



Chicago Metropolitan Agency for Planning

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November 6, 2019

REQUEST FOR QUALIFICATIONS (RFQ) NO. 225

ADVISORY CIVIL ENGINEERING AND MUNICIPAL FINANCE & ADMINISTRATION SERVICES

The Chicago Metropolitan Agency for Planning (CMAP) is requesting proposals from interested contractors to provide services related to civil engineering and related municipal finance and administration tasks and issues for various CMAP planning and programming projects, which may include planning as well as implementation of completed plans, as described in the enclosed Request for Qualifications (RFQ).

CMAP will not be conducting a pre-bid information session, but does encourage potential bidders to submit questions regarding this RFQ to pdubernat@cmap.illinois.gov by November 15, 2019. Responses to any questions received will be posted on the CMAP [RFP/RFQ](#) webpage.

If your team is qualified and experienced in performing the described services, CMAP would appreciate receiving your qualifications as indicated in the RFQ. The deadline for submissions in response to the RFQ is **3:00 p.m. November 22, 2019**.

Thank you, and if you have any questions, please call me at (312) 386-8756.

Sincerely,
Penny DuBernat
Procurement Officer

Enclosure

**REQUEST FOR QUALIFICATIONS (RFQ) NO. 225
ADVISORY CIVIL ENGINEERING AND MUNICIPAL FINANCE & ADMINISTRATION SERVICES**

The Chicago Metropolitan Agency for Planning (CMAP) invites appropriate contractors to submit qualifications for this project to provide civil engineering and municipal finance and administration assistance to support Local Technical Assistance (LTA) projects, as well as other projects and initiatives within CMAP, as described in this scope of work. Please read each section carefully for information regarding the proposal and submittal instructions.

SECTION 1: Background and General Information

About CMAP

The Chicago Metropolitan Agency for Planning (CMAP) is our region's official comprehensive planning organization. The agency and its partners have developed ON TO 2050, a comprehensive plan that builds upon its predecessor GO TO 2040, to help the seven counties and 284 communities of northeastern Illinois implement strategies that address community, prosperity, the environment, governance and mobility. See www.cmap.illinois.gov for more information.

General Information

As a result of responses to this RFQ, CMAP plans to review submissions and conduct interviews with selected consultants it determines can best meet the requirements outlined below. Negotiations will be held on both the scope and the cost to select the consultant that CMAP believes can best satisfy its requirements at rates it perceives are reasonable for the services provided. Subject to "Reservation of Rights" below, it is anticipated that a contract with CMAP will be awarded for the work described. The contract awarded will be for three years with two one-year options for renewal.

SECTION 2: Scope of Project and Procurement Details

Scope of Services

This RFQ seeks services related to civil engineering and related municipal finance and administration tasks and issues for various CMAP planning and programming projects, which may include planning as well as implementation of completed plans. These projects are in a variety of settings, from rural areas to established suburban communities to dense urban areas. For each project, the contractor will work directly with CMAP, although interaction with the local project sponsor (typically a municipality) will often be needed as well.

This RFQ seeks individual firms to qualify for various service areas. No teams or subcontractors to a prime contractor should be proposed. Each firm may submit qualifications for one, multiple, or all services being requested. CMAP will qualify firms it determines most qualified to successfully provide the services requested. CMAP may qualify a firm for one or more of the services proposed by the firm. CMAP will qualify as many firms as it deems necessary, but is under no obligation to qualify any of the responding firms.

The assistance sought includes a range of different types of activities, as described below. These are each stand-alone activities; that is, they are not intended to be done together or in sequence, although at times multiple services may be necessary for a single project, and may be requested from multiple contractors, which will be expected to work together. For example, a project may require an assessment of infrastructure assets as well as a financial assessment and projections of revenues and expenses. CMAP cannot yet specify the communities where these activities will be conducted, as this will be determined as projects advance. Nor can CMAP accurately predict how much work will occur within each activity area, nor how much work each contractor will receive.

A description of each sample activity type is included below. When considering these activity types, contractors should keep in mind that products should be at a suitable level of detail and specificity appropriate for the intended use. In some projects, the contractor will be preparing engineering drawings, revenue and expense projections, or other materials with a high level of specificity; in others, concept drawings, planning-level cost estimates, or other outputs with a much lower level of specificity will be required, such as those appropriate to include in a comprehensive plan, corridor plan, subarea plan, or similar planning document. In other projects, CMAP will be seeking advice and counsel on engineering or municipal finance and administration issues that may include cost estimates or opinions on feasibility. Deliverables may be used in planning documents, as inputs to administrative budgets or capital improvement plans, or in applications for funding for additional design and engineering work. CMAP will provide relevant data and background information in its possession, such as GIS maps and data, plans and studies, descriptions, sketches, and photographs; however, some data and information collection by contractors may often be necessary to adequately perform the work, such as through site visits, interviews, and local data gathering. Detailed activities for which assistance is being requested, the level of detail for each, and a list of information CMAP can provide will be described in individual Task Order Requests, also known as Project Authorization Orders.

Sample types of services requested are described below.

1. Transportation

- a. **Review feasibility of recommendations** for improvements to transportation infrastructure. Many LTA plans recommend transportation infrastructure improvements. These may include use of Complete Streets standards on local roads, pedestrian improvements to address gaps in the pedestrian system, improved accommodation for transit services, improved truck access to industrial areas, conversion of one-way streets to two-way streets, and others. These types of policy recommendations are typically made at the corridor level in LTA plans; for example, a street may be identified as a priority for Complete Streets treatment along a two-mile corridor. The contractor will be asked to review these types of plan recommendations from CMAP staff for general physical feasibility; for example, the contractor could be asked to review whether pavement width is sufficient for the addition of bicycle facilities or medians, assess whether improvements could fit within the existing right-of-way or require land acquisition, or perform similar tasks. The contractor's review should consider that federal and/or state funds may be used to implement transportation projects and should address feasibility related to the potential use of these funds.

CMAP does not anticipate that the contractor will be asked to prepare engineering drawings as a part of these activities; instead, CMAP anticipates this will be a high-level review of feasibility. The contractor's advice will inform CMAP's planning recommendations and it is recognized that actual engineering work will be necessary at later stages of project development, but not as part of planning projects in under this service area. For activities of this type, the contractor's involvement will typically occur while CMAP is developing recommendations, but before specific recommendations have been made. The deliverable for activities of this type will take the form of a memo to CMAP which explains the results of the contractor's review.

- b. Assist CMAP to **develop recommended solutions in specific locations**, including specific intersections or sites. In some cases, LTA plans go beyond the corridor-level recommendations described above to focus on specific locations. These may be intersections (or mid-block crossings) that present a particular barrier to pedestrian or bicycle travel, or a large site where redevelopment is desired. In these cases, CMAP may wish to detail a specific improvement as part of the plan. For example, this may include a diagram of improved pedestrian and bicycle facilities at a single intersection, or it may include a site plan that shows access points into a redevelopment site from an adjacent roadway. Another example would be to identify safety improvements at locations with known safety issues. The contractor will be asked to lead the preparation of concept plans

and other diagrams of this sort, in consultation with CMAP. As above, CMAP does not anticipate that the contractor will be asked to prepare engineering drawings. While these concept plans will be site-specific, they will be used to inform and visualize CMAP's planning recommendations only. The contractor's involvement will typically occur while CMAP is developing recommendations, but before specific recommendations have been made. The final deliverable will be a concept plan (or in some cases multiple concept plans) of the proposed treatment of the intersection or site under consideration. The contractor will be asked to prepare sketch versions of the concept plans for discussion with CMAP before finalizing. Ultimately, the concept plans are expected to be included in the final plan, so they will need to be prepared at a sufficiently high level of graphic quality.

- c. Following plan completion, assist CMAP to **develop recommended solutions that build on plan recommendations**. Assignments in these cases will be similar to those listed as part of the second task, above. However, for these projects, the assignments will occur following plan adoption, as part of a short-term implementation activity to add more detail to a recommendation in the plan. Often, this will be done to assist the local sponsor in preparing to submit a grant application and may include preparation of preliminary-level cost estimates, including estimates for preliminary, final, and/or construction engineering as well as long-term maintenance costs, such as those for stormwater "green infrastructure", that will be the responsibility of the local sponsor.
- d. **Develop generalized cost estimates** for recommended infrastructure improvements. LTA plans often recommend infrastructure improvements of various types, such as off-street bicycle trails, sidewalks, intersection improvements, and others. In some cases, it would be useful to the community to have a general sense of the expected cost of the recommended improvements. The contractor will be asked to review general recommendations for infrastructure improvements and develop high-level cost estimates. These are expected to be generalized and based on unit costs rather than a detailed examination of local conditions. These estimates may include identification of costs that are/are not federal-aid eligible; again, contractors should keep in mind that these will likely be included as an appendix to a comprehensive plan, corridor plan, downtown plan, or similar planning document. The contractor's involvement will occur at a fairly late stage in the project, after CMAP has developed recommendations and confirmed them with the local sponsor. The final deliverable will be a table that shows the estimated cost for each infrastructure improvement as well as the assumptions that went into the cost estimation.
- e. **Review expected impact of planned infrastructure improvements on local conditions**. Some LTA plans occur in communities where major transportation investments are being planned by IDOT, the Tollway, Metra, CTA, CDOT, freight railroads, or other agencies. In these cases, the upcoming transportation investment may have significant impacts on local transportation networks or may provide opportunities for coordinating improvements which should influence the recommendations of the LTA plan. When CMAP identifies this as an issue, the contractor will be asked to review the planned investment and provide some insight and discussion into possible local impacts. Quantitative analysis and detailed study by the contractor will not be expected. The contractor's involvement will occur early in the project, as CMAP is identifying key issues for the LTA plan to address. Activities of this type will involve discussions with CMAP staff but will not be expected to produce a formal deliverable.
- f. **Advise CMAP on other transportation engineering issues**. This service for general advice may include providing planning, policy, data, analysis, and other advice, to be described in individual Task Order Requests.
- g. **In-House Engineering**. This service would provide, but is not limited to, in-house engineering services related to traffic analysis, traffic operations, transportation planning, parking studies and project management.

