



Chicago Metropolitan Agency for Planning

433 West Van Buren Street
Suite 450
Chicago, IL 60607

312-454-0400
cmap.illinois.gov

February 3, 2022

REQUEST FOR PROPOSALS (RFP) NO. 265

Regional Infrastructure Accelerator / P3 Program Management Consultant

The Chicago Metropolitan Agency for Planning (CMAP) is requesting proposals for a Regional Infrastructure Accelerator (RIA) / P3 Program Management Consultant as described in the enclosed Request for Proposals (RFP).

CMAP will conduct a non-mandatory pre-bid information webinar on Wednesday February 16, 2022, at 11:00 a.m. (Central Time). If your firm would like participant in the webinar, please visit on our the pre-bid [registration website](#). The deadline to register is Tuesday February 15, 2022, at 10:00 a.m. (Central Time) We kindly request that no more than three (3) individuals per firm attend.

Although, participation in the pre-bid discussion is non-mandatory it is offered to best understand the objective of the Build America Bureau's RIA program and the CMAP RIA and scope of services we are trying to accomplish. The questions and responses noted during the pre-bid discussion will be posted to the CMAP website.

If your team is qualified and experienced in performing the described services, CMAP would appreciate receiving your submission as indicated in the RFP. The deadline for responding to the RFP is Thursday, April 7th, 2022, at 3:00 p.m. (Central Time).

Thank you, and if you have any questions, please email me at pdubernat@cmap.illinois.gov.

Sincerely,

Penny DuBernat
Procurement Officer
pdubernat@cmap.illinois.gov

Enclosure

REQUEST FOR PROPOSALS (RFP) NO. 265

Regional Infrastructure Accelerator / P3 Program Management Consultant

The Chicago Metropolitan Agency for Planning (CMAP) invites consultants to submit proposals for its Regional Infrastructure Accelerator / Public-Private Partnership (P3) Program Management Consultant RFP, as described in this scope of work. Please read each section carefully for information regarding the proposal and submittal instructions.*

**P3 is defined as Design-Build-Finance, Design-Build-Finance-Maintain, Design-Build-Finance-Operate-Maintain. Please note that through this RFP, the terms 'innovative project delivery and financing' and 'public-private partnerships' (P3s) are used interchangeably.*

SECTION 1: INTRODUCTION

In September 2021, the Chicago Metropolitan Agency for Planning (CMAP) was awarded a 2-year, \$1 million, grant from the Build America Bureau's Regional Infrastructure Accelerator (RIA) grant program.

The objectives of the Chicago Metropolitan Agency for Planning Regional Infrastructure Accelerator (CMAP RIA) are to:

- Accelerate the development of bridge rehabilitations, electric vehicle and/or American with Disability Act (ADA) related infrastructure in Northeastern Illinois.
- Support CMAP and the region in building the capacity and culture to support innovative project delivery and financing / P3.
- Improve project development and contracting due diligence practices to mitigate cost and time overruns, achieve optimal risk transfer and improve contracting terms and administration.

To successfully deliver on these objectives, CMAP with the support of the Build America Bureau (the Bureau) aim to undertake the following activities:

- Convene our Regional Partners to establish the strategic mission, vision, and goals of the CMAP RIA.
- Educate our Regional Partners about the merits of P3s.
- Develop an initial project pipeline.
- Establish a CMAP P3 Regional Knowledge Center.
- Advance development of initial pipeline projects.
- Bring a CMAP RIA project to market.

To support the timely and successful completion of these activities, CMAP is also seeking technical, financial, and strategic communication expertise from an agile Program Management Consultant ('the Consultant'). The Consultant would be primarily involved in providing the following services, and deliverables:

- Facilitating innovative project delivery and financing / P3 workshops.
- Refining the P3 project screen.
- Assisting in the development and scoping of projects.
- Supporting the refinement of P3 processes, frameworks, methodologies, documentation, and tools
- Preparing a P3 Business Case and Implementation and Procurement Plan for a CMAP RIA project(s).



CMAQ staff and the Bureau will be providing technical assistance to the Consultant. Please refer to 'Section 4 – Scope of Services' for more detail.

Moving forward, CMAQ is seeking to use processes, documentation, and tools it develops under this RFP to create a CMAQ P3 Regional Knowledge Center to improve the range of support and services it provides to Regional Partners who are considering and/or pursuing the use of P3s.

SECTION 2: ABOUT CMAQ AND GENERAL INFORMATION

About CMAQ:

The Chicago Metropolitan Agency for Planning (CMAQ) is the Northeastern Illinois' metropolitan 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, transportation, and mobility. CMAQ has adopted core values, which are: lead with excellence, pursue equity, passion for public service, drive innovation and foster collaboration. These values guide all of the decisions taken by the agency and the CMAQ team. See www.cmap.illinois.gov for more information.

General Information:

As a result of responses to this RFP, CMAQ plans to evaluate the submissions and select a Consultant in accordance with the Evaluation Criteria set forth in 'Section 7 Submittal Requirements and Evaluation Criteria' of this RFP.

Subject to "Reservation of Rights" below, it is anticipated that a contract will be awarded for the work set forth in 'Section 4 – Scope of Services' of this RFP. The contract awarded will be for a period of up to two (2) years with possibility of extension for procurement and transactional support. Please refer to 'Section 4 – Scope of Services, Phase #3 Procurement and Transactional Support – OPTIONAL' of this RFP for more details.

The award of this RFP and subsequently the effective start date of services is contingent upon the final signing of the RIA grant agreement with the Federal Highways Administration (FHWA).

SECTION 3: PROJECT BACKGROUND

Build America Bureau:

The Build America Bureau (Bureau) is responsible for driving transportation infrastructure development projects in the United States through innovative financing programs. Its mission is to provide access to the Bureau's credit programs in a streamlined, expedient, and transparent manner. In accomplishing its mission, the Bureau also provides technical assistance and encourages innovative best practices in project planning, financing, delivery, and monitoring. The Bureau draws upon the full resources of the United States Department of Transportation (USDOT) to best utilize the expertise of its Operating Administrations while promoting a culture of innovation and customer service.

Regional Infrastructure Accelerator (RIA):

Section 1441 of the FAST Act authorized the establishment of the Regional Infrastructure Accelerators (RIA) Program to assist entities in developing improved infrastructure priorities and financing strategies for the accelerated delivery of a project that is eligible for funding under the Transportation Infrastructure Finance and Innovation Act of 1998 (TIFIA) program under Chapter 6 of Title 23, United States Code. The Department of Transportation Appropriations Act, 2020, appropriated \$5 Million for this Program.

The Bureau and the Federal Highway Administration (FHWA) have agreed that the Bureau would lead the implementation of the RIA Program and FHWA would administer the funding for it, pursuant to the execution of mutually agreed upon cooperative agreements between FHWA and the recipients.

To implement the RIA Program, the Bureau issued a Notice of Funding Opportunity (NOFO) on December 31, 2020, to solicit applications for designating and funding an RIA that will: 1) serve a defined geographic area; 2) act as a resource to qualified entities in the geographic area in accordance with Section 1441 of the FAST Act; and 3) demonstrate the effectiveness of an RIA to accelerate the delivery of eligible projects through the Bureau's innovative financing programs including the TIFIA credit program, and, to the extent applicable, the Railroad Rehabilitation and Improvement Financing credit program and Private Activity Bonds and other innovative financing methods.

The intent of this Program is to demonstrate and evaluate the viability and effectiveness of a small number of accelerators in expediting the development and delivery of specific transportation projects within the geographic area of each RIA designated by the Bureau. The Bureau is keenly interested in testing several RIA models to address needs based on common transportation infrastructure make-up and challenges within regions, particularly those with less capacity or experience in innovative financing and project delivery methods, and those supporting eligible entities that are likely to be first time users of the Bureau's credit programs, such as the TIFIA credit program.

The primary intent for the RIAs is to provide project-specific technical assistance for projects that are eligible for credit assistance through the Railroad Rehabilitation and Improvement Financing (RRIF) credit program and Private Activity Bonds (PABs). This assistance can be in the form of any of the following, based on the needs of the project(s) that the applicant proposes to assist: Project planning; Studies and analysis, including feasibility, market analysis, project costs, cost-benefit analysis, value for money, public benefit, economic assessments, and environmental reviews; Revenue forecasting, funding and financing options analyses, application of best practices, innovative financing/procurement, and public-private partnerships, where appropriate; Preliminary engineering and design work; Statutory and regulatory framework analyses; Evaluation of opportunities for private financing, project bundling and/or phasing; Enhancement of rural project sponsors' capacity to use the TIFIA credit program and to the extent applicable, the RRIF credit program, PABs, and other innovative financing methods, helping to bundle projects across multiple smaller jurisdictions to create a project at a scale that is more appropriate for the Bureau's credit assistance, and pool the jurisdictions' resources to apply for TIFIA credit assistance and, to the extent applicable, RRIF credit assistance and PABs, as well as leveraging USDOT's Rural Opportunities to Use Transportation for Economic Success (ROUTES) Initiatives' products and offerings; and Other direct, project-specific support as appropriate.

CMAQ RIA:

The CMAQ RIA \$1 million grant will assist in accelerating the development of projects through the use of innovative delivery and financing (e.g., Public-Private Partnerships), provide long-term value creation, and offer critical financial and technical assistance for needed Bridge Rehabilitations, Electric Vehicle Infrastructure and ADA transition projects across our region.

In addition, this federal funding will enable CMAP to convene and assist our state, county, and municipal partners with building the capacity and culture to support innovative project delivery and financing / P3 and incorporating new tools into a sustainable process for infrastructure project implementation that results in measurable benefits and value-for-money savings to the public.

The CMAP RIA will be part of the agency's existing organization structure and will serve as partnership among the region's counties (northeastern Illinois counties of Cook, DuPage, Kane, Kendall, Lake, McHenry, and Will), communities and Illinois Department of Transportation (IDOT) Districts 1 and 3 (**the CMAP RIA Partners, or Partners**) to facilitate a more efficient approach to addressing infrastructure needs. The CMAP RIA Partners share much more than borders. They face similar infrastructure funding and implementation challenges, but at the same time have a history of working together to resolve regional problems.

SECTION 4: SCOPE OF SERVICES

CMAP RIA will be operationalized in two phases. This section describes the two phases and their respective activities, services, and deliverables.

Phase 1 will stand up the CMAP RIA through the adoption of the CMAP RIA's Charter, Strategic Plan, the facilitation of innovative project delivery and financing / P3 workshops, the development of an initial pipeline of projects, the refinement of existing tools, lessons learned, best practices and guidelines to establish a CMAP P3 Regional Knowledge Center to support long-term innovative project delivery and financing / P3 opportunities in the region. **Phase 2**, will evaluate innovative delivery and financing / P3 options for specific projects that will result in the development of Business Case and Implementation and Procurement Plans.

Working with CMAP staff and the Bureau, the Consultant shall provide technical, financial, commercial procurement, legal (where applicable) and strategic communication expertise to ensure the successful and timely completion for Phase 1 and 2 activities, services, and deliverables as stated below.

Phase 1 – Definition and Start-Up

The initial steps in establishing the CMAP RIA will be to define the Mission, Vision, Goals and Governance through the development of the Charter and Strategic Plan with the CMAP RIA Partners. Based on preliminary internal discussions among CMAP RIA Partners, Phase 1 will include the following activities and services.

Activity #1: Serve as Convener to Establish the CMAP RIA

Convener: Identify interested partners within the region and establish a working group to launch the CMAP RIA. This will include educating and facilitating a series of meetings and workshops that will result in the working group's approval of the CMAP RIA Charter and Strategic Plan.

Consultant services / deliverables are expected to include, but not be limited to:

- Facilitate a Kick-off Meeting to review the objectives and goals of the RIA program.
- Facilitate Infrastructure Delivery and Financing / P3 Workshops Facilitate Workshops with CMAP RIA Partners.

- Assist in establishing a CMAP RIA Charter and Strategic Plan that formalizes the CMAP RIA's Mission, Vision and Goals

Activity #2: Serve as Project Identifier, Aggregator, and Gap Filler to Define the Initial Project Pipeline

Project Identifier: Work with the CMAP RIA Partners and the Bureau to create the initial pipeline of infrastructure projects (bridges, electric vehicle infrastructure, ADA-related infrastructure) that could potentially realize increased benefits from innovative delivery and financing approaches, including mechanisms offered through the Build America Bureau (TIFIA, RRIF, and PABs). This will involve identifying projects and documenting their status of pre-project development activities. Project details will include status of the environmental review, design, estimated cost, lead and partner agencies, and known planning, design, construction, and implementation risks/challenges, among others.

To facilitate the project screening process, the CMAP RIA will build off the draft framework for P3 project screening that IDOT developed over the last several years. This framework will be supplemented by national and international best practices and lessons learned.

Based on initial discussions with CMAP RIA Partners the priority for the initial project pipeline will be the region's bridges. The pipeline identification process will also evaluate opportunities to accelerate implementation of CMAP RIA **Regional Partners' ADA Transition Plans** (as examples [McHenry County ADA Transition Plan](#) and [DuPage County ADA Transition Plan](#)) and Electric Vehicle Infrastructure.

As part of the services described below, the Consultant working with CMAP RIA Partners, and the Bureau will identify the most promising projects or bundled projects to pursue Build America Bureau financing options and will define the data that will be needed to complete the Phase 2 activities, services, and deliverables.

Aggregator: Provide technical support to identify and evaluate the potential to bundle or aggregate small-scale projects to make them more attractive for innovative project delivery and financing.

Gap Filler: Provide the missing technical expertise to assist with development of important infrastructure projects that have not yet been implemented due to complex challenges.

Consultant services / deliverables are expected to include, but not be limited to:

- Refine Innovative Project Delivery and Financing / P3 Project Screening and Evaluation Criteria
- Assist CMAP RIA Partners interpret available data, identify information gaps, and complete the Innovative Project Delivery and Financing / P3 Screen for selected projects.
- Support the development and approval of an Initial Project Pipeline
- Develop a Project Screening Report, identifying an Initial Project Pipeline and supporting information for each project.
- Facilitate Workshops with CMAP RIA Partners.

Activity #3: Serve as an Educator and Technical Resource to Establish the CMAP P3 Regional Knowledge Center

Educator: At both the project and policy level, enhance the level of understanding of the whole-of-life project due diligence among the public sector organizations, including schematic-level design cost estimation; risk identification, allocation, and quantification; value-for-money analysis; innovating financing / private sector capital-at-risk; project-specific output specifications; calibration of payment mechanisms; and contract administration.

Technical Resource: Provide continuous technical support and best practice examples on how to address the common challenges impacting the delivery of infrastructure projects within the CMAP region (e.g., cost escalation, risk identification/quantification/allocation, approvals, contract administration, etc.). This will include ongoing coordination with the CMAP Staff and the Bureau to provide capacity building training for CMAP RIA Partners based on their respective knowledge and areas of interest, as well as their preferences for instructor-led or self-directed learning.

Consultant services / deliverables are expected to include, but not be limited to:

- Supporting CMAP in the refinement of a suite of P3 Guidance Documents and Case Studies
- Supporting CMAP to develop an RIA portal on the CMAP website to serve as a repository for innovative delivery and innovative financing / P3 best practice information and to provide CMAP RIA updates.
- Increase CMAP staff's knowledge of innovative project delivery and financing / P3 approaches.
- Refine guidelines for the public sector on the type and level of information and the criteria of success the private sector requires when evaluating investment opportunities for infrastructure projects.
- Obtain and share procurement best practices, case studies and lessons learned from professional organizations, public agencies, and private sector companies.
- Facilitate Workshops with CMAP RIA Partners.

Phase 2 – Advance Development of Initial Projects

The objective of Phase 2 is to provide a recommendation to the applicable CMAP RIA Partners on the preferred innovative project delivery and financing / P3 approach to move forward with based on the results of a Business Case and an Implementation and Procurement Plan.

Activity #4: Prepare Business Case

The P3 Business Case presents qualitative and quantitative assessments of a range of infrastructure asset delivery models and recommends an optimal model based on demonstrable public benefits, most notably Value for Money for the public sector. It also presents the procurement and implementation plan, which identifies the roles and responsibilities of the various project stakeholders, procurement activities, key milestones, and timelines.

This information will be used to provide a detailed comparison of a traditional design-bid-build delivery approach to innovative project delivery and financing / P3 approaches and result in a recommendation on whether to proceed with the development of the project using an innovative project delivery and financing / P3 method. This upfront planning will help ensure successful procurement, effective project delivery and sustainability of the asset throughout its operational period.

Consultant services / deliverables are expected to include, but not be limited to:

- Assist CMAP RIA Partners and the Bureau with facilitating 'Meet the Prime' (in-person and/or virtual) events to network Prime Contactors with SBE/MBE/DBE/WBE businesses.
- Support the Business Case Development Methodology / Approach.
- Facilitate Workshops with CMAP RIA Partners.
- Support the definition of CMAP RIA project(s) scopes.
- Identify, support, and describe a clear rationale for the project in quantitative and qualitative terms, including the public benefits and impact (e.g., economic, environment, social, safety and equity).
- Refine a robust evaluation criterion to assess competing P3 delivery models.
- Assist in organizing and conducting a procurement options analysis workshop to identify the potential range of innovative project delivery and financing / P3 models to be included in the P3 business case.
- Prepare, conduct, and analyze results of market soundings.
- Identify and describe the preferred innovative project delivery and financing / P3 delivery model and provide rationale for why other delivery options were not selected as the preferred method.
- Organize and conduct risk workshop(s), prepare a comprehensive risk register and well-quantified risk matrix –inclusive of Monte Carlo analysis, as well as risk mitigation strategies.
- Provide a range of financial advice including analysis of project funding and affordability.
- Develop value-for-money analysis.
- Assist the CMAP RIA Partners identifying the type and level of any formal environmental reviews that would be required.
- Prepare a P3 Business Case

Activity #5: Prepare Implementation and Procurement Plan

In this activity, the CMAP RIA Partners will complete the analyses and key documentation that sets out the appropriate human and financial resources, governance, legal and policy framework for the procurement.

The analyses and documentation completed in this activity will provide the final detailed comparison of delivery approaches and form the rationale and basis for choosing the preferred innovative delivery method that will be documented in the Project Implementation and Procurement Plan.

Consultant services / deliverables are expected to include, but not be limited to:

- Support the development of a Procurement Plan, illustrating the governance framework and the human and financial resources to be dedicated to the execution of the procurement of the CMAP RIA Project.



- An Implementation Plan presenting an integrated project schedule (e.g., GANTT chart) that outlines the critical path for successfully executing the Project.
- Public Interest Finding Report (Value-for-Money Report) to summarize for the public the results of the risk analysis, Value for Money and Financial Plan evaluations.
- Facilitate Workshops with CMAP RIA Partners.

Phase #3 Procurement and Transactional Support – OPTIONAL

If CMAP RIA Partners determines that an RIA / P3 may be in its interest and pending funding availability, the Scope of Services may at CMAP's sole discretion include Procurement and Transaction Support to achieve a clear, transparent, competitive solicitation and bidding process most likely to realize maximum achievement of CMAP RIA Partners project goals.

Given the complexity of the proposed P3 procurements, the Consultant will work with CMAP RIA Partners and External Legal Advisor during the procurement process through to Financial Close. The Consultant's role and responsibilities are wide ranging and include but are not limited to:

- Meeting(s) with CMAP RIA Partners and External Legal Advisor to develop the procurement documentation (RFP, RFQ, and evaluation plans, etc.).
- Assisting with developing the financial aspects of the Project Agreement, including the payment mechanism.
- Structuring, executing, and providing advice on financial and PPP financing aspects including credit spread refreshes.
- With the assistance of the CMAP RIA Partners and the External Legal Advisor manage all procurement functions including completeness and compliance reviews with RFP and RFQ submission requirements.
- Lead contact for bidders during the procurement process.
- Manage all logistics of the Commercially Confidential Meetings (CCMs) process for the transaction.
- Support with the coordination, preparation and completion of RFP and RFQ and evaluation processes and frameworks as aligned with CMAP RIA Partners procurement priorities and objectives.
- Provide input to the overall procurement structure to ensure that the procurement process follows PPP procurement best practices for fairness and reasonableness.
- Provide support in the development of the Final Project Agreement as required.
- Drafting responses to financial related requests for information.
- Assisting in the evaluation of financial components of bidder proposals.
- Undertaking contract negotiations.
- Providing financial support during commercial and financial close.
- Develop confidentially processes and procedures to prevent conflicts of interest.
- Reviewing the tax and accounting implications associated with the proposed transaction.

Follow Up Support

As needed, attend follow up meetings and/or conference calls with CMAP RIA Partners and the Bureau to discuss activities and services listed above. Due to the nature and complexity of the Project both technically and financially, CMAP requires the flexibility to assign the Program Management Consultant tasks on an as-needed basis to provide additional advice and/or complete additional tasks and deliverables.

Progress Reports:

The Consultant must be available to teleconference or videoconference with CMAP RIA Partners and the Bureau at least once every two weeks.

Location and Travel:

The services will be performed at the Consultant's own place of business (within the continental United States and/or Canada). CMAP strongly encourages that Consultant team Key Personnel be located in Northeastern Illinois to accommodate for essential travel throughout Northeastern Illinois for activities herein, this includes (but is not limited): a kick-off meeting, (within a reasonable period of time within being selected as the successful Consultant) CMAP RIA Regional Partner meetings and workshops, and presentations of the initial project pipeline and results of the business case to the CMAP Board, MPO Policy Committee and/or Transportation Committees, etc..

If Consultant team Key Personnel are located outside of Northeastern Illinois, CMAP shall not accommodate for their associated travel and accommodation expenses to Northeastern Illinois.

SECTION 5: PROPOSAL INFORMATION

The Proposal shall include two submittal packages: 1) Approach, Methodology, Work Plan and Qualifications and 2) Financial (Price Submittal Form – Attachment #1).

Proposals shall be scored out of 100 points and the weightings are reflective of their level of importance to CMAP.

For the purposes of evaluating submittal packages for this RFP, the weightings each submittal package shall be:

Submittal Package	Weighting
#1 – Approach, Methodology, Work Plan and Qualification	80% or 80 points
#2 – Financial	20% or 20 points

Submittal Package #1- Approach, Methodology, Work Plan and Qualification must achieve a minimum of 56 points (or 70%) of the possible 80 points. CMAP will not review the Financial Proposals if this threshold is not achieved, and the Proposal will receive no further consideration.

Submittal Package #2 – Financial, the lowest priced proposal will receive 20 points, and the percentage differential to other proposal will represent the corresponding subtraction of points. Arithmetically:

$$(1 + ((\text{lowest bid} - \text{proposal bid}) / \text{lowest bid})) \times 20$$

The Approach, Methodology, Work Plan and Qualifications submittal package should include the Proponent's Approach and Methodology to conducting the work described above including:

- An approach to interacting with CMAP.
- A general methodology for achieving each of the objectives along with any specific value-adds that the Proponent can provide.
- A detailed approach to carrying out the scope of services used including a work plan with timeline and major tasks of each resource/team member being proposed.

The Financial submittal package MUST include a separate financial proposal that provides a firm, all-inclusive price quotation that falls below the maximum project budget of \$700,000, inclusive of tax. Please refer to the Price Submittal Form – Attachment #1.

Proposals will be limited to 25 pages this includes resumes/CVs and project summaries. Cover pages and table of contents are not included in the page limit. Pages over and above 25 will not be considered during the evaluation.

CMAP kindly requests that Proposer responses are clear and concise and immediately address the descriptions for each of the rated criteria listed in Section 7 'Evaluation Criteria and Submittal Requirements'.

Team Composition / Subject Matter Expertise

CMAP is seeking an agile Consultant team with technical and financial expertise. Within your proposals, clearly identify the sub-contractor(s) roles and responsibilities for Phase 1 and Phase 2 activities/services/deliverables, their expected level of effort and their knowledge/experience in Bridge Rehabilitations, Electric Vehicle Infrastructure and ADA transition projects or related infrastructure assets (e.g., local roads, highways, energy, etc.), and financial/transactional advisory roles.

CMAP requires that members of the Program Management Consultant (Prime or Sub) including firms(s) and/or Key Personnel have technical expertise in these types of infrastructure assets and/or related infrastructure assets and P3 Financial/transactional advisory expertise.

Experience of Subcontractors:

Please note that where subcontractors are utilized, it is incumbent on the Prime Member of the Program Management Consultant team to demonstrate that these subcontractors have experience developing Bridge Rehabilitations and/or Electric Vehicle Infrastructure and/or ADA transition projects while illustrating relevant P3 projects completed within United States and Canada (i.e., reached financial close) in the last seven (7) years (since 2015) where they have provided technical, financial, legal and/or transaction advisory subject matter expertise.

Addenda to this Request for Proposals

Proposers to this RFP shall confirm in its proposal the receipt of all addenda issued to this RFP.

SECTION 6: RFP PROCESS AND SCHEDULE

RFP Process and Schedule:

February 3, 2022:	RFP posted
February 16, 2022:	Virtual Pre-Proposal Meeting (non-mandatory)
March 3, 2022:	Deadline to Submit Questions Regarding this RFP
April 7, 2022:	Proposal Due Date

Questions Concerning Request for Proposals

All questions and proposed language changes relating to the RFP must be received no later than 3:00 p.m. Central Time, on March 3, 2022, via email to CMAP's Procurement Officer, Penny DuBernat at pdubernat@cmaphillinois.gov.

Responses to all questions received concerning this RFP will be posted on the CMAP's Procurement Website on an ongoing basis, which can be accessed using this address:

<https://www.cmapillinois.gov/about/requests-for-proposals>



All responses and all timely questions received concerning this RFP will be posted to the web at least seven (7) days prior to the proposal due date. It is the responsibility of Proposers to check the CMAP's Procurement Website for questions and responses related to this RFP.

Submission of Proposals

Proposals must be submitted to CMAP no later than 3:00 p.m. Central Time on April 7, 2022. Please email CMAP's Procurement Officer at pdubernat@cmap.illinois.gov to receive a Dropbox™ link to submit your proposal.

There will be no public opening for this RFP. Late submissions will be rejected. Questions may be referred to CMAP's Procurement Officer at pdubernat@cmap.illinois.gov.

SECTION 7: EVALUATION CRITERIA AND SUBMITTAL REQUIREMENTS

CMAP will evaluate all proposals according to the following selection criteria,

- The experience of the Firm.
- The qualifications and relevant experience of the proposed team leads and team members, including personal experience with the types of assignments and deliverables identified in the detailed Scope of Work.
- The proponent understands the assignment and proposed methodology.
- The proposed work plan and timing of key milestones and deliverables.
- The Firm's Quality Assurance and Quality Control Processes.
- The financial proposal.

Proposals must achieve 70% of the total possible technical score (56 points out of 80). CMAP will not review the Financial Proposals if this threshold is not achieved, and the Proposal will receive no further consideration for this RFP.

IMPORTANT

All RFP responses without signed and dated Attachment 1 (Price Proposal Form) 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



Sign and submit the “Certificate Regarding Workers’ Compensation Insurance,” Attachment 2, the “Information to be provided by Bidder,” Attachment 3, and “FTA Certification Regarding Lobbying” Attachment 4. A copy of the firms’ SAMS.gov CAGE Code Report for primary and potential subcontractors. Please refer to pages 34-36 of this RFP.

Submittal Package #1 - Approach, Methodology, Work Plan and Qualifications

RIA / P3 Program Management Consultant – Mandatory Requirements

Submission Requirement	Indicative Weighting	Description
<u>M1</u> Curriculum Vitae (CV)	pass/ fail	<p>For each proposed team member, the proponent will submit detailed CVs that contain background information on the individual’s education, experience, qualifications, and skill sets to deliver the required services outlined in the Scope of Work.</p> <p>The following requirements will be used to differentiate Senior, Intermediate and Junior Resources:</p> <ul style="list-style-type: none"> • <u>Senior Resources</u> will have a minimum of 7-10 years of relevant experience. Their individual CVs must include 5 project descriptions, which will be evaluated under Rated Requirements. • <u>Intermediate Resources</u> will have a minimum of 3-7 years of relevant experience. Their individual CVs must include 5 project descriptions, which will be evaluated under Rated Requirements. • <u>Junior Resources</u> will have a minimum of 0-3 years of relevant experience. Their individual CVs must include 3 project descriptions, which will be evaluated under Rated Requirements.
M2 Certifications	pass/ fail	Relevant certifications to be qualified to undertake the services described in the Scope of Work.
<u>M3</u> Deadlines	pass/ fail	Only proposals received prior to the deadline of April 7th, 2022, will be evaluated.
<u>M4</u> Conflicts of Interest	pass/ fail	The proponent will identify any situations that currently represent, or may in the future represent, conflicts of interest that compromise the provision of services outlined in this RFP and/or procurement process.

Program Management Consultant – Rated Requirements

Submission Requirement	Indicative Weighting	Description
<u>R1</u> Overall Firm Experience	20 %	<p>Describe the Firm’s overall experience with respect to:</p> <ol style="list-style-type: none"> a) Sector-specific experience (e.g., Bridges, EVs, ADA) b) Extent of P3 services.

		<p>c) Number of P3 business cases developed (reflective of Scope of Services outlined in Section 4 of this RFP)</p> <p>d) Number of P3 Projects that have reached financial close since 2015</p> <p>e) Experience with the activities, services and deliverables identified in the Section 4 'Scope of Work' and Section 5' Milestones and Indicative Timeline'</p> <p>f) National, international and/ or multi-jurisdictional (e.g., state, county, municipal) experience</p> <p>At the firm-level, provide a minimum of three (3) and maximum of five (5) reference United States and/or Canadian P3 infrastructure projects delivered since 2015 (2 page or less per project) at the Municipal, County and/or State Government levels that demonstrate the following experience:</p> <p>g) Advising on the development of a P3 business case, including experience in assessing potential project delivery options, identifying, quantifying, and allocating project risks, conducting Value-for-Money analysis, and developing financial models.</p> <p>h) Providing services related to technical reviews and analysis along with providing technical advice working with P3 models.</p> <p>i) National, international and/ or multi-jurisdictional experience in the delivery of P3 projects for similar types of assets as the proposed CMAP RIA.</p> <p>*Project summary descriptions should include:</p> <ul style="list-style-type: none"> • Project name/title; • Name of client organization; • Description of the work performed; • Total level of effort and budget; • Total individual effort of each team member and role in each respective project team; • The dates over which the work was performed; • Objective and outcome of the project <ul style="list-style-type: none"> ○ Was the project delivered on time and on budget? If not, please describe, including change orders; • Description of key challenges and how they were managed; and, • Provide information of client reference to certify (name, title, organization, and contact information, including telephone and email).
R2 Experience of Team Lead(s) and Project Manager(s) / Key Personnel	20 %	<p>For the Team Leader(s) and Project Manager(s), please describe their relevant experience and expertise with respect to:</p> <p>a) Services and deliverables outlined in the Scope of Services.</p>

		<p>b) A range of P3 delivery models (e.g., DBF, DBFOM).</p> <p>To validate their experience and expertise, Proposers will be required to provide three (3) references for projects and services similar to those detailed in the Scope of Services. These reference checks will represent a significant portion of this Rated Requirement.</p>
<u>R3</u> Experience of Other Team Members	10%	<p>For the other proposed team members listed in the work plan, please describe their relevant experience with respect to:</p> <p>a) Services and deliverables outlined in the Scope of Work.</p> <p>b) A range of P3 delivery models (e.g., DBF, DBFOM).</p>
<u>R4</u> Understanding of the Task Order and Proposed Methodology	15 %	<p>The Proposer will provide:</p> <p>a) Detailed methodology demonstrating a firm understanding of the CMAP RIA.</p> <p>b) Rationale for the proposed methodology and the extent to which innovative ideas have been included.</p> <p>c) Potential challenges, risks, and mitigation strategies.</p>
<u>R5</u> Proposed Work Plan	10 %	<p>The Proposer will provide a description of the following items:</p> <p>a) List of team members, identifying the team leader(s) and project manager(s) / Key Personnel.</p> <p>b) Schedule for key deliverables.</p> <p>c) Appropriateness of the work plan to meet the CMAP RIA Partners requirements.</p> <p>d) Uniqueness of the plan to this specific project.</p> <p>e) Firm's project management approach and team organization during the performance of services.</p> <p>f) Breakdown of the major tasks and the specific level of responsibility for these tasks by the individual team members, according to their relevant experience and capabilities.</p>
<u>R7</u> Firm Quality Assurance and Quality Control Processes	5 %	<p>Please describe the:</p> <p>a) Firm's Quality Assurance and Quality Control Processes when preparing and delivering studies, reports, etc., to clients.</p> <p>b) Applicability of the Firm's processes to this specific project.</p>

Submittal Package #2 – Financial*

<u>R1</u> Financial Offer	20%	<p>Fee proposals should:</p> <p>a) Present an overall bid cost. In the Price Proposal Form, the Proposer shall specify the number of hours, hourly rates for</p>
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		<p>relevant staff with individuals identified and any other expenses that shall be paid by CMAP for the successful completion of services associated with each respective activity per Phase as described in the RFP</p> <p>b) Quote all prices in US dollars.</p> <p>c) Clearly identify any assumptions used in calculating the estimated costs.</p> <p>d) The bidder MUST produce a separate financial proposal that provides a firm, all-inclusive price quotation that falls below the maximum project budget of \$700,000 inclusive of taxes.</p> <p>e) The lowest priced bid will receive 20 points, and the percentage differential to other bids will represent the corresponding subtraction of points. Arithmetically:</p> <p>f) $(1 + ((\text{lowest bid} - \text{proposal bid}) / \text{lowest bid})) \times 20$</p>
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*Submit the "Price Proposal Form," Attachment 1 (Excel file), with all proposed pricing for this project.

All responses that have meet the mandatory requirements to this scope of work will be reviewed. An evaluation committee will make the consultant selection decision. This decision will be based upon the highest combined score for submittal packages 1 and 2.

CHANGE REQUESTS MADE TO PERSONNEL, TITLES, PERSONNEL HOURS, HOURLY RATES OR SUBCONTRACTORS, INCLUDING SUBCONTRACTOR PERSONNEL, PERSONNEL HOURS OR HOURLY RATES MUST RECEIVE PRIOR WRITTEN APPROVAL FROM THE CMAP PROCUREMENT OFFICER. CHANGES MADE WITHOUT PRIOR WRITTEN APPROVAL WILL NOT BE REIMBURSED.

SECTION 8: Payment Structure

Basis of Payment

Professional Services provided with a Firm Fixed Price.

Method of Payment

Contract with a Firm Fixed Price based on a milestone schedule. CMAP will make approximately five (5) milestone payments associated with the successful completion of services for each respective activity per Phase as indicated below.

Phase 1: Definition and Start-Up

- Activity #1: Serve as Convener to Establish the CMAP RIA



- Activity #2: Serve as Project Identifier, Aggregator, and Gap Filler to Define the Initial Project Pipeline
- Activity #3: Serve as an Educator and Technical Resource to Establish the CMAP P3 Regional Knowledge Center

Phase 2: Advance Development of Initial Projects

- Activity #4: Prepare Business Case
- Activity #5: Prepare Implementation and Procurement Plan

SECTION 9: Substitutions of staff and subcontractors

Addition of New Staff or Subconsultant

Consultant must obtain approval to add new staff or new subconsultant not previously listed in the Price Submittal Form (Attachment #1). The Consultant shall submit and obtain an approved Personnel Form, which can be obtained from the CMAP's Procurement Officer, Penny DuBernat via email at pdubernat@cmaphillinois.gov.

To add staff or subconsultants, CMAP must approve the changes in writing. A formal Agreement amendment shall not be required to add staff, but is required to add new subconsultants

If Consultant fails to obtain prior approval, Consultant shall bear all risks for non-reimbursement by CMAP due to such employees or subconsultant not being approved by CMAP prior to invoicing.

In addition, a subconsultant addition may be allowed if the work CMAP intends to assign is not included in the Scope of Services (as per section 4 of this RFP). It is Consultant's responsibility to select qualified and responsible subcontractors. The Consultant may request assistance from CMAP in identifying subconsultants, but CMAP may not direct Consultant to hire a particular subconsultant unless a sole source is warranted.

Substitutions of Key Personnel and Subconsultants

The Consultant should not substitute key personnel (Project Manager and others listed by name in the price proposal) or subconsultant without prior written approval from CMAP. Consultant must request and justify the need for the substitution and obtain approval from CMAP prior to use of a different key personnel or subcontractor. The proposed substituted person or subconsultant must be as qualified as the original and cannot alter the fixed price of the Consultant's Price Proposal.

General Requirements for Removal of Subconsultants

Consultant must obtain prior approval from CMAP's Procurement Officer for removing existing subconsultants. A Consultant may substitute a subconsultant if the work CMAP proposes to assign or has assigned under the Agreement cannot be fulfilled by one of the subconsultants listed in the Consultant's proposal because the subconsultant is unavailable, unwilling, or unable to perform the work.

SECTION 10: 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 9 hereto, and Special Provisions, Section 10 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 11: 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:

- a) 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@cmmap.illinois.gov

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

- b) 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 close of the fiscal year for multi-year contracts, or no later than fifteen (15) days after the end of this Agreement for shorter term contracts. 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).
 - c) 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).
 - d) 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.

- c. 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.
- d. 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.
- e. 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.
- f. 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 12: 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:
- a. Has the legal authority and the institutional, managerial, and financial capability to ensure proper planning, management, and completion of the project.
 - b. 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;
- c. 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;
 - d. Will initiate and complete the work within the applicable project time periods;
 - e. 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
 - f. 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.*
 - g. Will comply with all federal environmental standards applicable to the project, including but not limited to:
 - i) Institution of environmental quality control measures under the National Environmental Policy Act of 1969 and Executive Order 11514;
 - ii) Notification of violating facilities pursuant to Executive Order 11738;
 - iii) Protection of wetlands pursuant to Executive Order 11990;
 - iv) Evaluation of flood hazards in floodplains in accordance with Executive Order 11988;
 - v) 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.*;
 - vi) 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.*;
 - vii) Protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended;
 - viii) Protection of endangered species under the Endangered Species Act of 1973, as amended;
 - ix) 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");

- x) 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,
 - xi) The Flood Disaster Protection Act of 1973, which requires the purchase of flood insurance in certain instances;
 - xii) Section 106 of the National Historic Preservation Act of 1966, as amended, 16 U.S.C. 470;
 - xiii) Executive Order 11593, which relates to identification and protection of historic properties;
 - xiv) The Archaeological and Historic Preservation Act of 1974, 16 U.S.C. 469a-1 et seq.;
 - xv) 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;
 - xvi) 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;
 - xvii) The Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations"; and
 - xviii) 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, 4 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.*)
- n. 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).
- o. 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).
- p. Illinois Use Tax. Pursuant to (30 ILCS 500/50);
- q. Environmental Protection act Violations. Pursuant to (30 ILCS 500/50-14)
- r. Federal Funding Accountability and Transparency Act of 2006 (31 USC 6101);
- s. 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.*);
- t. 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 sub-contractors 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.
- 32) Financial Assistance Policy to Ban Text Messaging While Driving
- a. Definitions. As used in this clause-

"Driving" - Means operating a motor vehicle on an active roadway with the motor running, including while temporarily stationary because of traffic, a traffic light, stop sign, or otherwise. Does not include operating a motor vehicle with or without the motor running when one has pulled over to the side of, or off, an active roadway and has halted in a location where one can safely remain stationary.

"Text messaging" - means reading from or entering data into any handheld or other electronic device, including for the purpose of short message service texting, e-mailing, instant messaging, obtaining navigational information, or engaging in any other form of electronic data retrieval or electronic data communication. The term does not include glancing at or listening to a navigational device that is secured in a commercially designed holder affixed to the vehicle, provided that the destination and route are programmed into the device either before driving or while stopped in a location off the roadway where it is safe and legal to park.
 - b. This clause implements Executive Order 13513, Federal Leadership on Reducing Text Messaging while Driving, dated October 1, 2009.
 - c. The Applicant should-
 - i. Adopt and enforce policies that ban text messaging while driving- (i) Company-owned or -rented vehicles or Government-owned vehicles; or (ii) Privately-owned vehicles when on official Government business or when performing any work for or on behalf of the Government.
 - ii. Conduct initiatives in a manner commensurate with the size of the business, such as- (i) Establishment of new rules and programs or re-evaluation of existing programs to prohibit text messaging while driving; and (ii) Education, awareness, and other outreach to employees about the safety risks associated with texting while driving.
 - d. Sub-agreements/sub-contracts. The Applicant shall insert the substance of this clause, including this paragraph (d), in all sub-agreement/subcontracts that exceed the micro-purchase threshold.
- 33) 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 13: 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.
- 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 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.

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 2: 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 3: 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:

Type of <u>Service/Product</u>	Date <u>Completed</u>	Name and Address <u>of Client</u>	Contact Name and <u>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 (Price Proposal Form) 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 4: 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:

