchasing area of the CMS home page, click the "DOWNLOAD VENDOR FORMS" line.
3. **Mail:** Write to the Department of Human Rights, Public Contracts Unit, 100 West Randolph Street, Suite 10-100, and Chicago, IL 60601.

## DISCLOSURES AND CONFLICTS OF INTEREST

**Instructions:** Vendor shall disclose financial interests, potential conflicts of interest and contract information identified in Sections 1, 2 and 3 below as a condition of receiving an award or contract (30 ILCS 500/50-13 and 50-35). Failure to fully disclose shall render the contract, bid, proposal, subcontract, or relationship voidable by the chief procurement officer if s/he deems it in the best interest of the State of Illinois and may be cause for barring from future contracts, bids, proposals, subcontracts, or relationships with the State.

- There are five sections to this form and each must be completed to meet full disclosure requirements.
- Note: The requested disclosures are a continuing obligation and must be promptly supplemented for accuracy throughout the process and throughout the term of the resultant contract if the bid/offer is awarded. As required by 30 ILCS 500/50-2, for multi-year contracts Vendors must submit these disclosures on an annual basis.

A publicly traded entity may submit its 10K disclosure in satisfaction of the disclosure requirements set forth in Section 1 below. HOWEVER, if a Vendor submits a 10K, they must still must complete Sections 2, 3, 4 and 5 and submit the disclosure form.

If the Vendor is a wholly owned subsidiary of a parent organization, separate disclosures must be made by the Vendor and the parent. For purposes of this form, a parent organization is any entity that owns 100% of the Vendor.

This disclosure information is submitted on behalf of (show official name of Vendor, and if applicable, D/B/A and parent):

Name of Vendor: \_\_\_\_\_

D/B/A (if used): \_\_\_\_\_

Name of any Parent Organization: \_\_\_\_\_

### Section 1: Section 50-35 Disclosure of Financial Interest in the Vendor. (All Vendors must complete this section)

Vendors must complete subsection (a), (b) or (c) below. Please read the following subsections and complete the information requested.

- a. If Vendor is a Publicly traded corporation subject to SEC reporting requirements
- i. Vendor shall submit their 10K disclosure (include proxy if referenced in 10k) in satisfaction of the financial and conflict of interest disclosure requirements set forth in subsections 50-35 (a) and (b) of the Procurement Code. The SEC 20f or 40f, supplemented with the names of those owning in excess of 5% and up to the ownership percentages disclosed in those submissions, may be accepted as being substantially equivalent to 10K.

Check here if submitting a 10k , 20f , or 40f .

**OR**

- b. If Vendor is a privately held corporation with more than 200 shareholders
- i. These Vendors may submit the information identified in 17 CFR 229.401 and list the names of any person or entity holding any ownership share in excess of 5% in satisfaction of the financial and conflict of interest disclosure requirements set forth in subsections 50-35 a and b of the Illinois Procurement Code.

**OR**

- c. If Vendor is an individual, sole proprietorship, partnership or any other not qualified to use subsections (A) or (B), complete (i) and (ii) below as appropriate.
- i. For **each individual** having any of the following financial interests in the Vendor (or its parent), please mark each that apply and show the applicable name and address. Use a separate form for each individual.
1. Do you have an ownership share of greater than 5% of the offering entity or parent entity?  
 Yes  No
  2. Do you have an ownership share of less than 5%, but which has a value greater than \$106,447.20?  
 Yes  No

3. Do you receive more than \$106,447.20 of the offering entity's or parent entity's distributive income? (Note: Distributive income is, for these purposes, any type of distribution of profits. An annual salary is not distributive income.)  
 Yes  No
4. Do you receive greater than 5% of the offering entity's or parent entity's total distributive income, but which is less than \$106,447.20?  
 Yes  No
5. If you responded yes to any of questions 1 – 4 above, please provide either the percentage or dollar amount of your ownership or distributive share of income: \_\_\_\_\_. For partnerships with more than 50 partners, the percentage share of ownership of each individual identified above may be shown in the following ranges (dollar value fields must also be completed when applicable):  
 0.5% or less \_\_\_\_\_ >0.5 to 1.0% \_\_\_\_\_ >1.0 to 2.0% \_\_\_\_\_ >2.0 to 3.0 % \_\_\_\_\_ > 3.0 to 4.0% \_\_\_\_\_ %  
 >4.0 to 5.0% \_\_\_\_\_ and in additional 1% increments as appropriate \_\_\_\_\_ %
6. If you responded yes to any of the questions 1-4 above, please check the appropriate type of ownership/distributable income share:  
 Sole Proprietorship  Stock  Partnership  Other (explain) \_\_\_\_\_  
 Name: \_\_\_\_\_  
 Address: \_\_\_\_\_

- ii. In relation to individuals identified above, indicate whether any of the following potential conflict of interest relationships apply. If "Yes," please describe each situation (label with appropriate letter) using the space at the end of this Section (attach additional pages as necessary). If no individual has been identified above, mark not applicable (N/A) here \_\_\_\_\_.
- (a) State employment, currently or in the previous 3 years, including contractual employment of services directly with the individuals identified in Section 1 in their individual capacity unrelated to the Vendor's contract. Yes  No
- (b) State employment of spouse, father, mother, son, or daughter, including contractual employment for services in the previous 2 years. Yes  No
- (c) Elective status; the holding of elective office of the State of Illinois, the government of the United States, any unit of local government authorized by the Constitution of the State of Illinois or the statutes of the State of Illinois currently or in the previous 3 years. Yes  No
- (d) Relationship to anyone holding elective office currently or in the previous 2 years; spouse, father, mother, son, or daughter. Yes  No
- (e) Appointive office; the holding of any appointive government office of the State of Illinois, the United States of America, or any unit of local government authorized by the Constitution of the State of Illinois or the statutes of the State of Illinois, which office entitles the holder to compensation in excess of expenses incurred in the discharge of that office currently or in the previous 3 years. Yes  No
- (f) Relationship to anyone holding appointive office currently or in the previous 2 years; spouse, father, mother, son, or daughter. Yes  No
- (g) Employment, currently or in the previous 3 years, as or by any registered lobbyist of the State government. Yes  No
- (h) Relationship to anyone who is or was a registered lobbyist in the previous 2 years; spouse, father, mother, son, or daughter. Yes  No
- (i) Compensated employment, currently or in the previous 3 years, by any registered election or re-election committee registered with the Secretary of State or any county clerk in the State of Illinois, or any political action committee registered with either the Secretary of State or the Federal Board of Elections. Yes  No
- (j) Relationship to anyone; spouse, father, mother, son, or daughter; who is or was a compensated employee in the last 2 years of any registered election or reelection committee registered with the Secretary of State or any county clerk in the State of Illinois, or any political action committee registered with either the Secretary of State or the Federal Board of Elections. Yes  No

**Section 2: Section 50-13 Conflicts of Interest** *(All Vendors must complete this section)*

(a) Prohibition. It is unlawful for any person holding an elective office in this State, holding a seat in the General Assembly, or appointed to or employed in any of the offices or agencies of State government and who receives compensation for such employment in excess of 60% of the salary of the Governor of the State of Illinois [\$106,447.20], or who is an officer or employee of the Capital Development Board or the Illinois Toll Highway Authority, or who is the spouse or minor child of any such person to have or acquire any contract, or any direct pecuniary interest in any contract therein, whether for stationery, printing, paper, or any services, materials, or supplies, that will be wholly or partially satisfied by the payment of funds appropriated by the General Assembly of the State of Illinois or in any contract of the Capital Development Board or the Illinois Toll Highway Authority.

(b) Interests. It is unlawful for any firm, partnership, association, or corporation, in which any person listed in subsection (a) is entitled to receive (i) more than 7 1/2% of the total distributable income or (ii) an amount in excess of the salary of the Governor (\$177,412.00), to have or acquire any such contract or direct pecuniary interest therein.

(c) Combined interests. It is unlawful for any firm, partnership, association, or corporation, in which any person listed in subsection (a) together with his or her spouse or minor children is entitled to receive (i) more than 15%, in the aggregate, of the total distributable income or (ii) an amount in excess of 2 times the salary of the Governor [\$354,824.00], to have or acquire any such contract or direct pecuniary interest therein.

Check One:            No Conflicts Of Interest  
                               Potential Conflict of Interest (If checked, name each conflicted individual, the nature of the conflict, and the name of the State agency that is associated directly or indirectly with the conflicted individual.)

**Section 3: Debarment/Legal Proceeding Disclosure** *(All Vendors must complete this section).*

Each of the persons identified in Sections 1, 2 and 3 must each identify any of the following that occurred within the previous 10 years:

Debarment from contracting with any governmental entity	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Professional licensure discipline	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Bankruptcies	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Adverse civil judgments and administrative findings	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Criminal felony convictions	Yes <input type="checkbox"/>	No <input type="checkbox"/>

If any of the above is checked yes, please identify with descriptive information the nature of the debarment and legal proceeding. The State reserves the right to request more information, should the information need further clarification.

---

---

**Section 4: Disclosure of Business Operations with Iran** *(All Vendors must complete this section).*

In accordance with 30 ILCS 500/50-36, each bid, offer, or proposal submitted for a State contract, other than a small purchase defined in Section 20-20 [of the Illinois Procurement Code], shall include a disclosure of whether or not the bidder, offeror, or proposing entity, or any of its corporate parents or subsidiaries, within the 24 months before submission of the bid, offer, or proposal had business operations that involved contracts with or provision of supplies or services to the Government of Iran, companies in which the Government of Iran has any direct or indirect equity share, consortiums or projects commissioned by the Government of Iran and:

- (1) more than 10% of the company's revenues produced in or assets located in Iran involve oil-related activities or mineral-extraction activities; less than 75% of the company's revenues produced in or assets located in Iran involve contracts with or provision of oil-related or mineral – extraction products or services to the Government of Iran or a project or consortium created exclusively by that Government; and the company has failed to take substantial action;  
or
- (2) the company has, on or after August 5, 1996, made an investment of \$20 million or more, or any combination of investments of at least \$10 million each that in the aggregate equals or exceeds \$20 million in any 12- month period that directly or significantly contributes to the enhancement of Iran's ability to develop petroleum resources of Iran.

A bid, offer, or proposal that does not include this disclosure shall not be considered responsive. We may consider this disclosure when evaluating the bid, offer, or proposal or awarding the contract.

You must check one of the following items and if item 2 is checked you must also make the necessary disclosure:

There are no business operations that must be disclosed to comply with the above cited law.

The following business operations are disclosed to comply with the above cited law:

---

---

**Section 5: Current and Pending Contracts** *(All Vendors must complete this section).*

Does the Vendor have any contracts, pending contracts, bids, proposals or other ongoing procurement relationships with units of State of Illinois government? Yes  No

If yes, please identify each contract, pending contract, bid, proposal and other ongoing procurement relationship it has with units of State of Illinois government by showing agency name and other descriptive information such as bid number, project title, purchase order number or contract reference number.

---

---

---

---

---

---

**Section 6: Representative Lobbyist/Other Agent** *(All Vendors must complete this section).*

Is the Vendor represented by or employ a lobbyist or other agent who is not identified under Sections 1 and 2 and who has communicated, is communicating, or may communicate with any State officer or employee concerning the bid, offer or contract? Yes  No   
If yes, please identify each agent / lobbyist, including name and address.

---

---

Costs/Fees/Compensation/Reimbursements related to assistance to obtain contract (describe):

---

---

Vendor certifies that none of these costs will be billed to the State in the event of contract award. Vendor must file this information with the Secretary of State.

**This Disclosure is signed and made under penalty of perjury.**

This Disclosure information is submitted on behalf of: \_\_\_\_\_  
(Vendor/Subcontractor Name)

Name of Authorized Representative: \_\_\_\_\_

Title of Authorized Representative: \_\_\_\_\_

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

Date: \_\_\_\_\_

Subscribed and sworn before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

(seal)

\_\_\_\_\_  
Notary Public

My Commission Expires: \_\_\_\_\_

# TAXPAYER IDENTIFICATION NUMBER

I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. person (including a U.S. resident alien).
  - *If you are an individual, enter your name and SSN as it appears on your Social Security Card.*
  - *If you are a sole proprietor, enter the owner's name on the name line followed by the name of the business and the owner's SSN or EIN.*
  - *If you are a single-member LLC that is disregarded as an entity separate from its owner, enter the owner's name on the name line and the d/b/a on the business name line and enter the owner's SSN or EIN.*
  - *If the LLC is a corporation or partnership, enter the entity's business name and EIN and for corporations, attach IRS acceptance letter (CP261 or CP277).*
  - *For all other entities, enter the name of the entity as used to apply for the entity's EIN and the EIN.*

**Name:** \_\_\_\_\_

**Business Name:** \_\_\_\_\_

**Taxpayer Identification Number:**

Social Security Number \_\_\_\_\_  
or  
Employer Identification Number \_\_\_\_\_

**Legal Status** (check one):

- |  |  |
|--|--|
| <input type="checkbox"/> Individual  | <input type="checkbox"/> Governmental  |
| <input type="checkbox"/> Sole Proprietor   | <input type="checkbox"/> Nonresident alien   |
| <input type="checkbox"/> Partnership   | <input type="checkbox"/> Estate or trust   |
| <input type="checkbox"/> Legal Services Corporation  | <input type="checkbox"/> Pharmacy (Non-Corp.)  |
| <input type="checkbox"/> Tax-exempt  | <input type="checkbox"/> Pharmacy/Funeral Home/Cemetery (Corp.)                              |
| <input type="checkbox"/> Corporation providing or billing<br>medical and/or health care services     | <input type="checkbox"/> Limited Liability Company (select applicable tax<br>classification) |
| <input type="checkbox"/> Corporation NOT providing or billing<br>medical and/or health care services | <input type="checkbox"/> D = disregarded entity  |
|  | <input type="checkbox"/> C = corporation   |
|  | <input type="checkbox"/> P = partnership   |

**Signature:** \_\_\_\_\_

**Date:** \_\_\_\_\_



**Subcontractor Information/Delinquent Debt Review  
Prime Consultant/Contractor  
Sub-Consultant/Contractor  
FEIN**

Date: \_\_\_\_\_ Project Number: \_\_\_\_\_

Project Name: \_\_\_\_\_

**DELINQUENT DEBT REVIEW**

Sub-Consultant/Contractor Disclosure.

Will you be using any sub-consultants/contractors?      \_\_\_ Yes      \_\_\_ No

If yes, you must identify below, to the extent the information is known, the names and addresses of all Sub-Consultants/Contractors you will be using in the performance of this Contract, together with the anticipated amount of money that each Sub-Consultant/Contractor is expected to receive pursuant to this Contract. The State may request updated information at any time. For purposes of this section, Sub-Consultants/Contractors are those specifically hired to perform all, or part, of the work of this contract or to provide the supplies requested by the State.

Our firm agrees to provide the Chief of Procurement, also known as the State Procurement Officer (SPO), a copy of any subcontract as identified within twenty (20) days after execution of the contract if selected, or after execution of the subcontract, whichever is later.

Delinquent Payment. The Consultant/Contractor certifies that it, or any affiliate, is not barred from being awarded a contract under 30 ILCS 500. Section 50-11 prohibits a person from entering into a contract with a State agency if it knows or should know that it, or any affiliate, is delinquent in the payment of any debt to the State as defined by the Debt Collection Board. Section 50-12 prohibits a person from entering into a contract with the State agency if it, or any affiliate, has failed to collect and remit Illinois Use Tax on all sales of tangible personal property into the State of Illinois in accordance with the provisions of the Illinois Use Tax Act. The Consultant/Contractor further acknowledges that the contracting State agency may declare the contract void if this certification is false or if the Consultant/Contractor or any affiliate is determined to be delinquent in the payment of any debt to the State during the term of the contract.

**PRIME  
CONTRACTOR**

**Prime Consultant/Contractor:** \_\_\_\_\_

**Federal Employment Identification Number (FEIN)** \_\_\_\_\_

**E-Mail:** \_\_\_\_\_

**SUB-CONTRACTOR(S)**

<u>Sub-Consultant(s)/Contractor(s)</u>	<u>Sub-Consultant(s)/Contractor(s) FEIN</u>	<u>Address</u>	<u>Amount to be Paid (to extent known)</u>

**Sign** \_\_\_\_\_ **Print** \_\_\_\_\_ **Date** \_\_\_\_\_  
**Prime Consultant/Contractor**

# NOTICE

**OUT OF STATE COMPANIES.** Please contact the Illinois Secretary of State (217/782-1834) regarding a Certificate of Authority to Transact Business in Illinois (**805 ILCS 5/13**). Application Form BCA 13.15 may be downloaded from:

[www.cyberdriveillinois.com/departments/business\\_services/publications\\_and\\_forms/bca.html](http://www.cyberdriveillinois.com/departments/business_services/publications_and_forms/bca.html)

**If selected, out-of-state corporations providing professional services to the Tollway will be required to submit a copy of the certificate from the Illinois Secretary of State of Illinois as evidence of compliance.**



# HARD COPY SUBMITTAL INSTRUCTIONS

If your firm is **not** submitting PSB 12-2 electronically, please submit one (1) copy of each Statement of Interest for each Item. These submittals must be received at the Illinois Tollway by 4:30 p.m. local time on **May 16, 2012**.

Please cut and paste the label below on the envelope containing your submittal.

-----

## SEALED BID/PROPOSAL

Company Name:
City, State, Zip:

**Attn: Mr. Gregory R. Stukel**

Contract No. **PSB 12-2**

DUE DATE: May 16, 2012

|||||  
The Illinois State Toll Highway Authority  
Attn: **Mr. Gregory R. Stukel**  
**Deputy Chief of Program**  
**Controls/System Integrity**  
2700 Ogden Avenue  
Downers Grove IL 60515-1703



& Paste on envelope - - - - -

**To Receive Email Notification from the Illinois Tollway  
That the Professional Services Bulletin  
Has Been Posted  
Please Submit The Following Information:**

***PLEASE DO NOT SUBMIT WITH YOUR STATEMENT OF INTEREST***

**If Previously Submitted, Only Resubmit If Information Has Changed.**

**To unsubscribe from the PSB Email Notification list send an Email to [sbanak@getipass.com](mailto:sbanak@getipass.com)**

Submit to: Ms. Stella Banak  
General Manager of Engineering  
**OR - Email: [sbanak@getipass.com](mailto:sbanak@getipass.com)**  
Illinois State Toll Highway Authority  
2700 Ogden Avenue  
Downers Grove, IL 60515  
Fax: (630) 241-6149

---

---

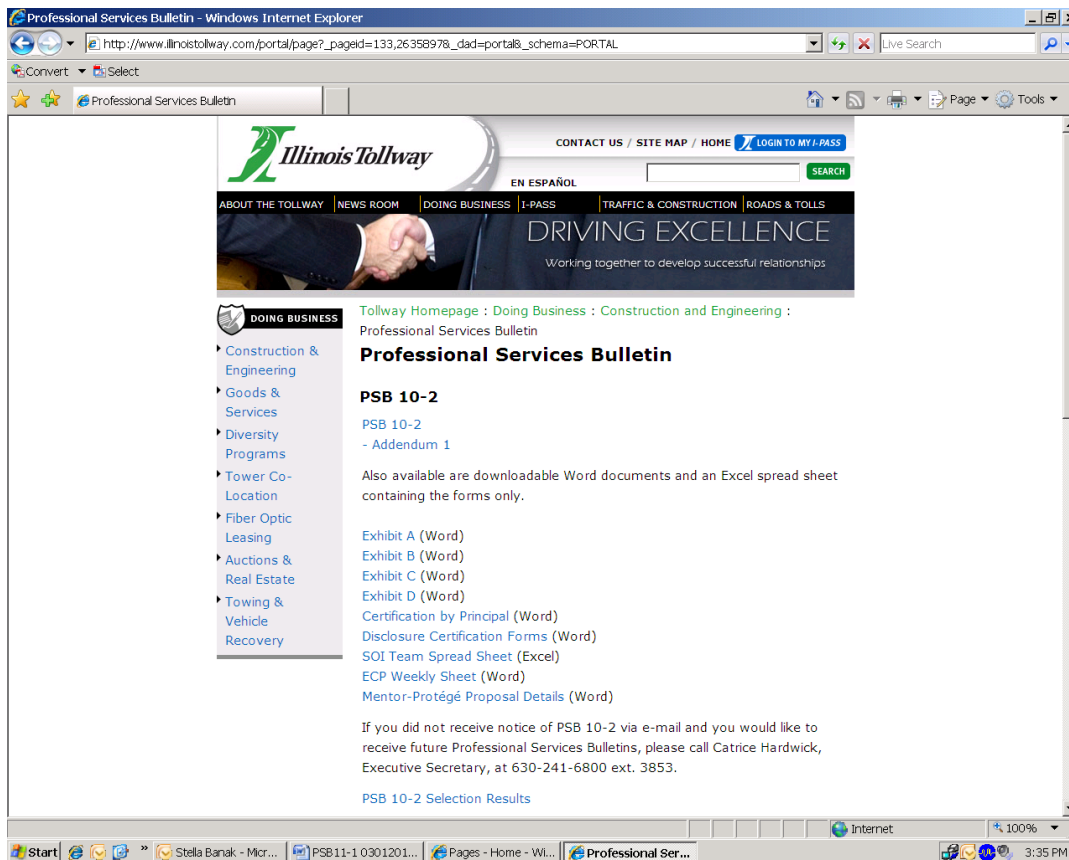
**(TYPE ONLY)**

Name of firm \_\_\_\_\_

**E-mail address** \_\_\_\_\_

Contact person (corresponding with e-mail) \_\_\_\_\_

# INFORMATION ON ACCESSING TOLLWAY WEBSITE



The Professional Services Bulletin 12-2, including all Exhibits and forms can be found on the Tollway’s website at <http://www.illinoistollway.com>. To navigate your way to our PSB, go to “Doing Business”.

“Doing Business” can be found along the top tool bar. Next, click on Construction and Engineering.

Scroll down to Joint Resources and click on the Professional Services link.

The printed page shown above is the next page you will see. In the center of the page, double click on the bulleted item “Professional Services Bulletin”. The next page you see will list our PSB 12-2 and all of the forms you will need to submit your Statements of Interest.

Please call if you need assistance.  
(630)241-6800, ext 3987.