2. Stormwater and Flooding

- a. **Analyze stormwater and flooding conditions** for a community or multijurisdictional project. CMAP provides technical planning assistance to communities with specific stormwater management challenges and needs. This effort often includes identifying flooding problem areas within individual communities or along a shared border, as well as opportunity areas for land use based solutions, such as repurposing vacant land for stormwater management practices (such as bioretention), incorporating stormwater best management practices in new capital investments (such as street reconstruction projects using permeable paving), and establishing priority areas for home buy outs and floodplain protection and reconnection. The contractor will be asked to review past plans and collect and analyze datasets to identify existing flooding and stormwater management issues. Experience with ESRI's Arc Hydro tools or another method to model overland flow and delineate contributing drainage areas is preferred. Detailed hydrologic and hydraulic (H&H) modeling by the contractor will not be expected. Deliverables will typically take the form of maps, graphics, and accompanying explanatory narrative.
- b. **Review the application and results of CMAP's stormwater analysis.** CMAP has developed an approach to assess flood susceptibility utilizing the Regional Flood Susceptibility Index and Arc Hydro tools. The contractor will be asked to assist with community and/or multijurisdictional stormwater planning efforts by reviewing and providing refinements to the application and results of the analysis; examining the identified problem areas in relation to other available planning or engineering studies; reviewing identified solutions; providing input on the feasibility of draft recommendations; and compliance with engineering standards and best practices. Recommendations will vary from site specific green stormwater infrastructure installations to community-wide standards or policy changes, such as natural resource protection standards, stream and floodplain buffers, or changes in land use patterns, intensities, and development standards.

In most cases, the contractor will be asked to review technical aspects of CMAP's assessment of stormwater challenges and solutions for accuracy and feasibility. This will also include an opinion as to whether the recommended improvements would have the intended effect on the stormwater challenge being addressed, and whether further analysis or recommendations are needed, such as H&H modeling or gray infrastructure. In some cases, the contractor may be asked to assess whether and how improvements and infrastructure planned by others (e.g., MWRD) might affect problem areas and solutions that are identified in CMAP's analysis.

Though limited quantitative analysis may be necessary in order to develop such input, neither highly detailed quantitative analysis nor engineering designs or drawings by the contractor will be expected; instead, this will be a high-level review of results and proposed solutions. The contractor's advice will inform CMAP's planning recommendations. Activities of this type will involve discussions with CMAP staff and possibly a written response of findings and/or recommendations in the form of a memo or email.

- c. **Assist CMAP to develop recommended planning-level solutions in specific locations.** Often during the stormwater planning analysis, specific sites will be identified that have significant challenges or potential to help address stormwater challenges. These may include individual streets, subdivisions, parks, schoolyards, or other sites that are particularly susceptible to flooding or could significantly reduce runoff downstream. In these cases, CMAP may wish to include a concept plans and other diagrams as part of the plan. The scale of the concept plan could vary from a single bio-retention area on a site to an integrated green and gray infrastructure system for existing or planned development. The

contractor may be asked to prepare concept plans of this sort, in consultation with CMAP, or to review concepts prepared by CMAP. The concept plans should provide the level of detail appropriate for planning documents or required of typical grant or other funding applications; engineering drawings are not expected.

- d. **Develop generalized cost estimates for recommended stormwater improvements.** LTA plans often recommend stormwater improvements to expand capacity, upgrade existing infrastructure, and provide ongoing maintenance. Examples include bioretention and bioswales, home buyouts, flood proofing, and sewer televising. To help communities budget for these improvements, it is useful to provide a general sense of cost in the plan. The contractor will be asked to review recommendations for infrastructure improvements and develop high-level cost estimates. These estimates should be based on unit costs rather than a detailed examination of local conditions. As above, the contractor will not be asked prepare engineering drawings as a part of these activities; instead, costs should be best estimates based on available information, and presented as a table with associated narrative.
- e. **Develop stormwater management plans for communities, subareas, or multijurisdictional areas as standalone documents or part of other plans or studies.** Some LTA projects entail the development of a stormwater plan including analysis, outreach and engagement, recommendations, cost estimates, and implementation approach. In some cases, the project could take the form of a stormwater capital plan, which also requires project prioritization. These projects will typically include some combination of the services described above. Deliverables for this service area will include a full, final stormwater management plan including narrative, graphics, charts, tables, drawings, and other information necessary to adequately communicate the results and recommendations of the study.
- f. **Advise CMAP or conduct technical analysis on stormwater and flood management issues.** CMAP may request assistance that does not fall easily within one of the categories above and requires technical and/or engineering analysis such as modeling or other needs. This service may include providing planning, policy, data, analysis, and other advice, to be described in individual Task Order Requests.

3. Water Supply

- a. **Support for water supply technical assistance program.** CMAP is currently exploring the expansion of existing technical assistance offerings to include water supply related studies that build the capacity and address challenges of small drinking water systems. CMAP may request assistance from the contractor to establish detailed scopes of work for water rate studies and water loss audits and control plans, especially designed for communities with limited technical, financial, or managerial capacity. In addition, CMAP may request assistance in reviewing and providing refinements to other contractors' work and deliverables, (see 3.b and 3.c). This could include examining the identified existing conditions; reviewing identified solutions; providing input on the feasibility of draft recommendations; and compliance with engineering standards and best practices. The contractor may be asked to provide recommendations to refine the program design for the water supply technical assistance program, further tailoring the scopes of work for water rate studies and water loss audits and control plans, and advising on selection criteria, among other items, based on lessons learned in the demonstration phase.
- b. **Conduct water loss audits and develop water loss control plans** for community water suppliers. Using the American Water Works Association (AWWA) M36 audit tool, the contractor will systematically examine utility records and data to understand the real and apparent water losses of the system, the overall validity of the community's water audit

data, and the amount of uncaptured revenue from non-revenue water. The contractor will be responsible for working with the utility to collect the data necessary for the desktop water loss audit, including the quantity of water entering the system, customer billing summaries, leak repair summaries, average system pressure, production and customer meter accuracy percentages, permitted fire hydrant and flushing usage, and information that may be kept on water theft and unmetered uses. If it becomes evident that the validity of portions of the water data does not provide enough confidence to complete an audit or draft a loss control plan, the contractor may be asked to present a plan for addressing data gaps and/or performing additional data collection via locating leaks and losses, condition assessment, and hydraulic modeling.

Based on the results of the audit as well as stakeholder engagement, the contractor will draft a water loss control plan that identifies cost-effective loss reduction measures. The process may include developing of a list of potential corrective measures to address audit findings, estimating the cost of corrective measures, performing a cost-benefit analysis to help prioritize actions, developing a plan to carry out the selected measures, identifying the intended outcomes of each measure, and developing an implementation schedule for completing the selected measures. The contractor will be responsible for working with the utility to collect the data necessary for the water loss control plan, which could include field visits. The final deliverable will be a report that includes the water loss audit and water loss control plan.

- c. **Conduct water rate studies** for community water suppliers. Using industry best practices, such as AWWA's M1: Principles of Water Rates, Fees, and Charges, the contractor will identify revenue requirements, perform a cost of service analysis to allocate revenue requirements to customer classes, and then design a rate structure to cover the revenue requirements. Revenue requirements include operation and maintenance expenses, debt service or loan payments, minor equipment or capital repair and replacement, major cash funded capital, transfer to/from reserves, and payments in lieu of taxes. The cost of service analysis is used to allocate revenue requirements to customer classes in a fair and equitable manner. The rate structure should be designed for full cost recovery and revenue stability, but should also consider additional objectives with stakeholder engagement, such as water conservation, equitability, affordability, ease of implementation, and economic development, among others. The contractor will work with the utility and municipal finance department to understand the true costs of water service, reviewing all aspects of the system (physical equipment, staff, outstanding loans, and mortgage payments). Current revenue will be analyzed from current rates, interest, other sources of revenue, including subsidies and transfer payments. To assess the reserve needs for asset replacement and rehabilitation, the consultant will rely on the utilities' capital improvement plan. Typical deliverables for this service will include a report detailing the process, inputs, and results of the study in narrative, illustrative, and data presentation.
- d. Assist communities with **analysis, forecasting, planning, design, and engineering for water supply infrastructure projects**. CMAP provides limited assistance intended to ease or advance a community's ability to access capital funding, such as State Revolving Fund financing for water projects. In such cases, the contractor will provide design and engineering assistance of various levels of detail in order to advance capital projects to the funding application stage. Deliverables for this work will take various forms, but are likely to include detailed engineering drawings, specifications, and other supporting documentation necessary to successfully apply for most likely sources of funding, such as SRF.
- e. **Advise CMAP on water supply issues**. This service may include providing planning, policy, data, analysis, and other advice, to be described in individual Task Order Requests.

4. Water Quality

- a. To assist CMAP with watershed planning being conducted in partnership with Illinois EPA, the contractor will assist with or complete **water quality modeling**, which may include nonpoint-source pollution source identification, quantification of pollutant loading, assessing how surface waters will respond to watershed and environmental changes (e.g., land use change, climate change), developing TMDLs, estimating pollutant load reductions and planning level costs for Best Management Practices, and quantifying benefits of water quality protection policies. In some cases, this work may also require hydrologic, hydraulic, and groundwater flow modeling.

The contractor may be asked to provide training, technical assistance, and advice to CMAP staff with water quality modeling tasks, approaches, and software. In the response to this water quality element of the RFQ, contractors should detail their water quality modeling capabilities and level of proficiency with various water quality models and software, and experience using such models for watershed and/or nonpoint source pollution related activities. Example models and software include BASINS, HSPF, SWAT, HAWQS, L-THIA, SWMM, SUSTAIN, AGWA, STEP-L, WASP, CE-QUAL-W2, QUAL2K/Kw, SPARROW, BATHTUB, WILMS, and MODFLOW. An understanding of compatibility between the different models would be beneficial as well.

- b. **Advise CMAP on water quality issues.** This service may include providing planning, policy, data, analysis, and other advice, to be described in individual task order requests. One specific issue that CMAP may request assistance on relates to its role and responsibility as the areawide water quality management planning agency for northeastern Illinois. The State of Illinois' Water Quality Management Plan (IWQMP, 1982)¹ incorporates the Areawide Water Quality Management Plan produced for northeastern Illinois. CMAP is a state designated Water Quality Management Planning Agency or Designated Management Agency (DMA), responsible for assisting the region in implementing and ensuring consistency with the IWQMP. The contractor may be asked to assist CMAP with development and/or refinement of an approach to carrying out CMAP's designated areawide water quality management planning agency responsibilities. This work will typically take the form of discussion and advising CMAP, but at times may also require research and reporting back to CMAP. Familiarity with State of Illinois and federal water quality management policies, regulations, and programs, as well as with the IWQMP and responsibilities of the DMAs, would be beneficial. Details of tasks would be outlined in the Task Order Request.

5. Capital Asset Assessment and Capital Improvement Planning

- a. At times, CMAP works with communities on **infrastructure / asset assessment, management, and capital improvement planning**. In order to provide such technical assistance to the region's communities, the contractor may be asked to assist communities with asset inventory, condition assessment (condition, age, service history, design life, useful life, level of redundancy), prioritization of future capital improvements based on importance and condition, and asset management planning. Contractor may also assist with capital program planning, including financial analysis, asset rehabilitation and replacement costs, revenue projections, potential efficiencies, and related tasks. Work under this service area may include assistance with a single asset system (such as water supply or transportation), specific elements of a single asset system (such as lead service lines or water loss control), or may address multiple community assets and infrastructure systems, such as the production of a complete Capital Improvement Plan for a community.

¹ <https://www2.illinois.gov/epa/Documents/epa-forms/water/financial-assistance/section-604b/water-quality-management-plan.pdf>

At times, CMAP may request advice from the contractor, which may include providing planning, policy, data, analysis, and other advice. Details of tasks would be outlined in the Task Order Request.

6. Municipal Finance and Administration related to infrastructure systems

- a. The services described in Items 1-5 above are focused largely, although not solely, on engineering related tasks. However, for some of those projects, an understanding and **assessment of a municipal financial and administrative status, processes, and environment** may be necessary in order to complete the project. Tasks under this service area may include assessments of current and future costs and revenues associated with infrastructure systems; a community's ability to finance or secure external financing for projects; a community's ability to expend projected revenues in a timely fashion; or the appropriateness or need for changes to a community's rate structure for infrastructure management and improvement. At times, CMAP may request advice from the contractor, which may include providing planning, policy, data, analysis, and other advice. This service area relates most directly to Item 3 Water Supply and Item 5 Capital Asset Assessment and Capital Improvement Planning, however, tasks may be requested for other services as well. Details of tasks would be outlined in the Task Order Request.

- 7. In-house Civil Engineering Services as needed.** CMAP cannot anticipate the need for all types of civil engineering services it may need over the next five years. CMAP has provided Item 7 on Attachment 4 for firms to list additional services they would like to be considered for, if needed.

Contractors should demonstrate their qualifications to assist in each of the types of activities described above. Please see Section 3, Submittal Requirements, for more detail on how contractors should demonstrate their qualifications in their submittals.

Please note that contractors are not expected, as part of this RFQ, to propose a total cost for each activity described above. Actual scope, budget and timeline for any activity will be developed on a task order basis using the hourly rates submitted in response to each individual PAO request. However, as noted in Section 3, Submittal Requirements, CMAP requests that contractors provide several examples of past work that is similar to each activity described above that the contractor is qualified for, including an estimate of the cost of each.

Anticipated Selection Process and Schedule

November 6, 2019:	Release RFQ
November 15, 2019:	Deadline for questions
November 22:	Proposals due
January 2020:	Decision and execution of contract

Evaluation Criteria

All responses to this request for proposals will be analyzed for completeness and cost effectiveness. The following criteria will be used in evaluating submissions:

1. The demonstrated record of experience of the contractor in providing the professional services identified. Contractors should identify which of the types of services (see Attachment 4: Checklist of Services) they have experience in and provide a demonstrated record for those areas. Contractors are not expected to demonstrate a record of experience for all service areas.
2. The quality and relevance of the examples of similar work for the types of services listed for Criteria number 1.

3. Prior performance of previous CMAP contracts will be considered. Consultants who are or have been seriously deficient in current or recent contract performance in the absence of evidence to the contrary or circumstances properly beyond the control of the Consultant shall be presumed to be unable to meet these requirements. Past unsatisfactory performance will ordinarily be sufficient to justify a finding of non-responsibility.
4. The contractor's approach to the professional services described in the scope of services.
5. The contractor's acknowledgement and integration of the principles of ON TO 2050 into its response.

All timely responses received to this scope of work will be reviewed. Interviews will be conducted with selected submitters that CMAP determines can best meet the above requirements. A committee including representatives from CMAP and other stakeholders will make the selection decision.

Titles, names, and resumes of personnel the submitter proposes to use shall be provided and will be evaluated to select the consultant that CMAP believes can best satisfy its requirements.

For each individual project, CMAP shall prepare a written description of the scope of the proposed services to be used as a basis for negotiations and shall negotiate a PAO with the most qualified contractor at compensation that CMAP determines to be fair and reasonable. If CMAP is unable to negotiate a satisfactory PAO with the contractor which it deems most qualified, negotiations with that contractor will be terminated. CMAP shall then begin negotiations with the next best qualified consultant(s) until a satisfactory agreement has been reached.

SECTION 3: Submittal Requirements

Proposals must be received at CMAP on or before 3:00 p.m. November 22, 2019

Submissions should be submitted in the order presented:

1. Provide a description of your firm's structure, experience, services and staff.
2. Complete Attachment 4: Checklist of Services, indicating which of the service areas and subareas that your firm is proposing to be qualified for.
3. For each service area checked in Attachment 4, provide a description of the firm's qualifications to provide review and advice on engineering and/or municipal finance and administration issues as described in the Scope of Services in Section 2. Identify the key staff involved in each activity, clearly describing qualifications and experience.
4. Include a narrative describing the general approach that the firm would take to complete the types of activities outlined in the Scope of Services in Section 2. The firm should also provide a general description of its work process with clients related to work of this type. In this section, contractors should describe their experience working on a task order basis with public sector clients.

Each activity will require a separate narrative describing the contractor's approach, as each should use a distinct process. Each narrative should:

- Describe approximate estimates of the length of time involved to complete the activity and identify the relevant staff to be involved. The expectations for the type of information that CMAP will provide to the contractor are specified in the activity descriptions in the Scope of Services in Section 2 above; contractors should indicate within their narrative whether any additional information from CMAP will be necessary. Be clear about when and how coordination with CMAP staff will occur within each process.
 - Provide at least two to three examples of the consultant's experience in each type of activity being proposed. Describe the consultant's contributions clearly, and specify the client for each, the date prepared, and the overall project that the consultant's work supported. Estimate approximate cost for each example that is supplied, focusing on the cost of the consultant's contributions, not the overall cost of the larger project. Please note that estimation of cost for each example is very important, and do not neglect to include this. While cost may be difficult to calculate for some complex multi-part projects, CMAP requests that a rough estimate be included. Please note that this request is for two to three examples for each of the six types of activities being proposed.
 - Identify the staff who would be involved in each type of activity, including proposed project managers, and describe their qualifications. Also identify any fixed costs that are likely to occur as part of any activity related to this contract.
5. Provide at least three references, including individual contact name, name of company, and phone number, that CMAP staff may contact regarding the contractor's qualifications to undertake this project.
 6. Sign and submit the "Certificate Regarding Workers' Compensation Insurance," Attachment 1, the "Bidder Information," Attachment 2, and "FTA Certification Regarding Lobbying" Attachment 3.

Submission of Qualifications

Qualifications must be submitted to CMAP no later than 3:00 p.m. on November 22. The submittal should consist of one (1) paper copy of the qualifications and attachments as well as one (1) electronic version in PDF format on a thumb drive. Submittals must be in a sealed package or envelope. The applicant's organization name and address shall appear in the upper left corner of the package.

Submission of RFQ by fax or e-mail is not acceptable. Submissions may be delivered to CMAP in person or sent (by U.S. Postal Service or other reliable means) to the following address:

Chicago Metropolitan Agency for Planning
Attn: Procurement Officer
Response to RFQ No. 225
233 S. Wacker Drive, Suite 800
Chicago, IL 60606

There will be no public opening for this RFQ. Late submissions will be rejected and returned unopened. Questions may be referred to Penny DuBernat, (312) 386-8756 or Email: pdubernat@cmap.illinois.gov.

SECTION 4: Contractual Agreement and Rights

Contractual Agreement

The contract CMAP anticipates awarding as a result of this RFP and subsequent rate submissions and negotiations, if any, will indicate the service requirements, time periods involved and applicable hourly rates. In addition, it will include the General Provisions, Section 5 hereto, and Special Provisions, Section 6 hereto, which will apply to the contract.

Reservation of Rights

CMAP reserves the following rights if using them will be more advantageous to CMAP:

- 1) Withdraw this RFP at any time without prior notice
- 2) Accept or reject any and all submissions, or any item or part thereof
- 3) Postpone qualifications due date
- 4) Not award a contract to any submitter responding to this RFP
- 5) Award a contract without negotiations or discussions

SECTION 5: General Provisions

The following provisions apply to the solicitation to which this section is attached and to any contract that results from the solicitation. Signatories of this Agreement certify that these conditions and procedures and terms and the conditions and procedures specific to this project will be adhered to unless amended in writing.

- 1) Complete Agreement.
 - a) This Agreement (which also may be herein referred to as "Contract"), including all exhibits and other documents incorporated or referenced in the agreement, constitutes the complete and exclusive statement of the terms and conditions of the agreement between CMAP and Contractor and it supersedes all prior representations, understandings and communications. The invalidity in whole or in part of any term or condition of this Agreement shall not affect the validity of other terms or conditions.
 - b) Order of Precedence: Conflicting provisions hereof, if any, shall prevail in the following descending order of precedence: (1) the provisions of the executed contract, including its exhibits; (2) the provisions of the RFP on which the contract is based including any and all Addendums; (3) the

proposal submitted to CMAP by the Contractor in response to said RFP; and (4) any other documents cited or incorporated herein by reference.

- c) CMAP's failure to insist in any one or more instances upon the performance of any terms or conditions of this Agreement shall not be construed as a waiver or relinquishment of CMAP's right to such performance by the Contractor or to future performance of such terms or conditions and Contractor's obligation in respect thereto shall continue in full force and effect. Contractor shall be responsible for having taken steps reasonably necessary to ascertain the nature and location of the work, and the general and local conditions that can affect the work or the cost thereof. Any failure by the Contractor to do so will not relieve it from responsibility for successfully performing the work without additional expense to CMAP.
 - d) CMAP assumes no responsibility for any understanding or representations made by any of its officers, employees or agents prior to the execution of this Agreement, unless such understanding or representations by CMAP are expressly stated in this Agreement.
 - e) Changes: CMAP may from time to time order work suspension or make any change in the general scope of this Agreement including, but not limited to changes, as applicable, in the drawings, specifications, delivery schedules or any other particulars of the description, statement of work or provisions of this Agreement. If any such change causes an increase or decrease in the cost or time required for performance of any part of the work under this Agreement, the Contractor shall promptly notify CMAP thereof and assert its claim for adjustment within thirty (30) days after the change is ordered. A written amendment will be prepared for agreement between CMAP and the Contractor for changes in scope, time and/or costs. No amendments are effective until there is a written agreement that has been signed by both parties. No claim by the Contractor for equitable adjustment hereunder shall be allowed if asserted after final payment under this Agreement.
 - f) Changes to any portion of this Agreement shall not be binding upon CMAP except when specifically confirmed in writing by an authorized representative of CMAP.
 - g) Only the Executive Director of CMAP, or designee, shall have the authority to act for and exercise any of the rights of CMAP as set forth in this Agreement, subsequent to and in accordance with the authority granted by CMAP's Board of Directors
 - h) For its convenience, CMAP reserves the right to extend the Term of this agreement. Any changes to the Term of this Agreement shall not be binding until specifically confirmed in writing by authorized representatives of both parties.
- 2) Independent Contractor. Contractor's relationship to CMAP in the performance of this Agreement is that of an independent contractor. Contractor's personnel performing work under this Agreement shall at all times be under Contractor's exclusive direction and control and shall be employees of Contractor and not employees of CMAP. Contractor shall pay all wages, salaries and other amounts due its employees in connection with this Agreement and shall be responsible for all reports and obligations respecting them, including, but not limited to, social security, income tax withholding, and unemployment compensation, workers ' compensation insurance and similar matters.
- 3) Assignment.
- a. This agreement shall be binding upon, and inure to the benefit of, the respective successors, assigns, heirs, and personal representatives of CMAP and Contractor. Any successor to the Contractor's rights under this Agreement must be approved by CMAP unless the transaction is specifically authorized under federal law. Any successor will be required to accede to all the terms, conditions and requirements of the Agreement as a condition precedent to such succession.
 - b. The Contractor shall not assign any interest in this Agreement and shall not transfer any interest in the same (whether by assignment or novation), without the prior written consent of CMAP hereto,

provided, however, that claims for money due or to become due to the Contractor from CMAP under this Agreement may be assigned to a bank, trust company or other financial institution without such approval. Notice of any such assignment or transfer shall be furnished to CMAP.

4) Availability of Appropriation (30 ILCS 500/20-60). This Agreement is contingent upon and subject to the availability of funds. CMAP, at its sole option, may terminate or suspend this Agreement, in whole or in part, without penalty or further payment being required, if the Illinois General Assembly, the state funding source, or the federal funding source fails to make an appropriation sufficient to pay such obligation, or if funds needed are insufficient for any reason. The contractor will be notified in writing of the failure of appropriation or of a reduction or decrease.

5) Allowable Charges. No expenditures or charges shall be included in the cost of the Project and no part of the money paid to the Contractor shall be used by the Contractor for expenditures or charges that are: (i) contrary to provisions of this Agreement or the latest budget approved by a duly-authorized official of CMAP; (ii) not directly for carrying out the Project; (iii) of a regular and continuing nature, except that of salaries and wages of appointed principal executives of the Contractor who have not been appointed specifically for the purposes of directing the Project, who devote official time directly to the Project under specific assignments, and respecting whom adequate records of the time devoted to and services performed for the Project are maintained by the Contractor may be considered as proper costs of the Project to the extent of the time thus devoted and recorded if they are otherwise in accordance with the provisions hereof; or (iv) incurred without the consent of CMAP after written notice of the suspension or termination of any or all of CMAP's obligations under this Agreement.

6) Method of Payment.

Project expenditures are paid directly from federal and/or state funds. Because CMAP is responsible for obtaining federal reimbursement for project expenditures, it is necessary that CMAP monitor all procedures and documents which will be used to claim and support project-related expenditures. The following procedures should be observed to secure payment:

- b) Based on services performed, CONTRACTOR may submit invoices as frequently as once a month, but is required to submit invoices no later than fifteen (15) days after the end of each quarter. Failure to submit such payment request timely will render the amounts billed an unallowable cost for which the CONTRACTOR cannot be reimbursed. CMAP is committed to reducing paper use and has established an electronic invoicing system. All invoices are to be submitted through email to:

accounting@cmap.illinois.gov

All invoices shall be signed by an authorized representative of the CONTRACTOR

- c) Subject to the conditions of this Agreement, CMAP will honor invoices in amounts deemed by it to be proper to insure the carrying out of the approved scope of services and shall be obligated to pay the Contractor such amounts as may be approved by CMAP. Invoices shall detail expenses and amount of time spent on CMAP assignments. If an invoice is not acceptable, CMAP shall promptly provide the Contractor a written statement regarding its ineligibility or deficiencies to be eliminated prior to its acceptance and processing. All invoices for services performed and expenses incurred by CONTRACTOR for the services of this Agreement must be presented to CMAP no later than fifteen (15) days after the end of this Agreement. Notwithstanding any other provision of this Agreement, CMAP shall not be obligated to make payment to CONTRACTOR on invoices presented after said date. No payments will be made for services performed prior to the effective date of this Agreement. All payments will be transferred electronically to Contractor's business bank account. The successful Contractor will be requested to provide transfer numbers for the business bank account when the contract is finalized, in addition to a copy of its IRS W-9 (Request for Taxpayer Identification Number and Certification).

- d) Each invoice and report submitted must contain: the contract number, a unique vendor invoice number, a description of the services performed, the hourly rates and number of hours worked for each contractor, an itemization of travel and other costs which are chargeable to the contract and the following certification by an official authorized to legally bind the CONTRACTOR:

By signing this payment request, I certify that to the best of my knowledge and belief that the payment request is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of this contract. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

- e) The Contractor is required to pay all subcontractors within thirty days of receiving payment for that portion of the work from CMAP. Failure to pay subcontractors within thirty days may jeopardize future CMAP contract awards.
- 7) Conflict of Interest. In order to avoid any potential conflict of interest, the Contractor agrees during the term of this Agreement not to undertake any activities which could conflict directly or indirectly with the interest of CMAP. Contractor shall immediately advise CMAP of any such conflict of interest. CMAP shall make the ultimate determination as to whether a conflict of interest exists.
- 8) Audits. The records and supportive documentation for all completed projects are subject to an on-site audit by CMAP. CMAP reserves the right to inspect and review, during normal working hours, the work papers of the CONTRACTOR in support of their invoices.
- 9) Access to Records.
- a. The Contractor and its Subcontractor, under this Agreement shall preserve and produce upon request of the authorized representatives of CMAP all data, records, reports, correspondence and memoranda of every description of the CONTRACTOR and its Subcontractors, if any, under this Agreement relating to carrying out this Agreement for the purposes of an audit, inspection or work review for a period of three (3) years after completion of the project, except that:
- i. If any litigation, claim or audit is started before the expiration of three-year period, the records shall be retained until all litigation, claims or audit findings involving the records have been resolved.
- ii. Records for nonexpendable property acquired with federal funds shall be retained for three (3) years after its final disposition.

The CONTRACTOR shall include a provision in all of its subcontracts, if any, such provisions.

- 10) Subcontracts.
- a. Any subcontractors or outside associates or contractors required by the Contractor in connection with the services covered by this Agreement will be limited to such individuals or firms as were specifically identified and agreed to during negotiations. Any substitutions in or additions to such subcontractors, associates or contractors will be subject to the prior approval of CMAP.
- b. All subcontracts for work under this Agreement shall contain those applicable provisions which are required in this Agreement.
- c. The Contractor may not subcontract services agreed to under this Agreement without prior written approval of CMAP.
- 11) Equipment Inventory. An inventory of non-expendable personal property having a useful life of more

than two years and an acquisition cost of \$500 or more is subject to periodic inspection by CMAP.

12) Suspension. If the CONTRACTOR fails to comply with the special conditions and/or the general terms and conditions of this Agreement, CMAP may, after written notice to the CONTRACTOR, suspend the Agreement and withhold further payments or prohibit the CONTRACTOR from incurring additional obligations of funds pending corrective action by the CONTRACTOR. If corrective action has not been completed within sixty (60) calendar days after service of written notice of suspension, CMAP shall notify the CONTRACTOR in writing that the Agreement has been terminated by reason of default in accordance with paragraph 14 hereof. CMAP may determine to allow such necessary and proper costs which the CONTRACTOR could not reasonably avoid during the period of suspension provided such costs meet the provisions of the U.S. Office Management and Budget 2 CFR 200 in effect on the date first above written.

13) Termination.

- a. This Agreement may be terminated in whole or in part in writing by either party in the event of substantial failure (hereinafter termed "Termination by Default") by the other party to fulfill its obligations under this Agreement through no fault of the terminating party, provided that no such termination may be affected unless the other party is given (i) not less than seven (7) calendar days written notice (delivered by certified mail, return receipt requested) of intent to Termination by Default, and (ii) an opportunity for consultation with the terminating party prior to Termination by Default.
- b. This Agreement may be terminated in whole or in part in writing by CMAP for its convenience (hereinafter termed "Termination for Convenience"), provided that the CONTRACTOR is given not less than seven (7) calendar days written notice (delivered by certified mail, return receipt requested) of intent to terminate.
- c. If Termination by Default is effected by CMAP, an equitable adjustment in the price provided for in this Agreement shall be made, but (i) no amount shall be allowed for anticipated profit on unperformed services or other work, and (ii) any payment due to the CONTRACTOR at the time of termination may be adjusted to the extent of any additional costs occasioned to CMAP by reason of the CONTRACTOR'S default. If Termination by Default is effected by the CONTRACTOR, or if Termination for Convenience is effected by CMAP, the equitable adjustment shall include a reasonable profit for services or other work performed. The equitable adjustment for any termination shall provide payment to the CONTRACTOR for services rendered and expenses incurred prior to termination, in addition CMAP may include cost reasonably incurred by the CONTRACTOR relating to commitments which had become firm prior to termination.
- d. Upon notice of termination action pursuant to paragraphs (a) or (b) of this clause, the CONTRACTOR shall (i) promptly discontinue all services affected (unless the notice directs otherwise) and (ii) deliver or otherwise make available to CMAP all data, drawings, specifications, reports, estimates, summaries and such other information and materials as may have been accumulated by the CONTRACTOR in performing this Agreement, whether completed or in process.
- e. Upon termination pursuant to paragraphs (a) or (b) of this clause, CMAP may take over the work and prosecute the same to completion by agreement with another party otherwise.
- f. In the event the CONTRACTOR must terminate this Agreement due to circumstances beyond its control, the termination shall be deemed to have been effected for the convenience of CMAP. In such event, adjustment of the price provided for in this Agreement shall be made as provided in paragraph c of this clause.

14) Patents and Copyright Responsibility.

- a. The Contractor agrees that any material or design specified by the Contractor or supplied by the Contractor pursuant to this Agreement shall not infringe any patent or copyright and the Contractor

shall be solely responsible for securing any necessary licenses required for patented or copyrighted material used by the Contractor.

- b. If any claim is brought against CMAP by third parties for alleged infringement of third-party patent and copyright and intellectual rights, which claim is caused by breach of the Contractor's promise as contained in paragraph a of this clause, the Contractor shall save harmless and indemnify CMAP from all loss, damage or expense (including attorney's fees) due to defending CMAP from such claim.
- a. If the principal purpose of this Agreement is to create, develop or improve products, processes or methods; or to explore into fields which directly concern public health, safety or welfare, or if the Project is in a field of science or technology in which there has been little significant experience outside of work funded by federal assistance; and any discovery or invention arises or is developed in the course of or under this Agreement, such invention or discovery shall be subject to the reporting and rights provisions of U.S. Office of Management and Budget Circular No. A-102, and to the pertinent regulations of the grantor agency(ies) in effect on the date of execution of this Agreement. The Contractor shall include provisions appropriate to effectuate the purpose of this condition in all subcontracts under this Agreement involving research, developmental, experimental or demonstration work.
- c. Remedies. Except as may be otherwise provided in this Agreement, all claims, counterclaims, disputes and other matters in question between CMAP and the CONTRACTOR arising out of or relating to this Agreement or the breach thereof will be decided by arbitration. If the parties hereto mutually agree, a request for remedy may be sought from a court of competent jurisdiction within the State of Illinois, County of Cook.
- d. Ownership of Documents/Title of Work. All documents, data and records produced by the Contractor in carrying out the Contractor's obligations and services hereunder, without limitation and whether preliminary or final, shall become and remain the property of CMAP. CMAP shall have the right to use all such documents, data and records without restriction or limitation and without additional compensation to the Contractor. All documents, data and records utilized in performing research shall be available for examination by CMAP upon request. Upon completion of the services hereunder or at the termination of this Agreement, all such documents, data and records shall, at the option of CMAP, be appropriately arranged, indexed and delivered to CMAP by the Contractor.
- e. Software. All software, related computer programs, and source code produced and developed by the Contractor (or authorized contractor or subcontractor thereof) in carrying out the Contractor's obligation hereunder, without limitation and whether preliminary or final, shall become and remain the property of both CMAP and the Contractor. CMAP shall be free to sell, give, offer or otherwise provide said software and related computer programs to any other agency, department, commission, or board of the State of Illinois, as well as any other agency, department, commission, board, or other governmental entity of any country, state, county, municipality, or any other unit of local government or to any entity consisting of representative of any unit of government, for official use by said entity. Additionally, CMAP shall be free to offer or otherwise provide said software and related computer programs to any current or future contractor.

CMAP agrees that any entity to whom the software and related computer programs will be given, sold or otherwise offered shall be granted only a use license, limited to use for official or authorized purposes, and said entity shall otherwise be prohibited from selling, giving or otherwise offering said software and related computer programs without the written consent of both CMAP and the Contractor.

- 15) Publication. CMAP shall have royalty-free, nonexclusive and irrevocable license to reproduce, publish, disclose, distribute, and otherwise use, in whole or in part, any reports, data or other materials specifically prepared under this Agreement, and to authorize other material to do so.

The Contractor shall include provisions appropriate to effectuate the purpose of this clause in all subcontracts for work under this Agreement.

- 16) Confidentiality Clause. Any documents, data, records, or other information given to or prepared by the CONTRACTOR pursuant to this Agreement shall not be made available to any individual or organization without prior written approval by CMAP. All information secured by the Contractor from CMAP in connection with the performance of services pursuant to this Agreement shall be kept confidential unless disclosure of such information is approved in writing by CMAP.
- 17) Reporting/Consultation. The Contractor shall consult with and keep CMAP fully informed as to the progress of all matters covered by this Agreement.
- 18) Identification of Documents. All reports, maps, and other documents completed as part of this Agreement, other than documents exclusively for internal use within the Contractor's offices, shall carry the following notation on the front cover or a title page or, in the case of maps, in the same area which contains the name of CMAP and of the Contractor. "This material was prepared in consultation with CMAP, the Chicago Metropolitan Agency for Planning, (<http://www.cmap.illinois.gov>)."
- 19) Force Majeure. Either party shall be excused from performing its obligations under this Agreement during the time and to the extent that it is prevented from performing by a cause beyond its control including, but not limited to: any incidence of fire, flood; acts of God; commandeering of material, products, plants or facilities by the Federal, state or local government; national fuel shortage; or a material act of omission by the other party; when satisfactory evidence of such cause is presented to the other party, and provided further that such nonperformance is unforeseeable, beyond the control and is not due to the fault or negligence of the party not performing.
- 20) Hold Harmless and Indemnity. Neither Party shall be liable for actions chargeable to the other party under this agreement including but not limited to, the negligent acts and omissions of the Party's agents, employees or subcontractors in performance of their duties as described under this agreement, unless such liability is imposed by law. This agreement shall not be constructed as seeking to enlarge or diminish any obligation of duty owed by one Party against the other or against a third party.

SECTION 6: Certifications

Federally Funded Agreements

- 1) Standard Assurances. The Contractor assures that it will comply with all applicable federal statutes, regulations, executive orders, Federal Transit Administration (FTA) circulars, and other federal requirements in carrying out any project supported by federal funds. The Contractor recognizes that federal laws, regulations, policies, and administrative practices may be modified from time to time and those modifications may affect project implementation. All contracts, whether funded in whole or in part with either Federal or State funds, are subject to Federal requirements and regulations, including but not limited to 2 CFR Part 200, 44 Ill. Admin. Code 7000.30(b) and the Financial Management Standards in Paragraph 7.9.
- 2) Control of Property. The Contractor certifies that the control, utilization and disposition of property or equipment acquired using federal funds is maintained according to the provisions of 2 CFR Part 200, Subpart D, Property Standards.

- 3) Cost Principles The Contractor certifies that the cost principles and indirect cost proposals of this Agreement are consistent with 2 CFR Part 200, Subpart E, and Appendix VII to Part 200, and all costs included in this Agreement are allowable under 2 CFR Part 200, Subpart E.
- 4) Audit Requirements. The CONTRACTOR shall be subject to the audit requirements contained in the Single Audit Act Amendments of 1996 (31 USC 7501-7507) and Subpart F of 2 CFR Part 200, and the audit rules set forth by the Governor's Office of Management and Budget. See 30 ILCS 708/65(c).
 - a. Audit required. A non-Federal entity that expends \$750,000 or more during the non-Federal entity's fiscal year in Federal awards must have a single or program-specific audit conducted for that year.
 - b. Single audit. If A non-Federal entity expends \$750,000 or more in Federal Awards (direct federal and federal pass-through awards combined) during its fiscal year, it must have a single audit or program-specific audit conducted for that year as required in 2 CFR 200.501 and other applicable sections of Subpart F. The audit and reporting package (including data collection form) must be completed as described in 2 CFR 200.512 (single audit) or 2 CFR 200.507 (Program-specific audit). The audit (and package) must be submitted to Grantor either within (i) 30 calendar days after receipt of the auditor's report(s) or (ii) nine months after the end of the audit period, whichever is earlier.
 - c. Financial Statement Audit. A non-Federal entity that expends less than \$750,000 in Federal Awards during its fiscal year and is not subject to the audit requirements in 15.2, but receives between \$300,000 and \$499,999 in Federal and State Awards combined, Grantee must have a financial statement audit conducted in accordance with Generally Accepted Auditing Standards(GAAS); if Grantee expends between \$500,000 and \$749,999 in Federal and State awards combined, Grantee must have a financial statement audit conducted in accordance with Generally Accepted Government Auditing Standards (GAGAS). Grantee shall submit these financial statement audit reports to Grantor either within (i) 30 calendar days after receipt of the auditor's report(s) or (ii) 180 calendar days after the end of the audit period, whichever is earlier.
 - d. Performance Audits. For those organizations required to submit an independent audit report, the audit is to be conducted by the Illinois Auditor General, or a Certified Public Accountant or Certified Public Accounting Firm licensed in the State of Illinois. For audits required to be performed subject to Generally Accepted Government Auditing Standards, Grantee shall request and maintain on file a copy of the auditor's most recent peer review report and acceptance letter.
- 5) Intelligent Transportation Systems Program. As used in this assurance, the term Intelligent Transportation Systems (ITS) project is defined to include any project that in whole or in part finances the acquisition of technologies or systems of technologies that provide or significantly contribute to the provision of one or more ITS user services as defined in the "National ITS Architecture."
 - a. In accordance with 23 U.S.C. 517(d), as amended by the Moving Ahead for Progress in the 21st Century Act (MAP-21), the Contractor assures it will comply with all applicable requirements of Section V (Regional ITS Architecture and Section VI (Project Implementation)) of FTA Notice, "FTA National ITS Architecture Policy on Transit Projects," at 66 *Fed. Reg.* 1455 *et seq.*, January 8, 2001, and other FTA requirements that may be issued in connection with any ITS project it undertakes financed with Highway Trust Funds (including funds from the

- mass transit account) or funds made available for the Intelligent Transportation Systems Program.
- b. With respect to any ITS project financed with Federal assistance derived from a source other than Highway Trust Funds (including funds from the Mass Transit Account) or 23 U.S.C. 517(d), the Contractor assures that it will use its best efforts to ensure that any ITS project it undertakes will not preclude interface with other intelligent transportation systems in the Region.
- 6) Davis-Bacon Act. To the extent applicable, the Contractor will comply with the Davis-Bacon Act, as amended, 40 U.S.C. 3141 *et seq.*, the Copeland "Anti-Kickback" Act, as amended, 18 U.S.C. 874, and the Contract Work Hours and Safety Standards Act, as amended, 40 U.S.C. 3701 *et seq.*, regarding labor standards for federally assisted subagreements.

7) Certifications and Assurances Required by the U.S. Office of Management and Budget (OMB) (SF-424B and SF-424D).

As required by OMB, the Contractor certifies that it:

1. Has the legal authority and the institutional, managerial, and financial capability to ensure proper planning, management, and completion of the project.
2. Will give the U.S. Secretary of Transportation, the Comptroller General of the United States, and, if appropriate, the state, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives;
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest or personal gain;
4. Will initiate and complete the work within the applicable project time periods;
5. Will comply with all applicable Federal statutes relating to nondiscrimination including, but not limited to:
 - i. Title VI of the Civil Rights Act, 42 U.S.C. 2000d, which prohibits discrimination on the basis of race, color, or national origin;
 - ii. Title IX of the Education Amendments of 1972, as amended, 20 U.S.C. 1681 through 1683, and 1685 through 1687, and U.S. DOT regulations, "Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance," 49 CFR Part 25, which prohibit discrimination on the basis of sex;
 - iii. Section 504 of the Rehabilitation Act of 1973, as amended, 29 U.S.C. 794, which prohibits discrimination on the basis of handicap;
 - iv. The Age Discrimination Act of 1975, as amended, 42 U.S.C. 6101 through 6107, which prohibits discrimination on the basis of age;
 - v. The Drug Abuse, Prevention, Treatment and Rehabilitation Act, Public Law 92-255, and amendments thereto, 21 U.S.C. 1101 *et seq.* relating to nondiscrimination on the basis of drug abuse;
 - vi. The Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, Public Law 91-616, and amendments thereto, 42 U.S.C. 4541 *et seq.* relating to nondiscrimination on the basis of alcohol abuse or alcoholism;
 - vii. The Public Health Service Act of 1912, as amended, 42 U.S.C. 290dd-2 related to confidentiality of alcohol and drug abuse patient records;
 - viii. Title VIII of the Civil Rights Act, 42 U.S.C. 3601 *et seq.*, relating to nondiscrimination in the sale, rental, or financing of housing;
 - ix. Any other nondiscrimination provisions in the specific statutes under which Federal assistance for the project may be provided including, but not limited, to 49 U.S.C. 5332, which prohibits discrimination on the basis of race, color, creed, national origin, sex, or age, and prohibits discrimination in employment or business opportunity, and Section 1101(b) of the Transportation Equity Act for the 21st Century, 23 U.S.C. 101 note, which provides for

- participation of disadvantaged business enterprises in FTA programs; and
- 6. Any other nondiscrimination statute(s) that may apply to the project.
- i. The prohibitions against discrimination on the basis of disability, as provided in the Americans with Disabilities Act of 1990, as amended, 42 U.S.C. 12101 *et seq.*
- 7. Will comply with all federal environmental standards applicable to the project, including but not limited to:
 - a. Institution of environmental quality control measures under the National Environmental Policy Act of 1969 and Executive Order 11514;
 - b. Notification of violating facilities pursuant to Executive Order 11738;
 - c. Protection of wetlands pursuant to Executive Order 11990;
 - d. Evaluation of flood hazards in floodplains in accordance with Executive Order 11988;
 - e. Assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972, 16 U.S.C. 1451 *et seq.*;
 - f. Conformity of federal Actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended, 42 U.S.C. 7401 *et seq.*;
 - g. Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended;
 - h. Protection of endangered species under the Endangered Species Act of 1973, as amended;
 - i. Contractor will comply with the environmental protections for Federal transportation programs, including, but not limited to, protections for parks, recreation areas, or wildlife or waterfowl refuges of national, State, or local significance or any land from a historic site of national, State, or local significance to be used in a transportation Project, as required by 49 U.S.C. 303 (also known as "Section 4f");
 - j. The Wild and Scenic Rivers Act of 1968, 16 U.S.C. 1271 *et seq.*, which relates to protecting components or potential components of the national wild scenic rivers system; and Environmental impact and related procedures pursuant to 23 C.F.R. Part 771.
- 8) Will comply with all other federal statutes applicable to the project, including but not limited to:
 - a. As provided by the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970, as amended (Uniform Relocation Act), 42 U.S.C. 4601 *et seq.*, and 49 U.S.C. 5323(b), regardless of whether Federal funding has been provided for any of the real property acquired for Project purposes, Contractor:
 - i) will provide for fair and equitable treatment of any displaced persons, or any persons whose property is acquired as a result of federally-funded programs,
 - ii) has the necessary legal authority under State and local laws and regulations to comply with: The Uniform Relocation Act. 42 U.S.C. 4601 *et seq.*, as specified by 42 U.S.C. 4630 and 4655, and U.S. DOT regulations, "Uniform Relocation Assistance and Real Property Acquisition for Federal and Federally Assisted Programs," 49 CFR part 24, specifically 49 CFR 24.4, and
 - iii) has complied with or will comply with the Uniform Relocation Act and implementing U.S. DOT regulations because:
 - iv) will adequately inform each affected person of the benefits, policies, and procedures provided for in 49 CFR part 24,
 - v) As required by 42 U.S.C. 4622, 4623, and 4624, and 49 CFR part 24, if an FTA-funded Project results in displacement, it will provide fair and reasonable relocation payments and assistance to:
 - 1. Displaced families or individuals, and
 - 2. Displaced corporations, associations, or partnerships,
 - vi) As provided by 42 U.S.C. 4625 and 49 CFR part 24, it will provide relocation assistance programs offering the services described in the U.S. DOT regulations to such:
 - 1. Displaced families and individuals, and
 - 2. Displaced corporations, associations, or partnerships,
 - vii) As required by 42 U.S.C. 4625(c)(3), within a reasonable time before displacement, it will make available comparable replacement dwellings to families and individuals,
 - viii) Contractor:

1. Carry out the relocation process to provide displaced persons with uniform and consistent services, and
 2. Make available replacement housing in the same range of choices with respect to such housing to all displaced persons regardless of race, color, religion, or national origin,
- ix) It will be guided by the real property acquisition policies of 42 U.S.C. 4651 and 4652,
 - xi) will pay or reimburse property owners for their necessary expenses as specified in 42 U.S.C. 4653 and 4654, understanding that FTA will provide Federal funding for its eligible costs for providing payments for those expenses, as required by 42 U.S.C. 4631,
 - xii) will execute the necessary implementing amendments to FTA-funded third party contracts and subagreements,
 - xiii) will execute, furnish, and be bound by such additional documents as FTA may determine necessary to effectuate or implement these assurances,
 - xiv) will incorporate these assurances by reference into and make them a part of any third party contract or subagreement, or any amendments thereto, relating to any FTA-funded Project involving relocation or land acquisition, and
 - xv) will provide in any affected document that these relocation and land acquisition provisions must supersede any conflicting provisions;
 - (1) The Hatch Act, 5 U.S.C. 1501 – 1508, 7324 – 7326, which limits the political activities of State and local agencies and their officers and employees whose primary employment activities are financed in whole or part with Federal funds, including a Federal Loan, Grant Agreement, or Cooperative Agreement, and
 - (2) 49 U.S.C. 5323(l)(2) and 23 U.S.C. 142(g), which provide an exception from Hatch Act restrictions for a nonsupervisory employee of a public transportation system (or of any other agency or entity performing related functions) receiving FTA funding appropriated or made available for 49 U.S.C. chapter 53 and 23 U.S.C. 142(a)(2) to whom the Hatch Act does not otherwise apply,
 - k. The Flood Disaster Protection Act of 1973, which requires the purchase of flood insurance in certain instances;
 - l. Section 106 of the National Historic Preservation Act of 1966, as amended, 16 U.S.C. 470;
 - m. Executive Order 11593, which relates to identification and protection of historic properties;
 - n. The Archaeological and Historic Preservation Act of 1974, 16 U.S.C. 469a-1 et seq.;
 - o. The Laboratory Animal Welfare Act of 1966, as amended, 7 U.S.C. 2131 et seq., which relates to the care, handling, and treatment of warm-blooded animals held for research, teaching, or other activities supported by a federal award of assistance;
 - p. The Lead-Based Paint Poisoning Prevention Act, 42 U.S.C. 4801 et seq., which relates to prohibiting the use of lead-based paint in construction or rehabilitation of residence structures;
 - q. The Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations"; and
 - r. Use of parks, recreation areas, wildlife and waterfowl refuges, and historic sites pursuant to 23 C.F.R. Part 774 (Section 4(f) requirements); and
 - b. Contractor will, to the extent applicable, comply with the protections for human subjects involved in research, development, and related activities supported by Federal funding of:
 - (1) The National Research Act, as amended, 42 U.S.C. 289 et seq., and
 - (2) U.S. DOT regulations, "Protection of Human Subjects," 49 CFR part 11.

- 9) Energy Conservation. To the extent applicable, the Contractor and its third party Contractors at all tiers shall comply with mandatory standards and policies relating to energy efficiency that are contained in applicable state energy conservation plans issued in compliance with the Energy Policy and Conservation Act, 42 U.S.C. Section 6321 et seq.

- 10) Eligibility For Employment In The United States. The Contractor shall complete and keep on file, as appropriate, Immigration and Naturalization Service Employment Eligibility Forms (I-9). These forms shall be used by the Contractor to verify that persons employed by the Contractor are eligible to work in the United States.
- 11) Buy America. As set forth in 49 U.S.C 5323(j) and 49 C.F.R. Part 661, only steel, iron and manufactured products produced in the United States may be purchased with Federal funds unless the Secretary of Transportation determines that such domestic purchases would be inconsistent with the public interest; that such materials are not reasonably available and of satisfactory quality; or that inclusion of domestic materials will increase the cost of overall project contract by more than 25 percent. Clear justification for the purchase of non-domestic items must be in the form of a waiver request submitted to and approved by the Secretary of Transportation.
- 12) False Or Fraudulent Statements Or Claims. The CONTRACTOR acknowledges that if it makes a false, fictitious, or fraudulent claim, statement, submission, or certification to CMAP in connection with this Agreement, CMAP reserves the right to impose on the Contractor the penalties of 18 U.S.C. Section 1001, 31 U.S.C. Section 3801, and 49 CFR Part 31, as CMAP may deem appropriate. Contractor agrees to include this clause in all state and federal assisted contracts and subcontracts.
- 13) Changed Conditions Affecting Performance. The CONTRACTOR shall immediately notify CMAP of any change in conditions or local law, or of any other event which may significantly affect its ability to perform the Project in accordance with the provisions of this Agreement.
- 14) Third Party Disputes Or Breaches. The CONTRACTOR agrees to pursue all legal rights available to it in the enforcement or defense of any third party contract, and FTA or U.S. DOT and CMAP reserve the right to concur in any compromise or settlement of any third party contract claim involving the Contractor. The Contractor will notify FTA or U.S. DOT and the CMAP of any current or prospective major dispute pertaining to a third party contract. If the Contractor seeks to name CMAP as a party to the litigation, the Contractor agrees to inform both FTA or U.S. DOT and CMAP before doing so. CMAP retains a right to a proportionate share of any proceeds derived from any third party recovery. Unless permitted otherwise by the CMAP, the Contractor will credit the Project Account with any liquidated damages recovered. Nothing herein is intended to nor shall it waive U.S. DOT's, FTA's or the CMAP's immunity to suit.
- 15) Fly America. The CONTRACTOR will comply with 49 U.S.C. §40118, 49 CFR §52 and U.S. GAO Guidelines B- 138942, 1981 U.S. Comp. Gen. LEXIS 2166, March 31, 1981 regarding costs of international air transportation by U.S. Flag air carriers.
- 16) Non-Waiver. The CONTRACTOR agrees that in no event shall any action or inaction on behalf of or by CMAP, including the making by CMAP of any payment under this Agreement, constitute or be construed as a waiver by CMAP of any breach by the Contractor of any terms of this Agreement or any default on the part of the Contractor which may then exist; and any action, including the making of a payment by CMAP, while any such breach or default shall exist, shall in no way impair or prejudice any right or remedy available to CMAP in respect to such breach or default. The remedies available to CMAP under this Agreement are cumulative and not exclusive. The waiver or exercise of any remedy shall not be construed as a waiver of any other remedy available hereunder or under general principles of law or equity.
- 17) Preference for Recycled Products. To the extent applicable, the Contractor agrees to give preference to the purchase of recycled products for use in this Agreement pursuant to the various U.S. Environmental Protection Agency (EPA) guidelines, "Comprehensive Procurement Guidelines for Products Containing Recovered Materials," 40 CFR Part 247, which implements section 6002 of the Resource Conservation and Recovery Act, as amended, 42 U.S.C. § 6962.

- 18) Cargo Preference. Use of United States Flag Vessels. The Contractor agrees to comply with 46 U.S.C. § 55305 and 46 CFR Part 381 and to insert the substance of those regulations in all applicable subcontracts issued pursuant to this Agreement, to the extent those regulations apply to this Agreement.
- 19) Performance measurement. The Contractor must relate financial data of this AGREEMENT to its performance accomplishments. Further, the Contractor must also provide cost information or a budget in Part 6 to demonstrate cost effective practices pursuant to 2 CFR Part 200.301.
- 20) Project closeout. Pursuant to CFR Part 200.343 thru 200.345, the Contractor must submit the required project deliverables, performance and financial reports, and all eligible incurred costs as specified in Parts 5 and 6, respectively, of this AGREEMENT no later than 90 days after the AGREEMENT's end date. Further, the Contractor agrees that the project should then be closed no later than 360 days after receipt and acceptance by CMAP of all required final reports.
- 21) Certification Regarding Annual Fiscal Reports or Payment Vouchers. The Contractor agrees to comply with 2 CFR Part 200.415(a) as follows: To assure that expenditures are proper and in accordance with the terms and conditions of the Federal award and approved project budgets, the annual and final fiscal reports or vouchers requesting payment under the agreements must include a certification, signed by an official who is authorized to legally bind the Contractor, which reads as follows: "By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812)."
- 22) Certifications: Both Parties, their employees and subcontractors under subcontract made pursuant to this Agreement, remain compliant with all applicable provisions of State and Federal laws, statutes and ordinances and all lawful orders, rules and regulations promulgated thereunder. Since laws, regulations, directives, etc. may be modified from time-to-time, the Contractor shall be responsible for compliance as modifications are implemented, to the extent that the certifications apply to the Contractor, pertaining to:
- a. Bribery. Pursuant to (30 ILCS 500/50-5);
 - b. Bid Rigging. Pursuant to (720 ILCS 500/33E- or 33E-4);
 - c. Debt to State. Pursuant to (30 ILCS 500/50-11);
 - d. Education Loan. Pursuant to (5 ILCS 385/1 *et seq.*);
 - e. International Boycott. Pursuant to U.S. Export Administration Act of 1979 or the applicable regulation of the U.S. Department of Commerce. This applies to contracts that exceed \$10,000 (15 CFR Part 730 through 774);
 - f. Forced Labor Act. Pursuant to (30 ILCS 583);
 - g. Dues and Fees to any club which unlawfully discriminates. Pursuant to (775 ILCS 25/1 *et seq.*);
 - h. Pro-Children Act. Pursuant to (20 USC 7181-7184) and the Goods from Child Labor Act (30 ILCS 584);
 - i. Drug-Free Work Place. Pursuant to (30 ILCS 580/3 and 41 USC 8102).
 - j. Clean Air Act and Clean Water Act. Pursuant to (42 USC §7401 *et seq.*) and the Federal Water Pollution Control Act, as amended (33 USC 1251 *et seq.*);
 - k. Debarment. Pursuant to (2 CFR 200.205(a)) or by the State (30 ILCS 708/25(6)(g));
 - l. Non-procurement Debarment and Suspension. Pursuant to (2 CFR Part 180 as supplemented by 2 CFR part 376, Subpart C);
 - m. Grant for the Construction of Fixed Works. This agreement is subject to the Illinois Prevailing Wage Act Pursuant to (820 ILCS 130/0.01 *et seq.*)
 - m. Health Insurance Portability and Accountability Act of 1996. Pursuant to Public Law No. 104-191

- (45 CFR Parts 160, 162, and 164 and the Social Security Act of, 42 USC 1320d-2 through 1320d- 7).
- n. Criminal Convictions. Pursuant to the Sarbanes-Oxley Act of 2002, nor a class 3 or Class 2 felony under Illinois Securities Law of 1953 or pursuant to (30 ILCS 500/50).
 - o. Illinois Use Tax. Pursuant to (30 ILCS 500/50);
 - p. Environmental Protection act Violations. Pursuant to (30 ILCS 500/50-14)
 - q. Federal Funding Accountability and Transparency Act of 2006 (31 USC 6101);
 - r. Motor Vehicle Law: Grantee certifies that it is in full compliance with the terms and provisions of the National Voter Registration Act of 1993 (52 USC 20501 *et seq*);
 - s. Goods from Child Labor Act. Pursuant to (30 ILCS 847);
- 23) Unlawful Discrimination. Compliance with Nondiscrimination Laws. Both Parties, their employees and subcontractors under subcontract made pursuant to this Agreement, remain compliant with all applicable provisions of State and Federal laws and regulations pertaining to nondiscrimination, sexual harassment and equal employment opportunity including, but not limited to, the following laws and regulations and all subsequent amendments thereto:
- a. The Illinois Human Rights Act (775 ILCS 5/1-101 *et seq.*), including, without limitation, 44 Ill. Admin. Code Part 750, which is incorporated herein;
 - b. The Public Works Employment Discrimination Act (775 ILCS 10/1 *et seq.*);
 - c. The United States Civil Rights Act of 1964 (as amended) (42 USC 2000a- and 2000h-6). (See also guidelines to Federal Financial Assistance Recipients Regarding Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons [Federal Register: February 18, 2002 (Volume 67, Number 13, Pages 2671-2685)]);
 - d. Section 504 of the Rehabilitation Act of 1973 (29 USC 794);
 - e. The Americans with Disabilities Act of 1990 (42 USC 12101 *et seq.*); and
 - f. The Age Discrimination Act (42 USC 6101 *et seq.*).
- 24) Political Activity. No portion of funds for this subcontract shall be used for any partisan political activity or to further the election or defeat of any candidate for public office.
- 25) EO 1-2007 Compliance: CONTRACTOR certifies that to the best of its knowledge, its subcontractors have complied with and will comply with Executive Order No. 1 (2007) (EO 1-2007). EO 1-2007 generally prohibits contractors and subcontractors from hiring the then-serving Governor's family members to lobby procurement activities to 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.
- 26) Prohibited Interest. No officer or employee of CMAP and no member of its governing body and no other public official of any locality in which the Project objectives will be carried out who exercises any functions or responsibilities in the review or approval of the undertaking or carrying out of such objectives shall (i) participate in any decision relating to any subcontract negotiated under this Agreement which affects his personal interest or the interest of any corporation, partnership or association in which he is, directly or indirectly, interested; or (ii) have any financial interest, direct or indirect, in such subcontract or in the work to be performed under such contract. No member of or delegate of the Illinois General Assembly or the Congress of the United States of America, and no federal Resident Commissioner, shall be admitted to any share hereof or to any benefit arising herefrom. The Contractor warrants and represents that no person or selling agency has been employed or retained to solicit or secure this Agreement, upon an agreement or understanding for a commission, percentage, bonus, brokerage or contingent fee, or gratuity, excepting its bona fide employees. For breach or violation of this warranty CMAP shall have the right to annul this Agreement without liability or, at its discretion,

to deduct from the Agreement price or consideration, or otherwise recover, the full amount of such commission, percentage bonus, brokerage or contingent fee, or gratuity. The Contractor will disclose all violations of criminal law involving fraud, bribery and gratuity violations. The Contractor's failure to comply shall constitute a material breach of this contract.

- 27) Compliance with Registration Requirements. The CONTRACTOR shall be registered with the Federal System for Award Management (SAM) and have a valid DUNS number. It is the CONTRACTOR'S responsibility to remain current with these registrations and requirements. If the CONTRACTOR'S status with regard to any of these requirements change, the CONTRACTOR must notify CMAP immediately.
- 28) Improper Influence. Grantee certifies that no Grant Funds have been paid or will be paid by or on behalf of Grantee to any person for influencing or attempting to influence an officer or employee of any government agency, a member of Congress or Illinois General Assembly, an officer or employee of Congress or Illinois General Assembly, or an employee of a member of Congress or Illinois General Assembly in connection with the awarding of any agreement, the making of any grant, the making of any loan, the entering into of any cooperative agreement, or the extension, continuation, renewal, amendment or modification of any agreement, grant, loan or cooperative agreement. 31 USC 1352. Additionally, Grantee certifies that it has filed the required certification under the Byrd Anti-Lobbying Amendment (31 USC 1352), if applicable.
- 29) Federal Form LLL. If any funds, other than Federally-appropriated funds, were paid or will be paid to any person for influencing or attempting to influence any of the above persons in connection with this Agreement, the undersigned must also complete and submit Federal Form LLL, Disclosure of Lobbying Activities Form, in accordance with its instructions.
- 30) Lobbying Costs. Grantee certifies that it is in compliance with the restrictions on lobbying set forth in 2 CFR Part 200.450. For any Indirect Costs associated with this Agreement, total lobbying costs shall be separately identified in the Program Budget, and thereafter treated as other Unallowable Costs.
- 31) Certification. This certification is a material representation of fact upon which reliance was placed to enter into this transaction and is a prerequisite for this transaction, pursuant to 31 USC 1352. Any person who fails to file the required certifications shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000, for each such failure.

All of the requirements listed in Part 6, paragraphs 1 through 31 apply to the federally funded project. The Contractor agrees to include these requirements in each contract and subcontract financed in whole or in part with federal assistance.

SECTION 6: Specific Provisions

- 1) Workers' Compensation. The State of Illinois Worker's Compensation Code requires the securing of workers' compensation by all non-state employers. The Submitter shall attest to understanding and complying with the State of Illinois Workers' Compensation Code requirement and submit a completed "Certificate Regarding Workers' Compensation Insurance," Attachment 2 to the RFP. In addition, the Submitter shall provide and maintain a waiver of subrogation endorsement in addition to listing CMAP as an additional insured.
- 2) FTA Certification Regarding Lobbying The Federal Transportation Authority (FTA) a source of funds for this project requires the Certification for Contracts, Grants, Loans, and Cooperative Agreements to be submitted with each bid or offer exceeding \$100,000. The Submitter shall attest to understanding and complying with the FTA Certification Regarding Lobbying (49 CRF PART 20) requirement and submit a completed "FTA Certification Regarding Lobbying" Attachment 4 to the RFP for any proposals which may or will exceed \$100,000.

- 3) Professional Liability Insurance. The CONTRACTOR agrees to purchase and maintain throughout the term of this Agreement professional liability/errors and omissions (if engineering, legal, accounting, consulting IT or similar professional services are provided). The limit of such coverage shall be no less than one million dollar (\$1,000,000) per claim/occurrence and shall name CMAP directors, officers and employees as additional insured under such policy.

**Contract Amendment and Concurrence Policy
This Applies to All Primary and Subcontractors**

1. A Request for Concurrence will be required for the following:
 - a. A change in a key person specified by the CMAP Project Manager when justifying the selection of the contracted vendor.
 - b. If the Vendor Project Manager disengages from the project for more than 3-months, or reduced the number of hours working on the project by 20% or greater.
2. An Amendment and revised Price Proposal Form will be needed for the following:
 - a. Any scope change – justification will be also be required
 - b. A staff title is added to the project – justification will also be required
 - c. The transfer of cost from any line item that exceeds 10% of that line item cost of \$1,000, whichever is greater.
 - d. The addition of any subcontractor not originally listed on the Price Proposal Form. Note: CMAP will need to seek concurrence from any third-party grantors prior to executing the amendment.

Attachment 1: Certificate Regarding Workers' Compensation Insurance

Certificate Regarding Workers' Compensation Insurance

In conformance with current statutory requirements of Section 820 ILCS 305/1 et. seq., of the Illinois Labor Code, the undersigned certifies as follows:

"I am aware of the provisions of Section 820 ILCS 305/1 of the Labor Code which require every employer to be insured against liability for Worker's Compensation or to undertake self-insurance in accordance with such provisions before commencing the performance of the work of this contract."

Bidder/Contactor _____

Signature _____

Name and Title _____

Date _____

Attachment 2: Bidder Information

The Bidder is required to supply the following information (if necessary, attach additional sheets for both the primary firm and any subcontractors):

Firm Name: _____ Contact Person: _____

Business Address: _____

Telephone: (____) _____ FAX: (____) _____ E-mail: _____

Years of Experience: _____

Type of Firm – Sole Proprietor, Partnership, Corporation, Joint Venture, Etc.: _____

Organized under the laws of state of: _____

Business License No.: _____ Business License Expiration Date: _____

DUNS No. _____ SAM Cage Code: _____

List names and addresses of owners of the firm or names and titles of officers of the corporation:

Client list of services rendered currently and/or in the recent past:

<u>Type of Service/Product</u>	<u>Date Completed</u>	<u>Name and Address of Client</u>	<u>Contact Name and Phone Number</u>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

DBE Information

Bidder hereby certifies that it (check one): ☐ IS ☐ IS NOT an eligible Disadvantaged Business Enterprise (DBE) as defined in 49 CFR 23). **If “IS” is checked, attach copy of document that certifies Bidder’s status as a DBE.**

IMPORTANT

All RFP responses without signed and dated Attachment 1 documents will be deemed unresponsive and will not be evaluated.

RFP responses without DUNS Numbers will be deemed unresponsive and will not be evaluated. All contracted vendors MUST have a valid and ACTIVE System for Award Management (SAM) CAGE Code. If your firm does not have a CAGE Code, please begin the process now at www.sam.gov and register your entity. There is no fee for this registration.

CMAP CANNOT LEGALLY ENTER INTO A CONTRACTURAL RELATIONSHIP WITHOUT A VALID, ACTIVE CAGE CODE.

Attachment 3: FTA Certification Regarding Lobbying

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

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for making lobbying contacts to an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form--LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions [as amended by "Government wide Guidance for New Restrictions on Lobbying," 61 Fed. Reg. 1413 (1/19/96). Note: Language in paragraph (2) herein has been modified in accordance with Section 10 of the Lobbying Disclosure Act of 1995 (P.L. 104-65, to be codified at 2 U.S.C. 1601, et seq.)]
- 3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31, U.S.C. § 1352 (as amended by the Lobbying Disclosure Act of 1995). Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

[Note: Pursuant to 31 U.S.C. § 1352(c)(1)-(2)(A), any person who makes a prohibited expenditure or fails to file or amend a required certification or disclosure form shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such expenditure or failure.]

The Contractor, certifies or affirms the truthfulness and accuracy of each statement of its certification and disclosure, if any. In addition, the Contractor understands and agrees that the provisions of 31 U.S.C. A 3801, et seq., apply to this certification and disclosure, if any.

Signature of Contractor's Authorized Official

Date

Name and Title of Contractor's Authorized
Official:

Attachment 4: Checklist of Services

1. Transportation

- ☐ 1a Review feasibility of recommendations
- ☐ 1b Develop recommended solutions in specific locations
- ☐ 1c Develop recommended solutions that build on plan recommendations
- ☐ 1d Develop generalized cost estimates
- ☐ 1e Review expected impact of planned infrastructure improvements on local conditions
- ☐ 1f Advise CMAP on transportation engineering issues

2. Stormwater and Flooding

- ☐ 2a Analyze stormwater and flooding conditions
- ☐ 2b Review the application and results of CMAP's stormwater analysis
- ☐ 2c Assist CMAP to develop recommended planning-level solutions
- ☐ 2d Develop generalized cost estimates for recommended stormwater improvements
- ☐ 2e Develop stormwater management plans
- ☐ 2f Advise CMAP or conduct technical analysis on stormwater and flood management issues

3. Water Supply

- ☐ 3a Support for water supply technical assistance program
- ☐ 3b Conduct water loss audits and develop water loss control plans
- ☐ 3c Conduct water rate studies
- ☐ 3d Planning, design, and engineering for water supply infrastructure projects
- ☐ 3e Advise CMAP on water supply issues

4. Water Quality

- ☐ 4a Water quality modeling
- ☐ 4b Advise CMAP on water quality issues

5. Capital Asset Assessment and Capital Improvement Planning

- ☐ 5a Infrastructure / asset assessment, management, and capital improvement planning

6. Municipal Finance and Administration

- ☐ 6a Assessment of municipal financial and administrative status, processes, and environment.

7. Other Civil Engineering Specialties not specifically outlined in the examples provided that the contractor would like to be considered for. Please list below: