

# PSB 13-3

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

**Due Date: October 18, 2013**

**Successful Applicants will be notified.**

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

## Professional Services Bulletin

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No. 13-3

Published August 30, 2013

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



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

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# **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.

All questions related to this Professional Services Bulletin must be submitted electronically to the SOI Mailbox at [SOIPSB.13-3@getipass.com](mailto:SOIPSB.13-3@getipass.com) seven (7) days prior to the submittal due date of October 18, 2013. The subject line should read: PSB 13-3 Question. Answers will be addressed via an Addendum.

# **NOTICE**

## **CONSULTANT/CONFLICTS OF INTEREST WITHIN TOLLWAY PROJECTS**

The Tollway has received questions regarding prime consultant and subconsultant conflicts of interest, specifically with regard to primes and their subconsultants who perform program management and project management services under the Program Management Office (PMO), Consulting Engineer (CE), Traffic Engineer (TE), Construction Corridor Management (CCM) and Design Corridor Management (DCM) contracts. The following applies:

Certain contracts require that a prime consultant cannot perform other services with the Tollway. Those contracts are the Consulting Engineer, Traffic Engineer and Program Management Office. Subconsultants working for these contracts can perform work on other Tollway projects provided that:

1. The subconsultant does not serve as the Tollway's project manager overseeing work done by that subconsultant firm on another Tollway contract - specifically if the subconsultant reviews progress reports and invoices of a contract that has that subconsultant as a part of the team.
2. The subconsultant does not review their own firm's work if that subconsultant firm is working on another Tollway contract.
3. Any other potential issue that a professional firm, professional individual or the Tollway reasonably determines is inappropriate.

For item 2 above, the prime consultant and subconsultant may resolve this conflict by documenting that another person that did not perform the original work being reviewed will be performing those reviews. For example, if a subconsultant has the responsibility of performing electrical lighting reviews for the prime consultant, and the subconsultant is also responsible for designing electrical lighting as a subconsultant on another Tollway contract, the prime consultant may substitute either another subconsultant or an employee of their own firm to review that contract's specific design submittal.

Prime consultants who have CCM and DCM contracts can work on other Tollway contracts. However, the prime firm and their subconsultants should not be in a position to review their own work. For example, a CCM may also have a Construction Management (CM) contract within their corridor. The CCM may have responsibility to perform documentation review of the CM firms within their corridor; however, the CCM should not perform documentation review on their own CM contract. The Tollway will ask another firm to perform that review.

# **NOTICE**

## **CONSULTANT/CONFLICTS OF INTEREST WITHIN TOLLWAY PROJECTS (cont.)**

This notice is not intended to create confusion; rather it is to request the use of common sense and professional judgment. As professional firms, it is known that you should not place your firm in an unfair advantage, and when you believe there may be an issue, to quickly inform your prime consultant so that appropriate steps can be taken to mitigate any such instance. This notice is not intended to address any potential conflicts of interest ruled upon by the Tollway's Chief Procurement Officer and/or the Procurement Policy Board under the Illinois Procurement Code (30 Ill. Comp. Stat. 500).

# **IMPORTANT NOTICE**

## **Procurement Reform Bill**

### **Senate Bill 51(Public Act 96-0795) as revised by Trailer Bill 3576 (Public Act 96-0920) and subsequently Senate Bill 2958 (Public Act 97-0895)**

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 Procurement Omnibus Bill (Public Act 97-0895) was signed into law on August 3, 2012, which further revised some of the standard requirements under the Procurement Code.

Following are some of the highlights 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) and subsequently with Public Act 97-0895, effective 8/3/2012.**

##### **Prime Consultants:**

- Requirements are effective with Tollway Professional Services Bulletin 10-2 and any subsequent Bulletins.
- Required to submit new Financial and Conflicts of Interest Disclosures with offer (Certification/Disclosure form revision date: v.13.5).
- Requires annual re-certification for multi-year contracts in accordance with the state's fiscal year which begins July 1st.

Beginning with Professional Services Bulletins advertised in 2013 or later, subcontract agreements are no longer required to be submitted upon execution of the contract. However, upon request, a copy of the subcontract must be submitted within fifteen (15) days after execution of the contract if selected, or after execution of the subcontract, whichever is later, for those subcontracts with an annual value of more than \$50,000. All subcontractors performing work with an annual value of \$50,000 or more must continue to provide the same certifications and disclosures as the Vendor makes as a condition of the contract.

##### **Subconsultants:**

- Subconsultants whose annual contract value exceeds \$50,000 must provide required Financial & Conflict of Interest Disclosures, as well as State Certifications if requested, 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) and subsequently SB 2958 (Public**  
**Act 97-0895**

**New Bid Communication Requirements in Accordance with Public Act 96-0795 as revised by Public Act 96-0920 (Effective 1/1/11), and as amended August 3, 2012, by Public Act 97-0895**

The communications portion of the Act requires state employees who participate personally and substantially in the decision to award a state contract 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 by reviewing, drafting or with preparation of any:
  - Invitation for Bids;
  - Request for Proposal;
  - Request for Information; or
  - Provided similar assistance.

Unless requested by an employee of the State

(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 **and subsequently Public Act 97-0895**, is an essential part of the Illinois Tollway's contracts.

**Failure to comply with these 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.13-3@getipass.com](mailto:SOIPSB.13-3@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 **October 18, 2013**, as indicated on the cover sheet. Statements of Interest received **AFTER** the 4:30:00 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 subconsultant to the Tollway through another Prime. Do we need to submit the subconsultant’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 subconsultants required to complete the Certification/Disclosure forms?

A. Known subconsultants whose annual contracts exceed \$50,000 SHALL separately complete and submit the Certification/Disclosure forms to the Prime upon selection (See Tollway website for Certification/Disclosure forms v.13.5).

Certification/Disclosure forms for subconsultants whose annual contract value exceeds \$50,000, shall be submitted within 15 days of execution of the subcontract(s) by the Prime to the State Purchasing Officer (SPO) through the General Manager of Engineering at 2700 Ogden Ave., Downers Grove, IL 60515 within 15 days of contract execution (generally the Notice to Proceed date).

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 that must be met by the prime firm, as well as the prequalification categories eligible to be met through a subconsultant.



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.

Q: Our firm has not had any business dealings with the State of Illinois and as a result we have not registered with the State Board of Elections. The Standard Certification forms request information regarding our registration status. Are we obligated to register at this time?

A. If selected, it is understood that the contract value will exceed the statutory registration amount of \$50,000; therefore, failure to have registered as a business entity with the State of Illinois Board of Elections prior to the submittal of your offer (Statement of Interest) will result in your firm being considered non-responsive.

# **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 (email).

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 website.

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 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 email 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 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 13-3**

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.13-3@getipass.com](mailto:SOIPSB.13-3@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 4:30:00 P.M. (LOCAL TIME), **DUE DATE October 18, 2013**. 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 Subconsultants proposed.
- Familiarity of the firm and any proposed subconsultants 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.

Consideration will also be given to the quality and scope of D/M/WBE, Mentor Protégé and ECP proposals.

Include performance ratings 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.

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** known sub-consultants.

#### **TABLE OF CONTENTS**

Include Section Number and Page Numbers

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

- A. Name of firm, address, telephone number, e-mail address and contact person.
- B. List all known subconsultants, the work the firm(s) will be performing and a contact person for each. Identify any D/M/WBE's. Subconsultants 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 and Exhibit A).

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

Include names and titles for all Key Project Personnel

# **STATEMENTS OF INTEREST**

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

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

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

Please include Exhibit A as part of Section 3 and complete as follows:

- A. Include resumes for Key Project Personnel proposed for the project (Prime firm and subconsultants for those specific positions identified in the PSB item description). Resumes for each individual should not exceed two (2) pages and should include only relevant experience for the specific Item.
- B. List the Key Project Personnel to match the required prequalification categories and any additional personnel requirements designated in the project advertisement. (Include firm name if work is to be completed by a subconsultant.)
- C. QC/QA personnel must be different individuals than staff preparing the documents.
- D. Include the name of each proposed subconsultant and the category(ies) of work they will perform. If a DBE Goal is in the advertisement, list the proposed DBE subconsultants(s) including the percentage of work each firm will be performing. All subconsultants must be prequalified in the area of work they will be performing. Complete the "Plan to Achieve Diversity Goal" table with the relevant information.

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 Project Personnel Form**

#### **Exhibit D.**

Firms must show the percentage of time that identified Key Project Personnel will be available to work on the project described in each Item. We request a Word document saved in .pdf format to be completed with the 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. **Color graphics and photographs may be sent with the e-mail files with the understanding that email 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 email 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 instructions provided. Failure to do so 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 subconsultant PSB 13-3) that captures critical information used in the Selection Process. The instructions are as follows:

- You must obtain the SOI Team spreadsheet: Prime and subconsultant PSB 13-3 Spreadsheet from the Tollway Website.
- The SOI Team Spreadsheet includes a separate worksheet for each Item advertised in the PSB. You are required to complete the worksheet for each Item, completing all columns shown for the Prime Consultant, and for every subconsultant that is being proposed.
- For each subconsultant the Prime's firm name must be entered in the first column. The worksheet is to be completed for each Item that your firm is submitting a SOI on: all other worksheets may be deleted before submitting to the Tollway.
- The SOI Team Spreadsheet format cannot be altered – it contains imbedded formulas; no cutting and/or copying, linking or pasting of any information. All information needs to be typed - not copied in. YOU MAY NOT ADD, or DELETE columns, or reformat the sheets or any setting in the cell (font/type). DO NOT MODIFY THE COLUMNS, ROWS AND/OR ANY CELLS. 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 **B3** and as an Excel 97-2003 before submitting.
- The SOI Team Spreadsheet is to be submitted only ONCE as a single Spreadsheet containing worksheets for only those item(s) for which a SOI has been submitted.

Subject: **SOIPSB13-3, SOI 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>

## **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.13-3@getipass.com](mailto:SOIPSB.13-3@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:

**SOIPSB13-3, SOI FIRM NAME CODE, ITEM (#'s)**

Any variation excluding SOIPSB13-3 from the subject line will result in your firm's submittal(s) being directed to a "SPAM FOLDER" which will automatically delete the email.

### **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). The protest must be received by close of business no later than 14 days after the protesting party knows 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 515, STRATTON OFFICE BUILDING  
SPRINGFIELD, IL 62706  
PHONE: (217) 558-3724  
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 via the established PSB mail box. All respondents to the Illinois Tollway Bulletin must meet the required IDOT prequalification (item specific) and utilize a unique 2 to 6 character SOI Firm Name Code assigned by the Tollway.

To determine the designated SOI Firm Name Code go to the Tollway's website under Doing Business>Construction and Engineering - see Joint Resources and click on the link to the Professional Services Bulletin page. The current SOI Firm Name Code List will be posted under the "Required Forms" section. If your firm is not included on the list, or your firm name has changed, please contact Terri Smith at (630) 241-6800, extension 3311, for an assigned SOI Firm Name Code.

1. All electronic submittals must be addressed to [SOIPSB.13-3@getipass.com](mailto:SOIPSB.13-3@getipass.com).
2. All electronic submittals of your firm's emails subject lines MUST read: **SOIPSB13-3, SOI FIRM NAME CODE, ITEM (#'s)**.
3. When submitting "Partnership Mentor/Protégé" Team files, please use the Prime's 2-6 character SOI Firm Name Code. When submitting "Joint Venture" team files please, use the **new** SOI Firm Name Code assigned by the Tollway to the Joint Venture. The SOI Firm Code Name is exclusive to the electronic submittal – meaning it does not establish the name of the Joint Venture.
4. All Statements of Interest to be submitted through the email system must use Adobe Acrobat 5.0 version or greater.
5. The size limitation on incoming emails is **7MB**. If you exceed this limit, you must separate the contents into multiple emails. Identify the number of emails being sent (i.e. 1 of 3) in the subject line. Please do not submit part of an Item in one email and another part in the next email. Only those Item submittals that exceed **7MB** should be submitted in more than one email.
6. Scanned images, color graphics, and photographs which are converted to Adobe Portable Document Files (PDF) can be very large. Therefore, we are discouraging the use of color graphics, photographs and company logo images in the SOI submittal. The Word and/or Excel documents available on the website are labeled as follows:

Exhibit A.doc
Exhibit B.doc
Exhibit C.doc = Will be submitted as WL.pdf
Exhibit D.doc
Certification by Principal.doc = PRN
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

Complete the Word documents and then convert them to Adobe .pdf for the submittal.

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

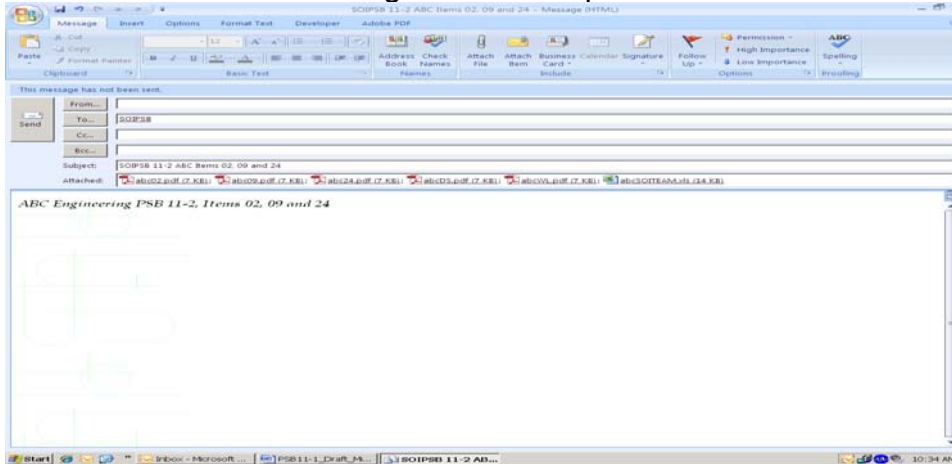
7. Do not send zipped files. They will be rejected and cause your submittal to be disqualified.
8. SOI emails must be received by 4:30:00 P.M. CST. Any emails or partial submittals received after that time will be disqualified.
9. It is important that your email be prepared according to the following instructions. (Note: Engineering is used for example purposes only.)
  - The Subject Line **must** read: **SOIPSB13-3, SOI FIRM NAME CODE, ITEM (#'s) ((1 of 3) – if multiple e-mails).**
  - The first line of your email should indicate your Firm Name, PSB and Item Number(s) on which your firm is submitting. If submitting more than one email due to size, only reference the item numbers included with the email.
  - The body of the email submittal 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 SOI 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 use your 2-6 character SOI Firm Name Code, followed by PRN.  
(Example: abcPRN.pdf)
    - 3) For your firm's Disclosure Forms use your 2-6 character SOI Firm Name Code, followed by DS.  
(Example: abcDS.pdf)  
  
Disclosures submitted on behalf of a Joint Venture partnership should use the unique 2-6 character SOI Firm Name Code for each individual JV firm name followed by DS\_JV.  
  
(Example: abcDS\_JV.pdf, defDS\_JV.pdf and ghiDS\_JV.pdf)
    - 4) For your firm's Current Obligations (Exhibit C), use your 2-6 character SOI Firm Name Code, followed by WL.  
(Example: abcWL.pdf)
    - 5) For your firm's SOITEAM Spreadsheet, use your 2-6 character SOI Firm Name Code, followed by SOITEAM.xls. (For Joint Ventures the subject line of each should utilize the Joint Venture Firm Name code assigned by the Tollway. The Joint Venture lead will submit on behalf of the participating partners and identify the partner with a (JV) following their firm name in the work sheet.)  
(Example: abc\_JVSOITEAM.xls)

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

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

10. Signatures must be scanned, then cut/copied and pasted into the appropriate signature blocks. The files (with the exception of SOITEAM) must then be converted to a PDF.

\*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 within the submittal. Following Exhibit A, include resumes of key project personnel 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. If submitting as a Joint Venture, only the lead or managing partner must submit the PRN.
- abcDS is the Disclosure Forms. Only one copy of the Disclosure Forms is required (unless you are submitting as a Joint Venture – if a Joint Venture include a DS for each JV partner and name as abcDS\_JV.pdf). 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. The instructions shown on page one should not be included in your submittal.
- abcSOITEAM.xls is the “SOI Team Prime and subconsultant PSB 13-3” Spreadsheet. Since the Spreadsheet contains a worksheet for each ITEM only one copy of the SOITEAM.xls file is required.
  - All required Exhibits can be found on the Tollway’s Website.  
(<http://www.illinoistollway.com>)

**\*This example is an illustration of the use of “SOI 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
Project Staff at Tollway Facilities	2.5

- The 2.5 multiplier applies to contracts with personnel permanently assigned to a Tollway facility, such as the Central Administration Building (CA). The 2.5 multiplier does not pertain to personnel assigned to construction field offices for Phase III (Construction Management).

The Direct Labor Multiplier for specialty engineering services, such as Aerial Mapping and LiDAR, will be based upon the firm's current overhead determined during contract negotiations.

### B. SALARY CAPS AND PERSONNEL COMPENSATION

**Maximum Salary Cap for all Project Personnel is \$70 per hour.**

**Temporary personnel with Specialized Expertise**

*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 and as requested by the Tollway.*

### 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
A	\$0M - \$ 10M
B	\$ 10M - \$ 25M
C	\$ 25M - \$ 50M
D	\$ 50M - \$ 75M
E	\$ 75M - \$100M
F	Over \$100M

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

### **ALLOWABLE DIRECT COSTS**

The Allowable Direct Cost list was last updated 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)

Click on the "For Employees" tab and then on the "Travel Guide".

# STATEMENTS OF INTEREST INFORMATION

## ALLOWABLE DIRECT COSTS

**Last updated: 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 Travel Reimbursement Rates – Click on “For Employees”, then “Travel Guide” [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 versus 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.
- “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 by the Tollway.

### 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

Task	Date Due
Statement of Interests (SOIs) Due from Consultants – Standard Disclosures required from Respondent. Upon selection of the Prime, a business entity whose contracts with State agencies, in the aggregate, annually total more than \$50,000 SHALL separately complete and submit the Certification/Disclosure forms to the Prime. The Prime shall submit same to the State Purchasing Officer (SPO) through the General Manager of Engineering at 2700 Ogden Ave., Downers Grove, IL 60515 within 15 days of contract execution (generally the Notice to Proceed date).	October 18, 2013
Consultant Selection	Week of November 4 <sup>th</sup>
Notify Consultants of Selection	Week of November 4 <sup>th</sup>
Final Proposal/Agreement Due from Selected Consultant	December 2013
Board Approval – a copy of the subcontract agreement, if required, within fifteen (15) days after execution (generally the Notice to Proceed date) of the contract if selected, or after execution of the subcontract, whichever is later, for those business entities whose contracts with State agencies, in the aggregate, annually total more than \$50,000, must be submitted to the State Purchasing Officer (SPO) through the General Manager of Engineering at 2700 Ogden Ave., Downers Grove, IL 60515	December 2013
Notice to Proceed	February 2014

## **NOTICE**

**The Mile Posts listed in the project detail (A pages) are approximate.**

## Professional Services Bulletin No. 13-3

Item No.	Project No. / County	Description	Page No.
1	RR-13-4145 McHenry and Winnebago	<b>M6 and M7 Maintenance Facility Site Plan.</b> Phase II Engineering Services.	A-1
2	RR-13-4146 Cook	<b>M1 Maintenance Facility.</b> Construction Management Services.	A-3

## 1. RR-13-4145, Maintenance Facilities, M6 and M7 Site Plan

This project has a 0% D/M/WBE participation goal.

Phase II Professional Engineering services are required for site improvements to prepare construction contract documents (Plans, Special Provisions and Estimate) for the reconstruction of the M-6 Maintenance Facility on the Jane Addams Memorial Tollway (M.P. 49) in Marengo in McHenry County, Illinois and M-7 Maintenance Facility on the Jane Addams Memorial Tollway (M.P. 15.5) in Rockford in Winnebago County, Illinois.

Under a separate contract, the Tollway has retained a Design Architect to develop a Master Plan for new Maintenance Facilities along its Tollway network. The Design Architect has performed site investigations for potential environmental remediation, proposed location of facilities, site ingress and egress, utilities, and other appurtenances. The Design Architect has developed a Schematic Design level site plan and construction documents (working drawings and specifications) for the maintenance building and any other buildings on the site. The successful firm will utilize the Design Architect's site and building plans in performing their work.

The work generally encompasses site plan preparation and shall include but not be limited to the following:

1. Site layout based on Design Architect's Schematic Site Plan.
2. Maintenance facility site ingress and egress based on Design Architect's Schematic Site Plan.
3. Pavement reconstruction.
4. Stormwater management.
5. Underground fuel storage tank and fuel island reconstruction.
6. Provide the design of appropriate landscape and soil erosion/sedimentation control measures as necessary in accordance with the Tollway's Erosion and Sediment Control, Landscape Design Criteria Manual and the Design Architect's Schematic Site Plan.
7. Provide Phase II (design) engineering for identified detention ponds, bio-swales or Best Management Practices (BMPs) and Design Architect's LEED Strategy Checklist.
8. Provide pavement markings, and signage for the contract limits.
9. Provide site lighting and calculations based on Design Architect's Schematic Site Plan.
10. Provide construction staging to ensure continued operation of the facility during construction based on Design Architect's Schematic Site Plan. Provide maintenance of traffic plans including those for impacts to local facilities.
11. Protection and / or relocation of utilities.
12. Provide environmental mitigation and management of contaminated materials based on provided soil borings and environmental assessment of the site.
13. Coordinate and be responsible for all project site-related permits and approvals from authorities having jurisdiction.
14. Incorporate Design Architect's building(s) footprints onto Consultant's construction documents.
15. Incorporate Design Architect's Building Construction Cost Estimates into a total project construction cost estimate.
16. Assist the Tollway in the analysis and selection of successful contractor.
17. All other appurtenant and miscellaneous items.

The Following documents will be provided to the successful firm:

1. Master Site Plan to a level of schematic design will be available at the commencement of the work.
2. Building architectural plans to a level of construction documents will be developed simultaneously with the work.
3. Building MEP plans to a level of construction documents will be developed simultaneously with the work.
4. Topographic survey.
5. Subsurface geotechnical investigation report.
6. Environmental site assessment report.
7. Barrier Warrant Analysis
8. LEED Checklist

Construction estimate: Each Maintenance Facility site is estimated to be Category B.

**The consultant team must demonstrate a minimum of five (5) years' experience in the preparation of civil site plans. Or, the consultant team can demonstrate their experience by providing their prequalification by IDOT in Highways (Roads and Streets). Or, the consultant team can demonstrate their experience by providing their prequalification by the Capital Development Board (CDB) in Civil Engineering.**

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

- The person who will assume the duties of the Project Manager for all aspects of the work documents (must be an Illinois Licensed Professional Engineer or Architect).
- The person who will be responsible for site design related issues (must be an Illinois Licensed Professional Engineer).
- The person who will be responsible for the design and documentation of the LEED credits related to the Civil Engineering. (must be a LEED Accredited Professional)

Schedule: The start of design is scheduled for fall 2013. The construction schedule for these two facilities has not been finalized.

The Consultant must submit their final construction documents in MicroStation. 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.

## 2. RR-13-4146, Maintenance Facilities, M1

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

Phase III engineering services (construction management services) are required for the M1 Maintenance Facility reconstruction on the Tri-State Tollway (M.P. 12) in Alsip in Cook County, Illinois. The Tollway is seeking a Consultant with experience in building and/ or vertical construction and is knowledgeable in the delivery methods for this type of construction.

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 may be required to review and make comments on Pre-Final Design Plans submitted to the Tollway for constructability. The individuals who would be assigned this responsibility should be specified. 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 team must demonstrate a minimum of five (5) years' experience in construction management. Or, the consultant team can demonstrate their experience by providing their prequalification by IDOT in Special Services (Construction Inspection), Special Services (Electrical), Special Services (Mechanical), and Special Services (Architecture). Or, the consultant team can demonstrate their experience by providing their prequalification by the Capital Development Board (CDB) in Construction Management.**

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

- The person who will assume duties as Project Manager for all aspects of the work documents (must be an Illinois Licensed Professional Engineer or Architect).
- The person who will assume the duties of the Resident Engineer who will be on-site and oversee the MEP+FP, Architectural, Structural, Civil and LEED contractors activities. (Illinois Licensed Professional Engineer or Architect is preferred)
- The person who will assume the duties of a Materials Coordinator who will be responsible for coordination of all material testing and testing requirements.
- The Project Controls Engineer who will be responsible for Coordinating and managing cost, schedule, change orders and phasing activities.
- The CM Manual requirement for an Office Engineer holding a current Certificate of Passage of IDOT's Specific Task Training for Documentation of Contract Quantities is **not** applicable to this item.

Construction estimate: Category B

Schedule: Construction for this project is scheduled to start in Spring 2014.

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

The Consultant must have Primavera Project Management P6 capabilities.

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 Subconsultant. The CQP shall include periodic verification by an independent qualified Subconsultant 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 scheduled 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 the 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 soil 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 scheduled 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

## CLARIFICATION OF QUALITY CONTROL/QUALITY ASSURANCE 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 highlighted 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 AND SUBSEQUENTLY PUBLIC ACT 97-895

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. Public Act 97-895 further amended Public Act 95-971 to modify automatic disqualification of an entity who fails to submit its Board of Election Certificate. However:

**Failure to have registered as a business entity with the State of Illinois Board of Elections *prior* to the submittal of your offer (Statement of Interest) will result in your firm being considered non-responsive.**

# **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 Comptroller's 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 subcontractor.

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

If delinquent debt is confirmed on a subcontractor/consultant, the award may still be made to the Prime contractor/consultant; however, the subcontractor/consultant may not be used as part of the contract until the debt has been satisfied. Every subcontractor/consultant contract shall contain a certification by the subcontractor/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 subcontractors 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 subcontractors.
3. Maintain a field journal used in discussions with engineers.
4. Schedule and undergo interviews with contractors and subcontractors on the jobsite.

Construction managers should:

1. Introduce ECP candidates to contractors and subcontractors 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, subcontractors 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
- Cook County

**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 Key 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 (cont.)

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 (cont.)

## **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.

A quarterly Mentor-Protégé report is available on the Tollway website to assist with you with the selection of your team(s):

<http://www.illinoistollway.com/documents/10157/15890/MentorProtegeAgreementsOnAwardedContracts.pdf>

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 SOI Firm Name Code on each file.**

**For further assistance on submitting Partnership Mentor/Protégé SOI's please call:**

Terri Smith  
Engineering Project Analyst  
Engineering Department  
The Illinois Tollway  
(630)241-6800, extension 3311

## Mentor/Protégé Proposal Details

PSB # 13-3 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 of Interest submitted by Joint Ventures beginning with PSB 08-02. The Joint Venture submittal requirements are described below:

The Joint Venture participants must clearly be identified with the Statement of Interest submittal and the Joint Venture shall be considered the Prime Consultant upon selection. Indicate whether the Joint Venture being entered into is a soft or hard partnership. The selection criteria for the Joint Venture will include the combined firm's prequalification categories, and the sum of the individual firm's work capacity and evaluation history.

The Tollway requires the Joint Venture 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 to be performed by each Joint Venture participant and its subcontractors must be clearly defined and leave no room for interpretation in the Statement of Interest. Each Joint Venture participant must make a substantial contribution to the performance of the work being completed by the Joint Venture. What is meant by substantial depends upon the number of participants in the Joint Venture, the professional qualifications of each participant, and the nature of the work being performed.

A Joint Venture Agreement, signed by all participants, **MUST** be submitted within ten (10) business days after contract negotiations and prior to Board award. The Joint Venture Agreement will clearly identify the Joint Venture participants, their percentage interest / share, as well as respective rights and responsibilities. The Joint Venture Agreement shall further designate a managing partner who will assume responsibility for invoicing. The Joint Venture may have no more than three participants. If entering into a hard (legal entity) Joint Venture, a separate legal entity name must be provided along with the new tax identification number.

Each Joint Venture participant shall procure and maintain separate insurance policies that meet the Tollway's insurance requirements. The Tollway's standard insurance requirements are set forth in the Consultant Agreement boiler plates (See Tollway website @ [www.illinoistollway.com](http://www.illinoistollway.com) under Doing Business>Construction and Engineering: Consultant Resources under Consultant Forms). Each Joint Venture participant will procure and maintain policies that meet the required Prime's level of coverage and shall indemnify the Joint Venture against claims arising from their performance under the Joint Venture, as well as agreeing to be joint and severally liable upon 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 prior to issuance of a Notice to Proceed.

Joint Venture Statement of Interest (SOI) submittal requirement overview:

- Designate a single point of contact who shall serve as the Joint Venture's primary contact with the Tollway.
- Indicate the firm responsible for each prequalification category.
- Each Joint Venture participant shall submit outstanding work obligations, certification and disclosure forms.
- Identify the firm responsible for invoicing.
- For Exhibit A, plus other required documents specified in the PSB, combine the information for all participating Joint Venture firms.
- Submit the Joint Venture Agreement within ten (10) days of contract negotiation and prior to Board award.



A firm planning to submit a Statement of Interest as a Joint Venture is required to contact the Tollway for a Joint Venture SOI Firm Name Code. Contact Terri Smith via e-mail at [terri.smith@getipass.com](mailto:terri.smith@getipass.com). The Joint Venture SOI Firm Name Code as provided by the Tollway is required to identify and process the submittal as a Joint Venture proposal.

Only the managing partner is required to fill out a SOITEAM.xls spreadsheet on behalf of the Joint Venture. It is imperative that the other Joint Venture participants do NOT submit a SOITEAM.xls spreadsheet for which they are not the managing partner. The managing partner is to clearly identify the Joint Venture participants and subconsultants doing work for or in conjunction with the Joint Venture within the Joint Venture team SOITEAM.xls spreadsheet submittal.

Examples of a Joint Venture (JV) submittal:

Companies forming JV:

Company A  
Company B  
Company C

JV Firm Name Code as provided by the Tollway:

ABC\_JV

JV participants naming parameters:

ABC\_JV (Company A) "Managing Partner"  
ABC\_JV (Company B)  
ABC\_JV (Company C)

Subcontractors to the JV Managing Partner:

J. Smith Consulting (Company B)  
F.J. Engineering (Company C)

Subcontractors to the JV participants:

G. Engineering (Company A)  
Materials Inc. (Company A)  
Surveying Services (Company B)  
Jersey Consulting (Company B)  
KL Services (Company C)  
L MN Engineering (Company C)

Below is a sample of how the JV participants and sub contractors are to be entered and submitted within the SOITEAM.xls spreadsheet.

		<b>Primary Contact Information</b>	
<b>Prime Consultant Firm Name</b>	<b>FEIN Number</b>	<b>Name</b>	<b>Phone Number</b>
ABC_JV (Company A)	12#####	Brian Barnes	312-123-4567
<b>For each Sub-Consultant enter Prime Consultant Firm Name</b>	<b>Sub-Consultant Firm Name</b>	<b>FEIN Number</b>	<b>Sub-Consultant Contact Person</b>
ABC_JV (Company A)	ABC_JV (Company B)	2#####1	Ida Ingells
ABC_JV (Company A)	ABC_JV (Company C)	2#####1	Jerry James
ABC_JV (Company A)	G. Engineering (Company A)	34#####	Allan Adams
ABC_JV (Company A)	Materials Inc. (Company A)	3#####4	Greg Gardener
ABC_JV (Company A)	Surveying Services (Company B)	4#####3	Heidi Hey
ABC_JV (Company A)	Jersey Consulting (Company B)	56#####	Belinda Barnes
ABC_JV (Company A)	KL Services (Company C)	5#####6	Kenny Klinger
ABC_JV (Company A)	L MN Engineering (Company C)	6#####5	Lewis Light

When entering prime consultant or subconsultant information in the SOITEAM spreadsheet please follow the below instructions:

- Under the “Prime Consultant Firm Name” enter the JV Code name as provided by the Tollway followed by the actual firm name of the managing partner in parenthesis.
- Subconsultants (JV participants) to the Joint Venture are to be listed under “Subconsultant Firm Name” by identifying the JV Code Name followed by the actual firm name in parenthesis.
- Subconsultants to a JV participant are to be listed after the JV participant followed by the participating partner’s name in parenthesis.

**Note:** When entering data into the SOITEAM.xls spreadsheet the following must be followed:

- Remove / delete those spreadsheet tabs for those items which you are not submitting on as the named JV.
- Submit one (1) SOITEAM.xls spreadsheet per Joint Venture entity i.e. if you enter into more than one Joint Venture (different participants) you will need to submit a separate SOITEAM.xls spreadsheet for each. **Note:** not for each item but for each separate Joint Venture entity.
- When saving the SOITEAM.xls spreadsheet for submittal to the Tollway place the cursor in cell B3.
- Do not change formatting.
- Do not change tab colors.
- Do NOT cut and paste information.
- When entering Yes or No responses, responses are to be Yes or No not Y or N
- Ensure you enter the SOI information under the tab / item # you submitted your SOI for. Example: Don’t enter information into the tab for item 1 / for item 8.
- When submitting the PSB or submitting information to the Tollway please ensure you utilize the correct Joint Venture Code name as provided by the Tollway. Only the managing partner should be submitting PSB e-mails.
- Outstanding work obligations, certification and disclosure forms need to be submitted by the submitting firm on behalf of the each of the Joint venture participants.

# 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 “Key” Project Personnel only (attach DBE Certifications)
4. Exhibit B: Location/Design - Environmental Questionnaire (if required.)
5. Exhibit C: Current Obligations.
6. Exhibit D: Availability of Key Project Personnel (submit as a .pdf document – include as an attachment to the SOI)
7. Certification Disclosure Forms (Version 13.5)
  - 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 must be completed and submitted by the Prime with the offer. Once the Prime is notified of selection, any sub-consultant whose contracts with State agencies, in the aggregate, annually total more than \$50,000 is required to complete and submit the Certification/Disclosure forms in Adobe Acrobat® .pdf file format to the Prime. The Prime will in turn submit the Certification/Disclosures 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.

**ALL FORMS ARE AVAILABLE IN THIS PSB 13-3 AND ON THE TOLLWAY’S WEBSITE:**  
[www.illinoistollway.com](http://www.illinoistollway.com) (Doing Business)

# **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. The SOI must be submitted in adobe.pdf format and labeled as described in the e-mail instructions. Use the SOI FIRM NAME CODE provided by the Tollway (see the SOI Firm Name List on the Tollway website) or contact the Tollway for an assigned SOI FIRM NAME CODE if not on the list or submitting as a Joint Venture.
- The Joint Venture submitting firm, must include outstanding work obligations, certification and disclosure forms on behalf of each of the participating Joint Venture firms.
- Include DBE commitment and percentage breakdowns in both the SOI.pdf via Exhibit A 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 your SOI.
- SOITEAM Spreadsheets should identify the Prime, subconsultant(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.
- Exhibit A: Proposed “key” project personnel 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 current work obligations in dollars.
- Exhibit D: Availability of Key Project Personnel (must include **all** staff – both Prime and s). Submit as a .pdf document included within the SOI. Identify Key personnel as identified in the item detail only.
- Certification/Disclosure Forms (version 13.5) for the 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 be registered with the Illinois Board of Elections prior to the submittal of the offer (Statement of Interest). A copy of the registration certificate is requested with the 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.
- 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 August 30, 2013 and October 18, 2013 no later than 4:30:00 P.M. CST. Sending the SOI just before 4:30 P.M. does not guarantee that it will be received by 4:30:00 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 subconsultant 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. Terri Smith  
Engineering Project Analyst  
Engineering Department  
Illinois State Tollway  
2700 Ogden Avenue  
Downers Grove, IL 60515

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

# SIGNATURE CERTIFICATION FOR ELECTRONIC SUBMITTALS

I certify that my electronically scanned-in signature appearing in future electronic Statements of Interest and associated documents submitted by our firm is authorized to be affixed by the person doing so and will be binding on the firm.

\_\_\_\_\_ (Firm)                      \_\_\_\_\_ (Signature)                      \_\_\_\_\_ (Title)

STATE OF \_\_\_\_\_

COUNTY OF \_\_\_\_\_ I, \_\_\_\_\_

a Notary Public in and for the County and State aforesaid, DO HEREBY CERTIFY that

(Print Name) \_\_\_\_\_

known to me to be the same person whose name is subscribed to the foregoing instrument, appeared before me this day in person and acknowledged that (he/she) signed, sealed and delivered the said instrument as a free and voluntary act, for the uses and purposes therein set forth.

GIVEN under my hand and Notary Seal this \_\_\_\_\_ day of \_\_\_\_\_ A.D. \_\_\_\_\_.

\_\_\_\_\_  
NOTARY PUBLIC



# CERTIFICATION BY PRINCIPAL OF SUBMITTING FIRM

I certify that I am the \_\_\_\_\_(enter title) of the firm \_\_\_\_\_ (enter firm name) 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 utilizing the identified Key and Support Personnel as submitted 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 use good faith efforts to meet the D/M/WBE goal committed to for this Item.

Our Team will implement the Tollway's Quality Program.

Our firm agrees to provide the State Purchasing Officer (SPO), a copy of any subcontract as identified with the offer within fifteen (15) days after execution of the contract if the request is made.

(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 Project Personnel, (Key Project Personnel are defined as those specific positions identified in the PSB item description), including the staff from the Sub Consultants. The personnel named in Exhibit A must also be listed on Exhibit D: Availability of Key Project 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 Subconsultant 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 Subconsultant list firm name also.

**Attach resumes for Key Project 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:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

### Plan to Achieve Diversity Goal

Subconsultant(s) Firm Name	DBE	WBE	MBE	Ethnicity	Gender	Work Category	%	Mentor Protégé	Joint Venture
Click here to enter text.	Choose an item	Choose an item	Choose an item	Choose an item	Choose an item.	Click here to enter text.	0.00%	Choose an item.	Choose an item.
Click here to enter text.	Choose an item	Choose an item.	Choose an item.	Choose an item.	Choose an item.	Click here to enter text.	0.00%	Choose an item.	Choose an item.
Click here to enter text.	Choose an item	Choose an item.	Choose an item.	Choose an item.	Choose an item.	Click here to enter text.	0.00%	Choose an item.	Choose an item.
Click here to enter text.	Choose one	Choose an item.	Choose an item.	Choose an item.	Choose an item.	Click here to enter text.	0.00%	Choose an item.	Choose an item.
Click here to enter text.	Choose an item.	Choose an item.	Choose an item.	Choose an item.	Choose an item.	Click here to enter text.	0.00%	Choose an item.	Choose an item.
Click here to enter text.	Choose an item.	Choose an item.	Choose an item.	Choose an item.	Choose an item.	Click here to enter text.	0.00%	Choose an item.	Choose an item.
Click here to enter text.	Choose an item.	Choose an item.	Choose an item.	Choose an item.	Choose an item.	Click here to enter text.	0.00%	Choose an item.	Choose an item.

**Instructions: Fields within the table are drop-downs that allow you to choose from available selections.**

Enter name of each subconsultant as listed in the Statement of Interest; indicate whether subconsultant is a currently certified DBE, MBE and/or WBE (attach a copy of the current letter of certification from an acceptable agency); indicate ethnicity and gender of each listed subconsultant's PRIMARY OWNER; indicate proposed work category(ies) for each subconsultant. Also indicate whether a mentor/protégé (M/P) is proposed for any of the listed sub-consultants; indicate whether any listed subconsultant is a partner in any proposing Joint Venture (JV).

**Disclaimer:** Should the proposer, after contract negotiation, wish to modify the 'Plan to Achieve Diversity Goal', the awarded consultant is requested to submit to the General Manager of Diversity a detailed explanation of the work category changes that were not known at the time of SOI submittal.



## Exhibit B

### Location/Design Studies – Environmental Questionnaire

PSB No./Item No. **13-3** / \_\_\_\_\_

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

---

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#### 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.)

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#### 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 s (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 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 Subconsultant, complete the "**Your Firm as a Subconsultant**" 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 Subconsultant 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 Subconsultants 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 Subconsultant 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</b> (enter here & on table below)							

**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 Subconsultant						
Total For Non-ISTHA						
<b>Total</b>						

Exhibit C – Page 2 of 3





# NOTICE

## TAXPAYER IDENTIFICATION PAGE CONSULTANT DISCLOSURE/CERTIFICATION

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.

## **PRIME CONSULTANT STANDARD CERTIFICATION / DISCLOSURE FORM GUIDELINES**

New Certification / Disclosure forms (v.13.5) have been provided by the State in accordance with amendments to sections of the Illinois Procurement Code (30/ILCS/500) per Public Act 97-0895 (SB 2958). These forms will be in use beginning June 7, 2013. The Prime Consultant must complete and submit the Certification / Disclosure forms **with the bid / offer** in order to be considered responsive. Bids / offers that **do not** include completed forms may be **deemed non-responsive**.

In general, insert the appropriate information in the forms fields provided.

### **General Instructions for Prime Consultants for pages 1-19 of 27:**

- Standard Business Terms and Conditions (page 1 of 27): The Prime is to complete the top two lines of the first page with relevant contract information.
- Standard Business Terms and Conditions (page 7 of 27): Item 27.3 VENDOR SUPPLEMENTAL PROVISIONS – No action required – only if supplemental provisions are being recommended.
- Disclosure of Business Operations with Iran (page 8 of 27): The Prime is to complete the form. **(Failure to complete and submit this disclosure will result in the bid / offer being deemed as non-responsive.)**
- Attachment AA – Evidence of Authorization to Do or Transact Business in Illinois (page 9 of 27): The Prime shall submit a copy of the Business registration (the only exception to this requirement is if the Prime checks A, C or D under Item 32 on pages 16-17 of 27).
- Attachment BB – Illinois Department of Human Rights Public Contract Number (page 10 of 27): The Prime shall complete this page.
- Attachment CC – Solicitation of Contract Terms and Conditions Exceptions (page 11 of 27): The Prime does NOT need to complete this form if contract exceptions are not being made. If an exception is being noted, the Prime will fill in the exception(s) and provide any new provision(s). The sentence at the bottom of the page should be completed by typing in the Illinois Tollway first, followed by your firm name. Under the Agreed columns – the first column is completed with your firm name information; the second column will be completed by the Tollway upon acceptance.
- Attachment DD – State Board of Elections Certificate (page 12 of 27): The Prime must be registered with the Illinois State Board of Elections at the time of bid/offer submittal and provide evidence of registration.
- Attachment EE – Standard Certifications (pages 13-17 of 27): Review and check off the appropriate box in Item 30 and Item 32 – a signature certification is required on page 17 of 27.
- Taxpayer Identification Number (page 18 of 27): the Prime shall complete this page.
- Subcontractor Information/Delinquent Debt Review (page 19 of 27): the Prime will continue to identify subcontractor(s) to the extent known at the time of the offer by completing and submitting the

“Subcontractor Information/Delinquent Debt Review”. An attachment listing the known subcontractors is also acceptable.

## **FINANCIAL DISCLOSURES AND CONFLICTS OF INTEREST – Instructions for pages 20-27 of 27:**

**Note:** The Prime or Subcontractor that is completing the form will be referred to as the disclosing entity or disclosing vendor.

- **First Page (20 of 27):** This disclosure form must be completed and submitted for the Prime at \$25,000. and for each Subcontractor whose annual contract value exceeds \$50,000. The disclosing entity shall check the appropriate box under "This disclosure is submitted for:" and provide the information in the table at the bottom of Page 20 of 27.
  - **Project Name:** Enter the Tollway Project Name.
  - **Illinois Procurement Bulletin Number:** Enter the Illinois Procurement Bulletin Number.
  - **Contract Number:** Enter the Tollway Contract Number (example: RR-13-4444).
  - **Vendor Name:** Enter the Prime's name. This will always be the name of the vendor entering into the contract with the Tollway.
  - **Doing Business As (DBA):** Completed if the Prime is conducting business under a different name, otherwise, left blank.
  - **Disclosing Entity:** Enter the name of the company that is completing the form.
  - **Disclosing Entity's Parent Entity (If the disclosing entity has a Parent Entity relationship):** List the name of the Parent Entity and in parenthesis indicate "parent of disclosing entity name". Example: XYZ Company (parent of ABC Company).
  - **Subcontractor:** Completed when the disclosing entity is a Subcontractor, otherwise, left blank.
  - **Instrument of Ownership or Beneficial Interest:** Consider the following options:
    - Corporation (C-Corporation, S-Corporation, Professional Corporation, Service Corporation)
    - Limited Liability Company Membership Agreement (Series LLC, Low Profit Limited Liability Company)
    - Partnership Agreement (General Partnership, Limited Partnership, Limited Liability Partnership, Limited Liability Limited Partnership)
    - Sole Proprietorship
    - Not-for-Profit Corporation
    - Other
    - Trust Agreement (Beneficiary)
- **STEP 1 – SUPPORTING DOCUMENTATION SUBMITTAL (Page 21 of 27):** The answers must correspond with the type of ownership disclosed previously, as well as with the vendor’s Taxpayer Identification Number information.
- **STEP 2 – DISCLOSURE OF FINANCIAL INTEREST OR BOARD OF DIRECTORS (Page 22 of 27):**

- Option A:
  - **Ownership Share - Table X** - Vendors are to provide percentage of ownership when it exceeds 5%. If ownership percentage is 5% or less but the value exceeds \$106,447.20 then the \$ Value must be provided. If the percentage of ownership reported does not total 100%, please provide a written statement explaining the remaining percentage of ownership. If a dollar value is entered – it must be exact, not estimated or rounded. Firms reporting numerous ownership shares may submit a spreadsheet attachment in the same format as Table-X.
  - Any individuals listed under Table X whose ownership share exceeds 5% must also be listed under Table Y.
  - **Distributive Income – Table Y** - If you selected Option 1.A., 2.A., 3.A., or 4.A. in Step 1, be aware that distributive income is defined as “any type of distribution of profits”. This includes reinvestment of profits into the company, as well as any bonus or other benefits (above annual salary) distributed that were funded, bought or paid for with profit earnings. Typically percentage of distributive income (profits) equals percentage of ownership. Firms reporting numerous ownership shares may submit a spreadsheet attachment in the same format as Table-Y.
  - If no owner qualifies to be listed on either Table X or Table Y, an explanation that affect is to be included with the form (no single owner with more than 5% ownership or distributive income or no single owner with an ownership value or distributive income dollar amount greater than \$106,447.20.)
  - At the end of Step 2, Option A, be sure to certify that Ownership and Distributive Information was provided for all individuals or entities by marking the Yes box for the last two questions of Option A (page 4 of 8).
- Option B (Page 23 of 27):
  - This section is to be completed for Not-for-Profits as chosen in Step 1, Option 5.
- STEP 3 – DISCLOSURE OF LOBBYIST OR AGENT (Page 23 of 27): This section must be completed. If the “Yes” box is chosen, the information in the table shall be provided along with information on the related fee structure per the last statement of the section.
- STEP 4 – PROHIBITED CONFLICTS OF INTEREST (Page 24 of 27):
  - This set of questions must be completed for each person identified in Step 2 Table-X. If the answer is “No” to questions 1 through 4 in Step 4, questions 5 & 6 in Step 4 should not be answered and are to be left blank.
  - You may list more than one name in response to “Please provide the name of the person for which responses are provided” as long as all the answers are the same. Firms reporting numerous ownership shares may submit an attachment listing the names and referencing Step 4.
- STEP 5 – POTENTIAL CONFLICTS OF INTEREST RELATING TO PERSONAL RELATIONSHIPS (Pages 24-25 of 27):
  - This set of questions must be completed for each person identified in Step 2 Table-X and for sole proprietors identified in Step 1, Option 6.



- You may list more than one name in response to “Please provide the name of the person for which responses are provided” as long as all the answers are the same. Firms reporting numerous ownership shares may submit an attachment listing the names and referencing Step 5.
- STEP 6 – EXPLANATION OF AFFIRMATIVE RESPONSES (Page 25 of 27): If you answered “Yes” in Step 3, Step 4, or Step 5, a detailed explanation including, but not limited to, the name, salary, State agency or university, and position title of each individual for which Yes was answered shall be provided.
- STEP 7 – POTENTIAL CONFLICTS OF INTEREST RELATING TO DEBARMENT & LEGAL PROCEEDINGS (Page 26 of 27):
  - These questions must be completed for each person and entity identified in Step 2 Table-X, **and** for the disclosing entity that is filling out the forms (entity or sole proprietor disclosed in Step 1).
  - You may list more than one name in response to “Please provide the name of the person or entity for which responses are provided” as long as all the answers are the same. Firms reporting numerous ownership shares may submit an attachment listing the names and referencing Step 7. Be sure to include the disclosing entity in the list.
- STEP 8 – DISCLOSURE OF CURRENT AND PENDING CONTRACTS (Pages 26-27 of 27):
  - The Yes box should be checked.
  - Contracts, pending contracts, bids, proposals, subcontracts or other ongoing procurement relationships with units of State of Illinois government include contracts and subcontracts—even those that have not yet been awarded. Provide all contract information as shown in the table in Step 8 in the same format. (State of Illinois Agencies only—Not municipalities or local governments)
  - List all Tollway contracts including the one for this set of disclosures.
  - Value to be entered is the “total contract value” – not the remaining balance.
  - An attachment may be submitted as long as the format provides the requested information.
  - In response to the question “Please explain the procurement relationship.” answer Vendor if your firm currently is working on an active contract with the Tollway; answer Bidder or Offeror if your firm is seeking work.
- STEP 9 – SIGN THE DISCLOSURE (Page 27 of 27):
  - Enter the appropriate text for “Name of Disclosing Entity.”
  - Sign the form and provide the date.
  - Enter the appropriate text for “Printed Name”, “Title”, “Phone Number” and " Address".



**STATE OF ILLINOIS**  
**STANDARD BUSINESS TERMS AND CONDITIONS**

**ILLINOIS TOLLWAY CONTRACT NO.:** \_\_\_\_\_

**CONTRACTOR (CONSULTANT) NAME:** \_\_\_\_\_

**1. PAYMENT TERMS AND CONDITIONS:**

- 1.1 Late Payment: Payments, including late payment charges, will be paid in accordance with the State Prompt Payment Act and rules when applicable. 30 ILCS 540; 74 Ill. Adm. Code 900. This shall be Vendor's sole remedy for late payments by the State. Payment terms contained on Vendor's invoices shall have no force and effect.
- 1.2 Minority Contractor Initiative: Any Vendor awarded a contract under Section 20-10, 20-15, 20-25 or 20-30 of the Illinois Procurement Code (30 ILCS 500) of \$1,000 or more is required to pay a fee of \$15. The Comptroller shall deduct the fee from the first check issued to the Vendor under the contract and deposit the fee in the Comptroller's Administrative Fund. 15 ILCS 405/23.9.
- 1.3 Expenses: The State will not pay for supplies provided or services rendered, including related expenses, incurred prior to the execution of this contract by the Parties even if the effective date of the contract is prior to execution.
- 1.4 Prevailing Wage: As a condition of receiving payment Vendor must (i) be in compliance with the contract, (ii) pay its employees prevailing wages when required by law, (iii) pay its suppliers and subcontractors according to the terms of their respective contracts, and (iv) provide lien waivers to the State upon request. Examples of prevailing wage categories include public works, printing, janitorial, window washing, building and grounds services, site technician services, natural resource services, security guard and food services. The prevailing wages are revised by the Department of Labor and are available on the Department's official website, which shall be deemed proper notification of any rate changes under this subsection. Vendor is responsible for contacting the Illinois Department of Labor to ensure understanding of prevailing wage requirements at 217-782-6206 or (<http://www.state.il.us/agency/idol/index.htm>).
- 1.5 Federal Funding: This contract may be partially or totally funded with Federal funds. If federal funds are expected to be used, then the percentage of the good/service paid using Federal funds and the total Federal funds expected to be used will be provided in the award notice.
- 1.6 Invoicing: By submitting an invoice, Vendor certifies that the supplies or services provided meet all requirements of the contract, and the amount billed and expenses incurred are as allowed in the contract. Invoices for supplies purchased, services performed and expenses incurred through June 30 of any year must be submitted to the State no later than July 31 of that year; otherwise Vendor may have

to seek payment through the Illinois Court of Claims. 30 ILCS 105/25. All invoices are subject to statutory offset. 30 ILCS 210.

Vendor(s) are required to attest to the standards set forth in this contract and must include the following statement on every one of their invoices delivered to the Tollway pursuant to statute 605 ILCS 10/16.1.

**This statement must be imprinted on the invoice or an attachment attesting to the following statement:**

Invoice# \_\_\_\_\_ Invoice Date \_\_\_\_\_

"The Seller, \_\_\_\_\_ (insert vendor name) hereby certifies that the goods, merchandise and wares shipped in accordance with the attached delivery invoice have met all the required standards set forth in the purchasing contract".

\_\_\_\_\_  
Authorized Representative

If the Vendor does not comply with attesting to the statute 605 ILCS 10/16.1 this will cause delay in payment.

All invoices must include original order date to ensure accurate and timely payment processing.

1.6.1 Vendor shall not bill for any taxes unless accompanied by proof that the State is subject to the tax. If necessary, Vendor may request the applicable Agency/University state tax exemption number and federal tax exemption information.

1.6.2 Vendor shall invoice at the completion of the contract unless invoicing is tied in the contract to milestones, deliverables, or other invoicing requirements agreed to in the contract.

**2. ASSIGNMENT:** This contract may not be assigned, transferred in whole or in part by Vendor without the prior written consent of the State.

**3. SUBCONTRACTING:** For purposes of this section, subcontractors are those specifically hired to perform all or part of the work covered by the contract. Vendor must receive prior written approval before use of any subcontractors in the performance of this contract. Vendor shall describe, in an attachment if not already provided, the names and addresses of all authorized subcontractors to be utilized by Vendor in the performance of this contract, together with a description of the work to be performed by the subcontractor and the anticipated amount of money that each subcontractor is expected to receive pursuant to this contract. If required, Vendor shall provide a copy of any subcontracts within 15 days after execution of this contract. Vendor shall notify the State of any additional or substitute subcontractors hired during the term of this contract. If required, Vendor shall provide to the State a copy of all such subcontracts within 15 days after execution of the subcontract. All subcontracts must include the same certifications that Vendor must make as a condition of this contract. Vendor shall include in each subcontract the subcontractor certifications as shown on the Standard Subcontractor Certification form available from the State. If at any time during the term of the Contract, Vendor adds or changes any subcontractors, Vendor must promptly notify, by written amendment to the Contract, the State Purchasing Officer or the Chief Procurement Officer of the names and addresses and the expected amount of money that each new or replaced subcontractor will receive pursuant to the Contract.

**4. AUDIT/RETENTION OF RECORDS:** Vendor and its subcontractors shall maintain books and records relating to the performance of the contract or subcontract and necessary to support amounts charged to the State

pursuant the contract or subcontract. Books and records, including information stored in databases or other computer systems, shall be maintained by the Vendor for a period of three years from the later of the date of final payment under the contract or completion of the contract, and by the subcontractor for a period of three years from the later of final payment under the term or completion of the subcontract. If federal funds are used to pay contract costs, the Vendor and its subcontractors must retain its records for five years. Books and records required to be maintained under this section shall be available for review or audit by representatives of: the procuring Agency/University, the Auditor General, the Executive Inspector General, the Chief Procurement Officer, State of Illinois internal auditors or other governmental entities with monitoring authority, upon reasonable notice and during normal business hours. Vendor and its subcontractors shall cooperate fully with any such audit and with any investigation conducted by any of these entities. Failure to maintain books and records required by this section shall establish a presumption in favor of the State for the recovery of any funds paid by the State under the contract for which adequate books and records are not available to support the purported disbursement. The Vendor or subcontractors shall not impose a charge for audit or examination of the Vendor's books and records. 30 ILCS 500/20-65.

5. **TIME IS OF THE ESSENCE:** Time is of the essence with respect to Vendor's performance of this contract. Vendor shall continue to perform its obligations while any dispute concerning the contract is being resolved unless otherwise directed by the State.
6. **NO WAIVER OF RIGHTS:** Except as specifically waived in writing, failure by a Party to exercise or enforce a right does not waive that Party's right to exercise or enforce that or other rights in the future.
7. **FORCE MAJEURE:** Failure by either Party to perform its duties and obligations will be excused by unforeseeable circumstances beyond its reasonable control and not due to its negligence, including acts of nature, acts of terrorism, riots, labor disputes, fire, flood, explosion, and governmental prohibition. The non-declaring Party may cancel the contract without penalty if performance does not resume within 30 days of the declaration.
8. **CONFIDENTIAL INFORMATION:** Each Party, including its agents and subcontractors, to this contract may have or gain access to confidential data or information owned or maintained by the other Party in the course of carrying out its responsibilities under this contract. Vendor shall presume all information received from the State or to which it gains access pursuant to this contract is confidential. Vendor information, unless clearly marked as confidential and exempt from disclosure under the Illinois Freedom of Information Act, shall be considered public. No confidential data collected, maintained, or used in the course of performance of the contract shall be disseminated except as authorized by law and with the written consent of the disclosing Party, either during the period of the contract or thereafter. The receiving Party must return any and all data collected, maintained, created or used in the course of the performance of the contract, in whatever form it is maintained, promptly at the end of the contract, or earlier at the request of the disclosing Party, or notify the disclosing Party in writing of its destruction. The foregoing obligations shall not apply to confidential data or information lawfully in the receiving Party's possession prior to its acquisition from the disclosing Party; received in good faith from a third Party not subject to any confidentiality obligation to the disclosing Party; now is or later becomes publicly known through no breach of confidentiality obligation by the receiving Party; or is independently developed by the receiving Party without the use or benefit of the disclosing Party's confidential information.
9. **USE AND OWNERSHIP:** All work performed or supplies created by Vendor under this contract, whether written documents or data, goods or deliverables of any kind, shall be deemed work for hire under copyright law and all intellectual property and other laws, and the State of Illinois is granted sole and exclusive ownership to all such work, unless otherwise agreed in writing. Vendor hereby assigns to the State all right, title, and interest in and

to such work including any related intellectual property rights, and/or waives any and all claims that Vendor may have to such work including any so-called "moral rights" in connection with the work. Vendor acknowledges the State may use the work product for any purpose. Confidential data or information contained in such work shall be subject to confidentiality provisions of this contract.

- 10. INDEMNIFICATION AND LIABILITY:** The Vendor shall indemnify and hold harmless the Tollway and State of Illinois, their agencies, officers, employees, agents and volunteers from any and all costs, demands, expenses, losses, claims, damages, liabilities, settlements and judgments, including in-house and contracted attorneys' fees and expenses, arising out of: (a) any breach or violation by Vendor of any of its certifications, representations, warranties, covenants or agreements; (b) any actual or alleged death or injury to any person, damage to any property or any other damage or loss claimed to result in whole or in part from Vendor's negligent performance; or (c) any negligent act, activity or omission of Vendor or any of its employees, representatives, subcontractors or agents. Neither Party shall be liable for incidental, special, consequential or punitive damages.
- 11. INSURANCE:** Vendor shall, at all time during the term and any renewals maintain and provide a Certificate of Insurance naming the State as additional insured for all required bonds and insurance. Certificates may not be modified or canceled until at least 30 days notice has been provided to the State. Vendor shall provide: (a) General Commercial Liability occurrence form in amount of \$1,000,000 per occurrence (Combined Single Limit Bodily Injury and Property Damage) and \$2,000,000 Annual Aggregate; (b) Auto Liability, including Hired Auto and Non-owned Auto, (Combined Single Limit Bodily Injury and Property Damage) in amount of \$1,000,000 per occurrence; and (c) Worker's Compensation Insurance in amount required by law. Insurance shall not limit Vendor's obligation to indemnify, defend, or settle any claims.
- 12. INDEPENDENT CONTRACTOR:** Vendor shall act as an independent contractor and not an agent or employee of, or joint venture with the State. All payments by the State shall be made on that basis.
- 13. SOLICITATION AND EMPLOYMENT:** Vendor shall not employ any person employed by the State during the term of this contract to perform any work under this contract. Vendor shall give notice immediately to the Agency's director if Vendor solicits or intends to solicit State employees to perform any work under this contract.
- 14. COMPLIANCE WITH THE LAW:** The Vendor, its employees, agents, and subcontractors shall comply with all applicable federal, state, and local laws, rules, ordinances, regulations, orders, federal circulars and all license and permit requirements in the performance of this contract. Vendor shall be in compliance with applicable tax requirements and shall be current in payment of such taxes. Vendor shall obtain at its own expense, all licenses and permissions necessary for the performance of this contract.
- 15. BACKGROUND CHECK:** Whenever the State deems it reasonably necessary for security reasons, the State may conduct, at its expense, criminal and driver history background checks of Vendor's and subcontractors officers, employees or agents. Vendor or subcontractor shall reassign immediately any such individual who, in the opinion of the State, does not pass the background check.
- 16. APPLICABLE LAW:** This contract shall be construed in accordance with and is subject to the laws and rules of the State of Illinois. The Department of Human Rights' Equal Opportunity requirements (44 Ill. Adm. Code 750) are incorporated by reference. Any claim against the State arising out of this contract must be filed exclusively with the Illinois Court of Claims. 705 ILCS 505/1. The State shall not enter into binding arbitration to resolve any

contract dispute. The State of Illinois does not waive sovereign immunity by entering into this contract. The official text of cited statutes is incorporated by reference. An unofficial version can be viewed at ([www.ilga.gov/legislation/ilcs/ilcs.asp](http://www.ilga.gov/legislation/ilcs/ilcs.asp)).

17. **ANTI-TRUST ASSIGNMENT:** If Vendor does not pursue any claim or cause of action it has arising under federal or state antitrust laws relating to the subject matter of the contract, then upon request of the Illinois Attorney General, Vendor shall assign to the State rights, title and interest in and to the claim or cause of action.
18. **CONTRACTUAL AUTHORITY:** The Agency that signs for the State of Illinois shall be the only State entity responsible for performance and payment under the contract. When the Chief Procurement Officer or authorized designee signs in addition to an Agency, they do so as approving officer and shall have no liability to Vendor. When the Chief Procurement Officer or authorized designee, or State Purchasing Officer signs a master contract on behalf of State agencies, only the Agency that places an order with the Vendor shall have any liability to Vendor for that order.
19. **NOTICES:** Notices and other communications provided for herein shall be given in writing by registered or certified mail, return receipt requested, by receipted hand delivery, by courier (UPS, Federal Express or other similar and reliable carrier), by e-mail, or by fax showing the date and time of successful receipt. Notices shall be sent to the individuals who signed the contract using the contact information following the signatures. Each such notice shall be deemed to have been provided at the time it is actually received. By giving notice, either Party may change the contact information.
20. **MODIFICATIONS AND SURVIVAL:** Amendments, modifications and waivers must be in writing and signed by authorized representatives of the Parties. Any provision of this contract officially declared void, unenforceable, or against public policy, shall be ignored and the remaining provisions shall be interpreted, as far as possible, to give effect to the Parties' intent. All provisions that by their nature would be expected to survive, shall survive termination. In the event of a conflict between the State's and the Vendor's terms, conditions and attachments, the State's terms, conditions and attachments shall prevail.
21. **PERFORMANCE RECORD / SUSPENSION:** Upon request of the State, Vendor shall meet to discuss performance or provide contract performance updates to help ensure proper performance of the contract. The State may consider Vendor's performance under this contract and compliance with law and rule to determine whether to continue the contract, suspend Vendor from doing future business with the State for a specified period of time, or to determine whether Vendor can be considered responsible on specific future contract opportunities.
22. **FREEDOM OF INFORMATION ACT:** This contract and all related public records maintained by, provided to or required to be provided to the State are subject to the Illinois Freedom of Information Act (FOIA) (50 ILCS 140) notwithstanding any provision to the contrary that may be found in this contract.
23. **SCHEDULE OF WORK:** Any work performed on State premises shall be done during the hours designated by the State and performed in a manner that does not interfere with the State and its personnel.
24. **WARRANTIES FOR SUPPLIES AND SERVICES:**

- 24.1 Vendor warrants that the supplies furnished under this contract will: (a) conform to the standards, specifications, drawing, samples or descriptions furnished by the State or furnished by the Vendor and agreed to by the State, including but not limited to all specifications attached as exhibits hereto; (b) be merchantable, of good quality and workmanship, and free from defects for a period of twelve months or longer if so specified in writing, and fit and sufficient for the intended use; (c) comply with all federal and state laws, regulations and ordinances pertaining to the manufacturing, packing, labeling, sale and delivery of the supplies; (d) be of good title and be free and clear of all liens and encumbrances and; (e) not infringe any patent, copyright or other intellectual property rights of any third party. Vendor agrees to reimburse the State for any losses, costs, damages or expenses, including without limitations, reasonable attorney's fees and expenses, arising from failure of the supplies to meet such warranties.
- 24.2 Vendor shall insure that all manufacturers' warranties are transferred to the State and shall provide a copy of the warranty. These warranties shall be in addition to all other warranties, express, implied or statutory, and shall survive the State's payment, acceptance, inspection or failure to inspect the supplies.
- 24.3 Vendor warrants that all services will be performed to meet the requirements of the contract in an efficient and effective manner by trained and competent personnel. Vendor shall monitor performances of each individual and shall reassign immediately any individual who is not performing in accordance with the contract, who is disruptive or not respectful of others in the workplace, or who in any way violates the contract or State policies.

**25. REPORTING, STATUS AND MONITORING SPECIFICATIONS:**

- 25.1 Vendor shall immediately notify the State of any event that may have a material impact on Vendor's ability to perform the contract.
- 25.2 By August 31 of each year, Vendor shall report to the Agency or University the number of qualified veterans and certain ex-offenders hired during Vendor's last completed fiscal year. Vendor may be entitled to employment tax credit for hiring individuals in those groups. 35 ILCS 5/216, 5/217.

- 26. EMPLOYMENT TAX CREDIT:** Vendors who hire qualified veterans and certain ex-offenders may be eligible for tax credits. 30 ILCS 500/45-67 and 45-70. Please contact the Illinois Department of Revenue (telephone #: 217-524-4772) for information about tax credits.

**27. SUPPLEMENTAL PROVISIONS**

**27.1 TOLLWAY SUPPLEMENTAL PROVISIONS**

**27.1.1 Agents and Employees:**

Vendor shall be responsible for the negligent acts and omissions of its agents, employees and **subcontractors in their performance of Vendor's duties under this Contract. Vendor represents that it**

**shall** utilize the services of individuals skilled in the profession for which they will be used in performing services or supplying goods hereunder. In the event that the Tollway determines that any individual performing services or supplying goods for Vendor hereunder is not providing such skilled services or delivery of goods, it shall promptly notify the Vendor and the Vendor shall replace that individual.

**27.1.2 Publicity:**

Vendor shall not, in any advertisement or any other type of solicitation for business, state, indicate or otherwise imply that it is under contract to the Tollway nor shall the Tollway's name be used in any such advertisement or solicitation without prior written approval except as required by law.

**27.1.3 Third Party Beneficiaries:**

There are no third party beneficiaries to this Contract. This Contract is intended only to benefit the Tollway/Buyer and the Vendor.

**27.1.4 Successors In Interest:**

All the terms, provisions, and conditions of the Contract shall be binding upon and inure to the benefit of the parties hereto and their respective successors, assigns and legal representatives.

**27.1.5 Venue:**

Any claim against the Tollway arising out of this contract must be filed exclusively with Circuit Court for the Eighteenth Judicial Circuit, DuPage County, Illinois for State claims and the U.S. District Court for the Northern District of Illinois for Federal claims.

27.1.5.1 Whenever "State" is used or referenced in this Contract, it shall be interpreted to mean "Tollway".

27.1.5.2 The State Prompt Payment Act (30 ILCS 40) does not apply to the Tollway.

27.1.5.3 The Tollway is not currently an appropriated agency.

**27.2 Report of a Change in Circumstances:** The Contractor agrees to report to the TOLLWAY as soon as practically possible, but no later than 21 days following any change in facts or circumstances that might impact the CONTRACTOR's ability to satisfy its legal or contractual responsibilities and obligations under this contract. Required reports include, but are not limited to changes in the CONTRACTOR's Certification/Disclosure Forms, the CONTRACTOR's IDOT pre-qualification, or any certification or licensing required for this project. Additionally, (CONTRACTOR/VENDOR) agrees to report to the Tollway within the above timeframe any arrests, indictments, convictions or other matters involving the CONTRACTOR, or any of its principals, that might occur while this contract is in effect. This reporting requirement does not apply to common offenses, including but not limited to minor traffic/vehicle offenses.

Further, the CONTRACTOR agrees to incorporate substantially similar reporting requirements into the terms of any and all subcontracts relating to work performed under this agreement. The (CONTRACTOR/VENDOR) agrees to forward or relay to the Tollway any reports received from subcontractors pursuant to this paragraph within 21 days.

Finally, the CONTRACTOR acknowledges and agrees that the failure of the CONTRACTOR to comply with this reporting requirement shall constitute a material breach of contract which may result in this contract being declared void.

**27.3 VENDOR SUPPLEMENTAL PROVISIONS**

Vendor Supplemental Provisions:



**STATE OF ILLINOIS**  
**DISCLOSURE OF BUSINESS OPERATIONS WITH IRAN**

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:

- 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
- 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.

- 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:

# STATE OF ILLINOIS

## EVIDENCE OF AUTHORIZATION TO DO OR TRANACT BUSINESS IN ILLINOIS


### ATTACHMENT AA

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A "Responsible" Vendor must exist as a legal entity and must be authorized to do business in Illinois at the time a bid or offer is submitted for a State contract. For information on registering to conduct business in Illinois, please contact the Illinois Secretary of State's Department of Business Services. ([http://cyberdriveillinois.com/departments/business\\_services/home.html](http://cyberdriveillinois.com/departments/business_services/home.html)). If you believe your company is not required to register to do business in Illinois, please include a detailed explanation of the legal basis for such conclusion. Failure to timely register or provide a legally sufficient justification for not registering may deem your bid non-responsive

### EXAMPLE: SECRETARY OF STATE CERTIFICATE OF GOOD STANDING

File Number 776-383-1




*To all to whom these Presents Shall Come, Greeting:*

*I, Jesse White, Secretary of State of the State of Illinois, do hereby certify that*

XYZ CONSULTING, INC. INCORPORATED IN GEORGIA AND LICENSED TO TRANACT BUSINESS IN THIS STATE ON JANUARY 20, 2011, APPEARS TO HAVE COMPLIED WITH ALL THE PROVISIONS OF THE BUSINESS CORPORATION ACT OF THIS STATE RELATING TO THE PAYMENT OF FRANCHISE TAXES AND AS OF THIS DATE IS A FOREIGN CORPORATION IN GOOD STANDING AND AUTHORIZED TO TRANACT BUSINESS IN THE STATE OF ILLINOIS.

*In Testimony Whereof, I hereto set my hand and cause to be affixed the Great Seal of the State of Illinois, this 7TH day of JUNE A.D. 2011*



*Jesse White*

STATE OF ILLINOIS  
OFFICE OF THE SECRETARY OF STATE  
100 SOUTH WASHINGTON STREET  
SPRINGFIELD, ILLINOIS 62701  
TEL: 217-243-3200  
WWW.CYBERDRIVEILLINOIS.COM

## STATE OF ILLINOIS

### ILLINOIS DEPARTMENT OF HUMAN RIGHTS PUBLIC CONTRACT NUMBER

#### ATTACHMENT BB

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1. If Vendor 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), it must have a current IDHR Public Contract Number or have proof of having submitted a completed application for one **prior** to the Offer opening date. 775 ILCS 5/2-101. If the Agency/University cannot confirm compliance, it will not be able to consider a Vendor's 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 fewer 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).

IDHR Public Contracts Number:

Expiration Date:

2. If a number has not yet been issued, provide the date a completed application for the number was submitted to IDHR:
3. Upon expiration and until their Contractor Identification Number is renewed, companies will not be eligible to be awarded contracts by the State of Illinois or other jurisdictions that require a current IDHR number as a condition of contract eligibility. 44 Ill. Adm. Code 750.210(a).
4. 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 900000-00-0.
5. If Vendor's organization holds an expired number, it must re-register with the Department of Human Rights.
6. Vendor may obtain an application form by:
  - 6.1. Telephone: Call the IDHR Public Contracts Unit at (312) 814-2431 between Monday and Friday, 8:30 AM - 5:00 PM, CST. (TDD (312) 263-1579).
  - 6.2. Internet: Download the form from the Internet at ([www.state.il.us/cms](http://www.state.il.us/cms)). In the Selling to Illinois area section.

Mail: Write to the Department of Human Rights, Public Contracts Unit, 100 West Randolph Street, Suite 10-100, Chicago, IL 60601.

**STATE OF ILLINOIS**

**SOLICITATION AND CONTRACT TERMS AND CONDITIONS EXCEPTIONS**

**ATTACHMENT CC**

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agrees with the terms and conditions set forth in the State of Illinois Invitation for Bid, including the standard terms and conditions, the Agency/University supplemental provisions, certifications, and disclosures, with the following exceptions:

	Excluding certifications required by statute to be made by the Vendor, both Parties agree that all of the duties and obligations that the Vendor owes to the Agency/University for the work performed shall be pursuant to the solicitation and resulting contract, and Vendor’s exceptions accepted by the State thereto as set forth below.
	<b>STANDARD TERMS AND CONDITIONS</b>
<b>Section/ Subsection #</b>	State the exception such as “add,” “replace,” and/or “delete.”
	<b>ADDITIONAL TERMS AND CONDITIONS</b>
<b>New Provision(s), # et. seq.</b>	<b>Section/Subsection New Number, Title of New Subsection:</b> State the new additional term or condition.

hereby agrees to the exceptions provided by \_\_\_\_\_ and to the Additional Terms and Conditions provided by \_\_\_\_\_

Agreed:	Agreed:
By:	By:
<b>Signed:</b>	<b>Signed:</b>
Position:	Position:
Date:	Date:

**STATE OF ILLINOIS  
STATE BOARD OF ELECTIONS CERTIFICATE**

**ATTACHMENT DD**

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Section 50-37 of the Illinois Procurement Code prohibits political contributions of certain vendors and bidders and offerors. Additionally, section 9-35 of the Illinois Election Code governs provisions relating to reporting and making contributions to state officeholders, declared candidates for State offices and covered political organizations that promote the candidacy of an officeholder or declared candidate for office. The State may declare any resultant contract void if these Acts are violated.

Generally, if a vendor, bidder, or offeror is an entity doing business for profit (i.e. sole proprietorship, partnership, corporation, limited liability company or partnership, or otherwise) and have contracts with State agencies that annually total more than \$50,000 or who has aggregate pending bids or proposals and current State contracts that total more than \$50,000, is prohibited from making political contributions.

**If required to register, please provide a copy of this certificate with the bid.**

**STATE BOARD OF ELECTIONS CERTIFICATE OF REGISTRATION EXAMPLE**



# STATE OF ILLINOIS

## STANDARD CERTIFICATIONS

### ATTACHMENT EE

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Vendor acknowledges and agrees that compliance with this subsection in its entirety 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 subsection in its entirety, and is under a continuing obligation to remain in compliance and report any non-compliance.

This subsection, in its entirety, applies to subcontractors used on this contract. Vendor shall include these Standard Certifications in any subcontract used in the performance of the contract.

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 United States. Civil Rights Act, Section 504 of the Federal Rehabilitation Act, the Americans with Disabilities Act, and applicable rules in performance of this contract.
3. Vendor, if an individual, sole proprietor, partner or an individual as member of a LLC, certifies he/she is not in default on an educational loan. 5 ILCS 385/3.
4. Vendor, if an individual, sole proprietor, partner or an individual as member of a LLC, certifies it he/she has not received (i) an early retirement incentive prior to 1993 under Section 14-108.3 or 16-133.3 of the Illinois Pension Code or (ii) an early retirement incentive on or after 2002 under Section 14-108.3 or 16-133.3 of the Illinois Pension Code. 30 ILCS 105/15a; 40 ILCS 5/14-108.3; 40 ILCS 5/16-133.

5. Vendor certifies that it is a legal entity authorized to do business in Illinois prior to submission of a bid, offer, or proposal. 30 ILCS 500/1.15.8, 20-43.
6. To the extent there was a current Vendor providing the services covered by this contract and the employees of that Vendor who provided 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 who perform substantially similar work to the work that will be performed pursuant to this contract. This does not apply to heating, air conditioning, plumbing and electrical service contracts. 30 ILCS 500/25-80.
7. Vendor certifies it has neither been convicted of bribing or attempting to bribe an officer or employee of the State of Illinois or any other State, nor 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 upon violating the prohibitions related to either submitting/writing specifications or providing assistance to an employee of the State of Illinois by reviewing, drafting, directing, or preparing any invitation for bids, a request for proposal, or request of information, or similar assistance (except as part of a public request for such information). 30 ILCS 500/50-10.5(e), amended by Pub. Act No. 97-0895 (August 3, 2012)
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 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 500/50-11, 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 and acknowledges that failure to comply may result in the contract being declared void. 30 ILCS 500/50-12.

- 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 neither paid any money or valuable thing to induce any person to refrain from bidding on a State contract, nor 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” provisions 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 that if it has hired a person required to register under the Lobbyist Registration Act to assist in obtaining any State contract, that none of the lobbyist’s costs, fees, compensation, reimbursements, or other remuneration were billed to the State. 30 ILCS 500\50-38.
- 18.** 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.
- 19.** 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/University grants an exception. 30 ILCS 565.
- 20.** Drug Free Workplace
  - 20.1.** If Vendor employs 25 or more employees and this contract is worth more than \$5,000, Vendor certifies it will provide a drug free workplace pursuant to the Drug Free Workplace Act.
  - 20.2.** If Vendor is an individual and this contract is worth more than \$5000, Vendor certifies it 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.
- 21.** 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 United States. Department of Commerce. 30 ILCS 582.



22. 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.
23. Vendor certifies it complies with the Illinois Department of Human Rights Act and rules applicable to public contracts, which include providing equal employment opportunity, refraining from unlawful discrimination, and having written sexual harassment policies. 775 ILCS 5/2-105.
24. 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.
25. Vendor 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.
26. 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.
27. Vendor certifies that any violation of the Lead Poisoning Prevention Act, as it applies to owners of residential buildings, has been mitigated. 410 ILCS 45.
28. 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.
29. Vendor certifies that information technology, including electronic information, software, systems and equipment, developed or provided under this contract 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.
30. 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.

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 with the State Board of Elections. As a registered business entity, Vendor acknowledges a continuing duty to update the registration as required by the Act.

- 31.** Vendor certifies that if it is awarded a contract through the use of the preference required by the Procurement of Domestic Products Act, then it shall provide products pursuant to the contract or a subcontract that are manufactured in the United States. 30 ILCS 517.
- 32.** A person (other than an individual acting as a sole proprietor) must be a duly constituted legal entity and authorized to do business in Illinois prior to submitting a bid or offer. 30 ILCS 500/20-43. If you do not meet these criteria, then your bid or offer will be disqualified.

Vendor must make one of the following four certifications by checking the appropriate box. If C or D is checked, then Vendor must attach to this form the requested documentation.

- A.  Vendor certifies it is an individual acting as a sole proprietor and is therefore not subject to the requirements of section 20-43 of the Procurement Code.
- B.  Vendor certifies that it is a legal entity, and was authorized to do business in Illinois as of the date for submitting this bid or offer. The State may require Vendor to provide evidence of compliance before award.
- C.  Vendor certifies it is a legal entity, and is a foreign corporation performing activities that do not constitute transacting business in Illinois as defined by Illinois Business Corporations Act (805 ILCS 5/13.75). A vendor claiming exemption under the Act must include a detailed explanation of the legal basis for the claim with its bid or offer and must provide additional detail upon request. If Vendor fails to provide the mandatory documentation with the bid or offer, or does not provide additional detail upon request within the timeframe specified in said request, then the State may deem the Vendor as being non-responsive or not responsible and may disqualify the Vendor.
- D.  Vendor certifies it is a legal entity, and is an entity otherwise recognized under Illinois law as eligible for a specific form of exemption similar to those found in the Illinois Business Corporation Act (805 ILCS 5/13.75). A vendor claiming exemption under a specific law must provide a detailed explanation of the legal basis for the claim with its bid or offer and must provide additional detail upon request. If Vendor fails to provide the mandatory documentation with the bid or offer, or does not provide additional detail upon request within the timeframe specified in said request, then the State may deem the Vendor as being non-responsive or not responsible and may disqualify the Vendor.

Name of Certifying Entity:

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

Printed Name:

Title:

Phone Number:

Address:

**STATE OF ILLINOIS**  
**TAXPAYER IDENTIFICATION NUMBER**

---

I certify that:

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

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

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<br>(select applicable tax 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 of Authorized Representative:** \_\_\_\_\_

Date:



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

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

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

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

DELINQUENT DEBT REVIEW

CONTRACTOR

Subcontractor/Consultant 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, addresses and type of work all Sub-Contractors/Consultants you will be using in the performance of this Contract, together with the anticipated dollar value each is expected to receive pursuant to this Contract. The State may request updated information at any time. For purposes of this section Subcontractors/Consultants are those specifically hired to perform all, or part, of the work of this contract or to provide the supplies requested by the State.

Upon request, our firm agrees to provide a copy of the subcontract, if required, within fifteen (15) days after execution of the contract if selected, or after execution of the subcontract, whichever is later, for those subcontracts with an annual value of more than \$50,000. All subcontracts over \$50,000 must include the same certifications that the Vendor must make as a condition of the contract. The vendor shall include in each subcontract the subcontractor certifications as shown on the Standard Subcontractor Certification form available from the State.

Delinquent Payment. The Contractor/Consultant 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 Contractor/Consultant further acknowledges that the contracting State agency may declare the contract void if this certification is false or if the Contractor/Consultant or any affiliate is determined to be delinquent in the payment of any debt to the State during the term of the contract.

Contractor/Consultant: \_\_\_\_\_

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

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

Include an attachment if more space is needed to provide the below information. The attachment must provide the requested information.

SubContractor(s)	Sub-Contractor FEIN	Address	General Type of Work	<u>Anticipated Amount to be Paid (to extent known)</u>

Print \_\_\_\_\_ Date \_\_\_\_\_

\_\_\_\_\_  
*Contractor/Consultant*

**STATE OF ILLINOIS**  
**FINANCIAL DISCLOSURES AND CONFLICTS OF INTEREST**

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The Financial Disclosures and Conflicts of Interest form (“form”) must be accurately completed and submitted by the vendor, parent entity(ies), and subcontractors. There are **nine** steps to this form and each must be completed as instructed in the step heading and within the step. A bid, offer, or proposal that does not include this form shall be considered non-responsive. The Agency/University will consider this form when evaluating the bid, offer, or proposal or awarding the contract.

The requirement of disclosure of financial interests and conflicts of interest is a continuing obligation. If circumstances change and the disclosure is no longer accurate, then disclosing entities must provide an updated form.

Separate forms are required for the vendor, parent entity(ies), and subcontractors.

**This disclosure is submitted for:**

- Vendor
- Vendor’s Parent Entity(ies) (100% ownership)
- Subcontractor(s) >\$50,000
- Subcontractor’s Parent Entity(ies) (100% ownership) > \$50,000

Project Name	
Illinois Procurement Bulletin Number	
Contract Number	
Vendor Name	
Doing Business As (DBA)	
Disclosing Entity	
Disclosing Entity’s Parent Entity	
Subcontractor	
Instrument of Ownership or Beneficial Interest	Choose an item. <input type="checkbox"/> If you selected Other, please describe:

## STEP 1

### SUPPORTING DOCUMENTATION SUBMITTAL

(All vendors complete regardless of annual bid, offer, or contract value)  
(Subcontractors with subcontract annual value of more than \$50,000 must complete)

You must select one of the six options below and select the documentation you are submitting. You must provide the documentation the applicable section requires with this form.

Option 1 – Publicly Traded Entities

- 1.A.  Complete Step 2, Option A for each qualifying individual or entity holding any ownership or distributive income share in excess of 5% or an amount greater than 60% (\$106,447.20) of the annual salary of the Governor.

OR

- 1.B.  Attach a copy of the Federal 10-K, and skip to Step 3.

Option 2 – Privately Held Entities with more than 200 Shareholders

- 2.A.  Complete Step 2, Option A for each qualifying individual or entity holding any ownership or distributive income share in excess of 5% or an amount greater than 60% (\$106,447.20) of the annual salary of the Governor.

OR

- 2.B.  Complete Step 2, Option A for each qualifying individual or entity holding any ownership share in excess of 5% and attach the information Federal 10-K reporting companies are required to report under 17 CFR 229.401.

Option 3 – All other Privately Held Entities, not including Sole Proprietorships

- 3.A.  Complete Step 2, Option A for each qualifying individual or entity holding any ownership or distributive income share in excess of 5% or an amount greater than 60% (\$106,447.20) of the annual salary of the Governor.

Option 4 – Foreign Entities

- 4.A.  Complete Step 2, Option A for each qualifying individual or entity holding any ownership or distributive income share in excess of 5% or an amount greater than 60% (\$106,447.20) of the annual salary of the Governor.

OR

- 4.B.  Attach a copy of the Securities Exchange Commission Form 20-F or 40-F and skip to Step 3.

Option 5 – Not-for-Profit Entities

- Complete Step 2, Option B.

Option 6 – Sole Proprietorships

- Skip to Step 3.

## STEP 2

### DISCLOSURE OF FINANCIAL INTEREST OR BOARD OF DIRECTORS

(All vendors, except sole proprietorships, must complete regardless of annual bid, offer, or contract value)  
(Subcontractors with subcontract annual value of more than \$50,000 must complete)

Complete **either** Option A (for all entities other than not-for-profits) or Option B (for not-for-profits). Additional rows may be inserted into the tables or an attachment may be provided if needed.

#### OPTION A – Ownership Share and Distributive Income

**Ownership Share** – If you selected Option 1.A., 2.A., 2.B., 3.A., or 4.A. in Step 1, provide the name and address of each individual or entity and their percentage of ownership if said percentage exceeds 5%, or the dollar value of their ownership if said dollar value exceeds \$106,447.20.

Check here if including an attachment with requested information in a format substantially similar to the format below.

TABLE – X			
Name	Address	Percentage of Ownership	\$ Value of Ownership

**Distributive Income** – If you selected Option 1.A., 2.A., 3.A., or 4.A. in Step 1, provide the name and address of each individual or entity and their percentage of the disclosing vendor's total distributive income if said percentage exceeds 5% of the total distributive income of the disclosing entity, or the dollar value of their distributive income if said dollar value exceeds \$106,447.20.

Check here if including an attachment with requested information in a format substantially similar to the format below.

TABLE – Y			
Name	Address	% of Distributive Income	\$ Value of Distributive Income

Please certify that the following statements are true.

I have disclosed all individuals or entities that hold an ownership interest of greater than 5% or greater than \$106,447.20.

Yes  No

I have disclosed all individuals or entities that were entitled to receive distributive income in an amount greater than \$106,447.20 or greater than 5% of the total distributive income of the disclosing entity.

Yes  No

**OPTION B – Disclosure of Board of Directors (Not-for-Profits)**

If you selected Option 5 in Step 1, list members of your board of directors. Please include an attachment if necessary.

TABLE – Z	
Name	Address

**STEP 3**  
**DISCLOSURE OF LOBBYIST OR AGENT**  
 (Complete only if bid, offer, or contract has an annual value over \$25,000)  
 (Subcontractors with subcontract annual value of more than \$50,000 must complete)

Yes  No. Is your company represented by or do you employ a lobbyist required to register under the Lobbyist Registration Act (lobbyist must be registered pursuant to the Act with the Secretary of State) or other agent who is not identified through Step 2, Option A above and who has communicated, is communicating, or may communicate with any State/Public University officer or employee concerning the bid or offer? If yes, please identify each lobbyist and agent, including the name and address below.

If you have a lobbyist that does not meet the criteria, then you do not have to disclose the lobbyist’s information.

Name	Address	Relationship to Disclosing Entity

Describe all costs/fees/compensation/reimbursements related to the assistance provided by each representative lobbyist or other agent to obtain this Agency/University contract:



**STEP 4**  
**PROHIBITED CONFLICTS OF INTEREST**

(All vendors must complete regardless of annual bid, offer, or contract value)  
(Subcontractors with subcontract annual value of more than \$50,000 must complete)

Step 4 must be completed for each person disclosed in Step 2, Option A and for sole proprietors identified in Step 1, Option 6 above. Please provide the name of the person for which responses are provided:

1. Do you hold or are you the spouse or minor child who holds an elective office in the State of Illinois or hold a seat in the General Assembly?  Yes  No
2. Have you, your spouse, or minor child been appointed to or employed in any offices or agencies of State government and receive compensation for such employment in excess of 60% (\$106,447.20) of the salary of the Governor?  Yes  No
3. Are you or are you the spouse or minor child of an officer or employee of the Capital Development Board or the Illinois Toll Highway Authority?  Yes  No
4. Have you, your spouse, or an immediate family member who lives in your residence currently or who lived in your residence within the last 12 months been appointed as a member of a board, commission, authority, or task force authorized or created by State law or by executive order of the Governor?  Yes  No
5. If you answered yes to any question in 1-4 above, please answer the following: Do you, your spouse, or minor child receive from the vendor more than 7.5% of the vendor's total distributable income or an amount of distributable income in excess of the salary of the Governor (\$177,412.00)?  Yes  No
6. If you answered yes to any question in 1-4 above, please answer the following: Is there a combined interest of self with spouse or minor child more than 15% (\$354,824.00) in the aggregate of the vendor's distributable income or an amount of distributable income in excess of two times the salary of the Governor?  Yes  No

**STEP 5**  
**POTENTIAL CONFLICTS OF INTEREST RELATING TO PERSONAL RELATIONSHIPS**

(Complete only if bid, offer, or contract has an annual value over \$25,000)  
(Subcontractors with subcontract annual value of more than \$50,000 must complete)

Step 5 must be completed for each person disclosed in Step 2, Option A and for sole proprietors identified in Step 1, Option 6 above.

Please provide the name of the person for which responses are provided:

1. Do you currently have, or in the previous 3 years have you had State employment, including contractual employment of services?  Yes  No

2. Has your spouse, father, mother, son, or daughter, had State employment, including contractual employment for services, in the previous 2 years?  Yes  No
3. Do you hold currently or have you held in the previous 3 years elective office of the State of Illinois, the government of the United States, or any unit of local government authorized by the Constitution of the State of Illinois or the statutes of the State of Illinois?  Yes  No
4. Do you have a relationship to anyone (spouse, father, mother, son, or daughter) holding elective office currently or in the previous 2 years?  Yes  No
5. Do you hold or have you held in the previous 3 years 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?  Yes  No
6. Do you have a relationship to anyone (spouse, father, mother, son, or daughter) holding appointive office currently or in the previous 2 years?  Yes  No
7. Do you currently have or in the previous 3 years had employment as or by any registered lobbyist of the State government?  Yes  No
8. Do you currently have or in the previous 2 years had a relationship to anyone (spouse, father, mother, son, or daughter) that is or was a registered lobbyist?  Yes  No
9. Do you currently have or in the previous 3 years had compensated employment 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
10. Do you currently have or in the previous 2 years had a relationship to anyone (spouse, father, mother, son, or daughter) who is or was a compensated employee 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

## STEP 6

### EXPLANATION OF AFFIRMATIVE RESPONSES

(All vendors must complete regardless of annual bid, offer, or contract value)  
 (Subcontractors with subcontract annual value of more than \$50,000 must complete)

If you answered “Yes” in Step 4 or Step 5, please provide on an additional page a detailed explanation that includes, but is not limited to the name, salary, State agency or university, and position title of each individual.

## POTENTIAL CONFLICTS OF INTEREST RELATING TO DEBARMENT & LEGAL PROCEEDINGS

(Complete only if bid, offer, or contract has an annual value over \$25,000)  
(Subcontractors with subcontract annual value of more than \$50,000 must complete)

This step must be completed for each person disclosed in Step 2, Option A, Step 3, and for each entity and sole proprietor disclosed in Step 1.

Please provide the name of the person or entity for which responses are provided:

1. Within the previous ten years, have you had debarment from contracting with any governmental entity?  Yes  No
2. Within the previous ten years, have you had any professional licensure discipline?  Yes  No
3. Within the previous ten years, have you had any bankruptcies?  Yes  No
4. Within the previous ten years, have you had any adverse civil judgments and administrative findings?  Yes  No
5. Within the previous ten years, have you had any criminal felony convictions?  Yes  No

If you answered "Yes", please provide a detailed explanation that includes, but is not limited to the name, State agency or university, and position title of each individual.

## STEP 8 DISCLOSURE OF CURRENT AND PENDING CONTRACTS

(Complete only if bid, offer, or contract has an annual value over \$25,000)  
(Subcontractors with subcontract annual value of more than \$50,000 must complete)

If you selected Option 1, 2, 3, 4, or 6 in Step 1, do you have any contracts, pending contracts, bids, proposals, subcontracts, leases or other ongoing procurement relationships with units of State of Illinois government?

Yes  No

If "Yes", please specify below. Attach an additional page in the same format as provided below, if desired.

Agency/University	Project Title	Status	Value	Contract Reference/P.O./Illinois Procurement Bulletin #

Agency/University	Project Title	Status	Value	Contract Reference/P.O./Illinois Procurement Bulletin #

Please explain the procurement relationship:

**STEP 9**  
**SIGN THE DISCLOSURE**  
 (All vendors must complete regardless of annual bid, offer, or contract value)  
 (Subcontractors with subcontract annual value of more than \$50,000 must complete)

This disclosure is signed, and made under penalty of perjury for all for-profit entities, by an authorized officer or employee on behalf of the bidder or offeror pursuant to Sections 50-13 and 50-35 of the Illinois Procurement Code. This disclosure information is submitted on behalf of:

Name of Disclosing Entity:

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

Date:

Printed Name:

Title:

Phone Number:

Address:

# 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 13-3 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 **October 18, 2013**.

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

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## SEALED BID/PROPOSAL

Company Name:
City, State, Zip:

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

Contract No. **PSB 13-3**

Due Date: October 18, 2013

|||||  
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 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 Notification list send an to [terri.smith@getipass.com](mailto:terri.smith@getipass.com)**

Submit to: Ms. Terri Smith  
Engineering Project Analyst  
**OR - : [terri.smith@getipass.com](mailto:terri.smith@getipass.com)**  
Illinois State Toll Highway Authority  
2700 Ogden Avenue  
Downers Grove, IL 60515  
Fax: (630) 241-6149

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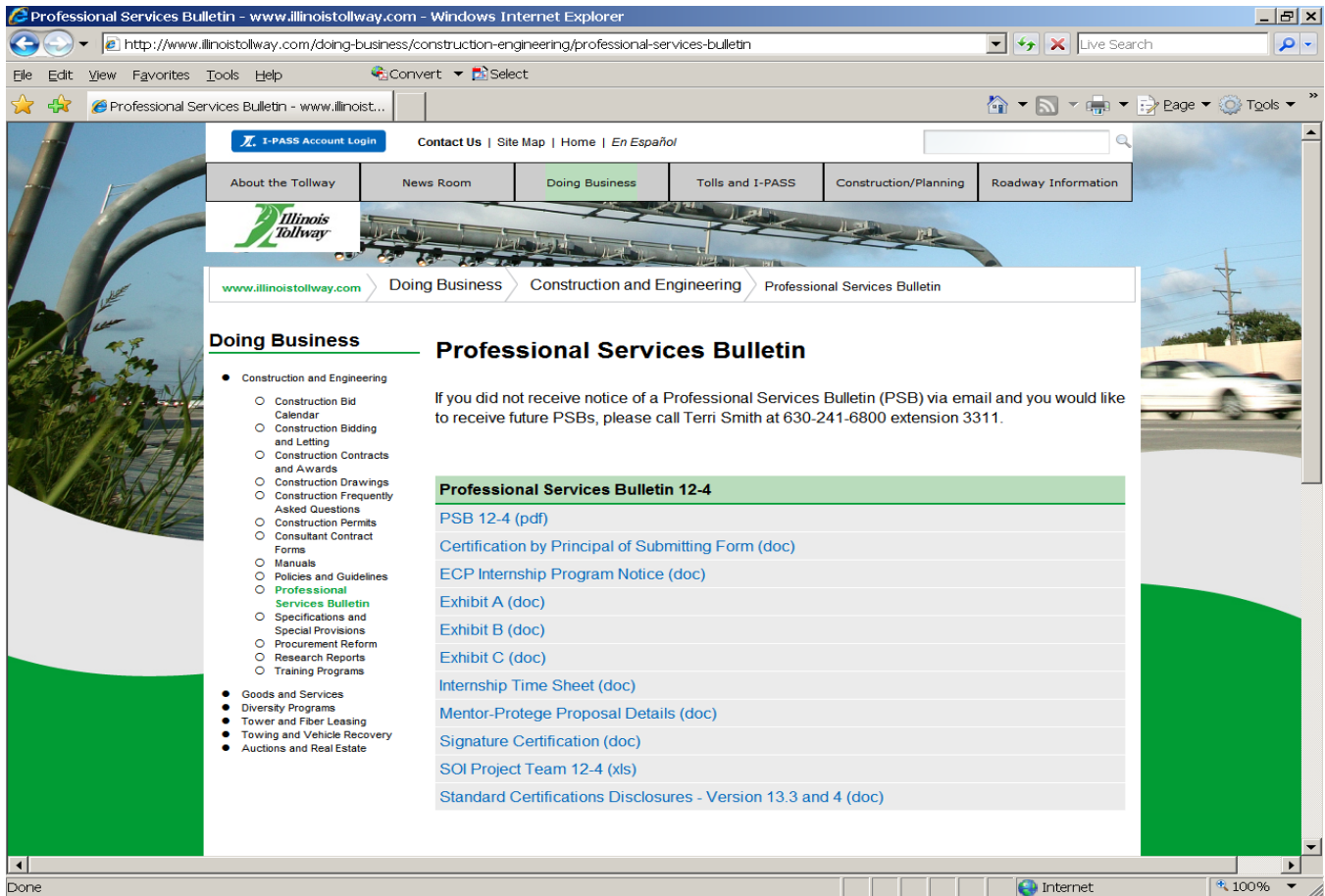
**(TYPE ONLY)**

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

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

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

# INFORMATION ON ACCESSING TOLLWAY WEBSITE



The Professional Services Bulletin 13-3, 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 13-3 and all of the forms you will need to submit your Statements of Interest.

Please call if you need assistance.  
(630)241-6800, ext 3311.