



Suburban Bus Division of the  
Regional Transportation Authority

550 West Algonquin Road • Arlington Heights, Illinois 60005

|                                |                         |
|--------------------------------|-------------------------|
| PURCHASE ORDER NO.<br>230765 B | BEGIN DATE<br>27-JUL-20 |
| CAPITAL<br>Yes                 | END DATE<br>26-JUL-23   |
| F.O.B                          | BUYER<br>E Roglich      |
| PAYMENT TERMS<br>Net 30 Days   | PO: 1 OF 2              |

**C**

**BLANKET #**

**230765 B 0**

1000171

Steve Rooney  
CDW Government LLC  
230 N Milwaukee Ave  
Vernon Hills, IL 60061

NOTICE TO VENDOR

For prompt payment, send your invoice with PACE  
PO Number, in duplicate to:

ACCOUNTING SECTION  
PACE – HEADQUARTERS  
550 W ALGONQUIN RD  
ARLINGTON HTS, IL 60005-4412  
(847) 364-8130

| ITM NO | QUANTITY | U/M     | SKU NO | DESCRIPTION   | VEN PART NO | UNIT PRICE | EXTENSION  |
|--------|----------|---------|--------|---|-------------|------------|------------|
| 1      |          | Dollars |        | This confirms Contract No. 230765 dated July 27, 2020 between Pace, the Suburban Bus Division of the Regional Transit Authority and CDW Government LLC for Storage Arrays, Installation, and Support. |             |            |            |
| 2      |          | Dollars |        | Group 1 - Nimble Storage Array<br>(Except support years 2-3 for Line Items No. 1.6-1.9)   |             |            | 205,743.40 |
| 3      |          | Dollars |        | Group 1 - Nimble Storage Array support years 2-3 for Line Items No. 1.6-1.9   |             |            | 39,038.00  |
| 4      |          | Dollars |        | Group 2 - StoreOnce Storage System<br>(Line Items 2.1-2.7)  |             |            | 109,576.00 |

For Internal Use Only



Suburban Bus Division of the  
Regional Transportation Authority

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**C**

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| PURCHASE ORDER NO.<br>230765 B | BEGIN DATE<br>27-JUL-20 |
| CAPITAL<br>Yes                 | END DATE<br>26-JUL-23   |
| F.O.B                          | BUYER<br>E Roglich      |
| PAYMENT TERMS<br>Net 30 Days   | PO: 2 OF 2              |

**BLANKET #**

**230765 B 0**

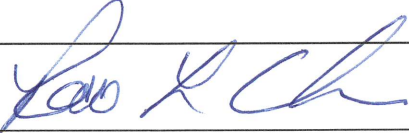
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ARLINGTON HTS, IL 60005-4412  
(847) 364-8130

| ITM NO                           | QUANTITY | U/M | SKU NO | DESCRIPTION  | VEN PART NO  | UNIT PRICE                               | EXTENSION |
|----------------------------------|----------|-----|--------|--|--|--|-----------|
| 1                                |          |     |        | Project 215135018, Task 11.42.07-004, Exp Type Capital |  |  |           |
| 2                                |          |     |        | Project 215135018, Task 11.42.07-004, Exp Type Capital |  |  |           |
| 3                                |          |     |        | 11.10101.7405.503551.500.0000000000.000000             |  |  |           |
| 4                                |          |     |        | Project 213174823, Task 11.42.07-031, Exp Type Capital |  |  |           |
| <b>REQUISITION NO.</b><br>419896 |          |     |        |  |  | <b>TOTAL NOT TO EXCEED</b><br>354,357.40 |           |
|                                  |          |     |        |  |  |  | 7/27/20   |
|                                  |          |     |        |  | Signature  |  | Date      |

Contract No. 230765

**INVITATION FOR BID NO. 419896  
STORAGE ARRAYS, INSTALLATION, AND SUPPORT  
SPECIAL CONTRACT CONDITIONS/BID PRICE**

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THIS CONTRACT is entered into July 27, 2020 by and between Pace, Suburban Bus Division of the Regional Transportation Authority (hereinafter called Pace) and the Bidder/Contractor indicated below.

1. **General Description:** Pace is seeking firm fixed unit price for the purchase of Nimble and StoreOnce Storage Arrays, Installation, and Support as specified in *Exhibit C, Salient Characteristic*.
2. **Contract Term:** The contract period will be three (3) years. Contract shall begin immediately upon execution and shall be valid for a period of thirty-six (36) months.
3. **Basis of Award:** This contract will be awarded to the lowest responsive and responsible bidder on the basis of the Grand Total. This Contract shall be effective as of the date when it is signed by Pace. The prices submitted with the Bid will be firm, fixed unit prices for the duration of the contract. Bids shall be irrevocable for a period of ninety (90) days.
4. **Approved Products:** The bidding Contractor must be authorized by the OEM. All equipment must be new unless otherwise specified. Products proposed shall be any of the approved Original Equipment Manufacturer (OEM) part numbers shown or approved equals that comply with the original equipment manufacturer's requirements or specifications and will not compromise any OEM warranties. In cases where an item is identified in these Contract documents by a manufacturer's name, trade name, catalog number or reference, it is understood that the Contractor shall furnish the item so identified or shall furnish an "equal" unless specified elsewhere in the bid documents. The specific article, equipment or material mentioned shall be understood as establishing the type, function, and minimum standard of design, efficiency, quality, and performance desired and shall not be construed in such a manner as to exclude manufacturer's products of comparable design, efficiency, quality, and performance. Bid quotations on other makes or catalog numbers will be considered for current or future purchases provided the Contractor clearly states that an "equal" is proposed and he furnishes sufficient information with his bid to determine compliance.
5. **Request for Pre-Approved Equal:** Pace will consider products equal in function and performance to those listed within the Bidders Bid Price Section of this Exhibit A and as detailed within Exhibit C, Salient Characteristics. Bidders proposing alternative products shall submit sufficient supporting documentation, drawings, and literature for Pace to review the alternative products and determine equivalence as detailed within *Exhibit C, Salient Characteristics* by the question deadline, **2:00 PM on May 18, 2020**. Acceptance of alternative products as equal is at the sole discretion of Pace.
6. **Delivery & Installation:** Delivery and installation shall be complete within thirty-one (31) calendar days upon receipt of an executed purchase order. Delivery charges and all other charges must be included in the Bid Price. No additional charges will be allowed for delivery. The specified items shall be delivered to Jorge Torres, Pace, 550 W. Algonquin Rd., Arlington Heights, IL 60005.

7. **Pace DBE Requirements:** Pace has determined that ZERO PERCENT (0%) DBE participation is required for this Contract. Pace encourages the Prime Contractor to offer contracting opportunities to the fullest extent possible through outreach and recruitment activities.
8. **Insurance Requirements:** The successful bidder will be required to provide evidence of all required insurance coverage, limits, endorsements, etc. for the duration of the contract plus one additional year. Evidence of required insurance coverage shall be provided on an Acord 25-S (or equivalent) Certificate of Insurance form. The Certificate of Insurance and required policy endorsements (CG 20 10 or CG 20 37 or CG 20 26, CA 2048, etc.) must be submitted to and approved by Pace *prior to* contract award and *prior to* the required insurance policy expiration date. For a complete list of all insurance coverage requirements, please see *Exhibit D* of this IFB.
9. **Indemnification:** The Contractor shall indemnify, keep and save harmless Pace, its agents, officials and employees against all injuries, losses, claims, suits, costs and expenses which may accrue against Pace arising out of the services or products provided under this Contract, including any copyright or patent infringement or claim of such infringement arising from the intended use of goods or services furnished hereunder. The Contractor agrees to indemnify and hold harmless Pace, its employees and Officers, from any and all claims by persons or entities that may arise out of and in the course of its performance of this contract, and from any and all claims by its subcontractors, employees or independent contractors which may arise out of and in the course of performance of this Contract. Any and all claims for unemployment benefits and worker's compensation benefits are expressly waived by the Contractor, its subcontractors, employees, and independent contractors, who agree to maintain separate policies of insurance as hereinafter are provided in this agreement. The Contractor shall retain independent counsel and at its expense shall assume and defend all claims, demands and suits covered in this indemnification section.
10. **Payment/Invoicing:** All invoices are to reference the contract number, description of services, location services were rendered, part number, quantity shipped, unit prices, and extensions. The Contractor shall provide a detailed listing, in an invoice or series of invoices, of all equipment furnished to Pace as part of this Contract. All equipment should be itemized with corresponding model and serial numbers where applicable. The itemized listing should be provided on an invoice with the shipment date and delivery location indicated. If the Contractor's invoices are billed as progressive or acceptance payments, any equipment shipped to Pace during that billing period must be itemized on an invoice with the associated cost for each item. If equipment is provided and shipped to Pace by a subcontractor, the Contractor is responsible for obtaining and submitting the itemized listing of equipment that is shipped to Pace. The Contractor will invoice Pace at 550 W. Algonquin Road, Arlington Heights, IL 60005. Electronic invoices shall be submitted to [accounts.payable@pacebus.com](mailto:accounts.payable@pacebus.com). Payment will be made within 30 days of receipt of an approved invoice.
11. **Retention of Records:** The Contractor shall maintain records to verify the actual time devoted and costs incurred. These records shall be maintained for a minimum period of five years after completion of the contract at which time the Contractor may request permission from Pace to dispose of the records. Upon fifteen (15) days notice from Pace, all time sheets, billings, and other documentation used in preparing said records shall be made available for inspection, copying, or auditing by Pace at any time during normal business hours at Pace's headquarters location.

12. **Ownership of Records:** Pace shall retain ownership of all plans, specifications, and related documents, and all other documents, including but not limited to those mentioned above, prepared by the Contractor under the Contract.
13. **Audit and Inspection of Records:** The Contractor shall permit the authorized representative of Pace, the Regional Transportation Authority, the State of Illinois, the U.S. Department of Transportation and the Comptroller General of the United States to inspect and audit all data and records of the Contractor relating to his performance under the Contract. Contractor acknowledges and agrees that representatives of the Office of Executive Inspector General and Office of Inspector General of Pace, have the authority and ability to: examine any record, information, data, reports, plans, projections, matters, contracts, correspondence, or other materials, and interview any employee, officer, or agent of Contractor with respect to performance of the terms, and provision of goods and/or services of this contract. Contractor agrees to cooperate fully and expeditiously with any investigation or audit conducted by an Inspector General.
14. **Termination for Insufficient Funds:** It is expressly agreed that Pace's obligation to pay for the services provided under this Contract shall be limited to the availability of funds from (1) Pace's revenues and budget for the fiscal years covered by this Contract and from (2) funds that may be received from the Federal Transit Administration, the Illinois Department of Transportation, the Regional Transportation Authority, and/or other funding agencies to be specifically applied for the services provided under this Contract. In the event that Pace determines that funds are not available from these sources to pay any remaining unpaid part or parts of the Contract, Pace's obligations to pay such unpaid part or parts of the Contract shall be terminated immediately and Pace shall have no further obligations under the Contract in respect to payment, with the exception of payment for authorized services already performed and costs already accrued.
15. **Force Majeure:** Neither Party shall be held liable to the other Party nor be deemed to have breached this Contract for failure or delay in performing any obligation under this Contract if the failure or delay is caused by or results from causes beyond the control of the affected Party, including war, fire, flood, other acts of God, civil disturbance, a terrorist act, pandemic, or a labor strike or lockout. The affected Party shall promptly notify the other Party of such force majeure circumstances and the expected duration of the delay and shall promptly undertake all reasonable steps necessary to cure the force majeure circumstances. If a condition of force majeure continues for more than 30 consecutive days, this Contract may be terminated immediately for convenience at the option of Pace after written notice. Where an event of force majeure occurs after a Party's failure or delay in performance, the breaching Party shall not be released from liability
16. **Exhibits:** The following Exhibits are attached hereto and become a part of any award that may result. If there is any conflict in the provisions contained in these Exhibits, then the more stringent shall take precedence.

Exhibit A – Special Contract Conditions/Bid Price  
Exhibit B – General Contract Conditions  
Exhibit C – Salient Characteristics  
Exhibit D – Insurance Requirements

17. **Bid Submittal Check List**: The following documents are required to be electronically submitted to be considered a responsive bid.

Bidders are further cautioned not to qualify their bids by modifying the contract documents, either by alteration or supplemental statements or documents (including but not limited to quotation forms, agreement documents, or exceptions). All bids are to be in accordance with this Invitation for Bid and become the property of Pace. Bids that are not so made may be rejected as non-responsive.

- Return **all** original bid documents and ensure that the Signature Page (*Exhibit A*, page 9) is signed and dated
- Acknowledge any addenda on page 9 of this *Exhibit A*; submit all documents as instructed by the addenda
- Sign the Non-Collusion Affirmation (*Exhibit A*, Page 8)
- For any “or equal” product proposed, submit technical specifications/documentation/literature proving equivalence.
- Submit one (1) bid in a sealed envelope stating IFB No. 419896 for Storage Arrays, Installation, and Support
- Sign, date and complete the Buy America Certification (*Exhibit B*, Page 39)
- Complete and sign the Certification of Restrictions on Lobbying (*Exhibit B*, Page 40)
- Sign the Contractor’s Certification Regarding Suspension and Debarment (*Exhibit B*, Page 41)

Any questions regarding this Invitation for Bid must be submitted no later than **2:00 PM on May 18, 2020**. Bidders are encouraged to submit requests for pre-approved equals during the question period. All requests for pre-approved equals shall be submitted with sufficient supporting documentation for Pace to review and to determine compliance. Questions regarding this IFB shall be submitted in writing to Evan Roglich, Senior Contract Buyer, at [evan.roglich@pacebus.com](mailto:evan.roglich@pacebus.com). Questions submitted after this date and time will not be accepted.

The bid opening date is **June 9, 2020 at 2:00 P.M.** Bids must be emailed to [Procurement@pacebus.com](mailto:Procurement@pacebus.com). Any bids received after this date and time will be rejected. **Pace will conduct this bid opening via Teams, web conference via the following link.**

**[Join Microsoft Teams Meeting](#)**  
**+1 872-212-5030** United States, Chicago (Toll)  
Conference ID: 917 207 448#

**As a Team owner, Pace can add and manage bidders/guests in teams via the web or desktop. Anyone with a business or consumer email account, such as Outlook, Gmail, or others, can participate as a bidder/guest in Teams.**

**INVITATION FOR BID NO. 419896**  
**STORAGE ARRAYS, INSTALLATION, AND SUPPORT**  
**BIDDERS BID**  
**(SUBMIT ONE (1) BID)**

- 
- The unit pricing quoted must be firm and include delivery and all other applicable charges. No additional charges will be allowed. In the event of a discrepancy between the unit cost and total, the unit cost shall prevail.
  - Bidders shall provide an OEM product listed below by placing a checkmark in the appropriate checkbox unless a bidder clearly indicates a proposed equal by placing a checkmark in the appropriate checkbox **AND** providing the manufacturer and part number on the spaces provided.
  - If proposing an “equal” product, bidders shall provide sufficient information along with the bid to determine compliance. Compliance shall be determined at Pace’s sole discretion. Failure to provide technical information or product literature/brochures with your bid, proving equivalence for any proposed “equal” products may be cause for your bid to be rejected as non-responsive.
  - Bidders are **not** to modify this Bid by alternation and/or supplemental statements or documents which may be cause for your bid to be rejected as non-responsive.
  - **Groups 1 and 2 require bidders to show a subtotal for each appliance, and then multiply that subtotal by the number of appliances being bought for each group.**
  - **If bidding a “Like Equal” product for Groups 1 and/or 2, bidder must provide detailed specifications proving equivalence for all required line items in the respective group. To indicate the bid item as a “Like Equal” product the bidder shall only complete the final line for Groups 1 and/or 2. If not bidding a “Like Equal” bidders shall leave the last section for Groups 1 and 2 blank.**

**Group 1: Nimble HF40 Storage Array**

The three (3) storage arrays will be identical and include items indicated in this section.

| #    | Item Description   | Unit Price   | Quantity per Array | Unit Total   | Total Quantity | Total for Group 1 (Subtotal x 3) |
|------|--|--------------|--------------------|--------------|----------------|----------------------------------|
| 1.1  | Nimble HF40 Storage Array (Mfg. No. Q8H39A)                                  | \$ 20,750.00 | 1                  | \$ 20,750.00 |                |                                  |
| 1.2  | HPE Nimble HF40/60 Storage HDD Bundle 84TB (Mfg. No. Q8B55B)                 | \$ 17,633.80 | 1                  | \$ 17,633.80 |                |                                  |
| 1.3  | Nimble Storage 2-Port Adapter Kit – Network Adapter (Mfg. No. Q8B88B)        | \$ 2,185.00  | 2                  | \$ 4,370.00  |                |                                  |
| 1.4  | Nimble Storage Flash Bundle Solid State Drive 960GB (Mfg. No. R0P04A)        | \$ 15,850.00 | 1                  | \$ 15,850.00 |                |                                  |
| 1.5  | Installation & Start-up (Mfg. No. HA114A1#5MR)                               | \$ 3,471.00  | 1                  | \$ 3,471.00  |                |                                  |
| 1.6  | Parts Exchange Support (3 years) (Mfg. No. HT6Z0A3#ZFR)                      | \$ 4,965.00  | 1                  | \$ 4,965.00  |                |                                  |
| 1.7  | Parts Exchange Support (3 years) (Mfg. No. HT6Z0A3#T6U)                      | \$ 4,420.00  | 1                  | \$ 4,420.00  |                |                                  |
| 1.8  | Parts Exchange Support (3 years) (Mfg. No. HT6Z0A3#ZET)                      | \$ 950.00    | 2                  | \$ 1,900.00  |                |                                  |
| 1.9  | Parts Exchange Support (3 years) (Mfg. No. HT6Z0A3#ZFG)                      | \$ 8,234.00  | 1                  | \$ 8,234.00  |                |                                  |
| 1.10 | <b>SUBTOTAL – Fully-loaded Nimble HF40 Unit (Sum of item totals 1.1-1.9)</b> |              |                    | \$ 81,593.80 |                |                                  |

If Bidder is bidding a Like Equal model, they must complete the below section **instead of** the above. If not bidding a Like Equal **do not** complete the below 1.10 section.

| #    | Item Description  | Unit Total | Total Quantity | Total for Group 1 (Subtotal x 3) |
|------|---|------------|----------------|----------------------------------|
| 1.10 | <p><b>SUBTOTAL – Fully-loaded Unit (Like Equal)</b></p> <p>Item Description:</p> <p>_____</p> <p>_____</p> <p><i>Bidder must provide detailed specifications showing equivalence with all items in Group 1.</i></p> | \$ _____   | 3              | \$ _____                         |



**Group 2: StoreOnce 5200 Storage System****The two (2) storage systems will be identical and include items indicated in this section.**

| #   | Item Description   | Unit Price   | Quantity per System | Unit Total   | Total Quantity | Total for Group 2 (Subtotal x 2) |
|-----|--|--------------|---------------------|--------------|----------------|----------------------------------|
| 2.1 | StoreOnce 5200<br>(Mfg. No. BB956A)  | \$ 11,500.00 | 1                   | \$ 11,500.00 |                |                                  |
| 2.2 | StoreOnce Gen4 10/25 Gbps SFP<br>(Mfg. No. BB982A)                                 | \$ 950.00    | 2                   | \$ 1,900.00  |                |                                  |
| 2.3 | StoreOnce 5200 48TB<br>(Mfg. No. BB964A)   | \$ 14,250.00 | 2                   | \$ 28,500.00 |                |                                  |
| 2.4 | 48TB CAP UPG Support<br>(Mfg. No. H7J34A3#ZH5)                                     | \$ 3,150.00  | 2                   | \$ 6,300.00  |                |                                  |
| 2.5 | 5200 Base Support<br>(Mfg. No. H7J34A3#ZH0)  | \$ 4,293.00  | 1                   | \$ 4,293.00  |                |                                  |
| 2.6 | StoreOnce 5200 Start-up<br>(Mfg. No. HA124A1#5VL)                                  | \$ 2,295.00  | 1                   | \$ 2,295.00  |                |                                  |
| 2.7 | <b>SUBTOTAL – Fully-loaded Catalyst 9400 Unit<br/>(Sum of item totals 2.1-2.6)</b> |              |                     | \$ 54,788.00 | 2              | \$ 109,576.00                    |

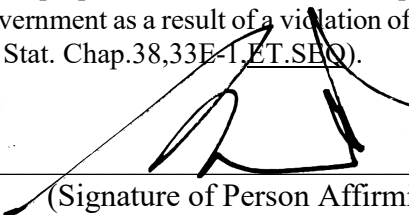
If Bidder is bidding a Like Equal model, they must complete the below section **instead of** the above.  
If not bidding a Like Equal **do not** complete the below 2.7 section.

| #   | Item Description  | Unit Price | Total Quantity | Total for Group 2 (Subtotal x 2) |
|-----|---|------------|----------------|----------------------------------|
| 2.7 | <p><b>SUBTOTAL – Fully-loaded Unit (Like Equal)</b></p> <p>Item Description:</p> <p>_____</p> <p>_____</p> <p>_____</p> <p><i>Bidder must provide <b>detailed specifications</b> showing equivalence with all items in Group 2.</i></p> | \$ _____   | 2              | \$ _____                         |

|  |                      |
|--|----------------------|
| <b>TOTAL FOR GROUP 1</b>               | \$ <u>244,781.40</u> |
| <b>TOTAL FOR GROUP 2</b>               | \$ <u>109,576.00</u> |
| <b>GRAND TOTAL (Sum of Groups 1-2)</b> | \$ <u>354,357.40</u> |

**NON-COLLUSION AFFIRMATION****IMPORTANT: This affirmation must be signed and submitted with the bid/proposal.**

The bidder or proposer submitting this bid or proposal hereby affirms that such bid/proposal was not made in the interest of or on behalf of any undisclosed person, partnership, company, organization or corporation; that such bid/proposal is genuine and not collusive or sham, and that said bidder/proposer has not been a party to any agreement or collusion among bidders/proposers or prospective bidders/proposers in restraint of freedom of competition by agreement to bid a fixed price, or otherwise, or to refrain from bidding/proposing and has not, directly or indirectly, by agreement, communication or conference with anyone attempted to induce action prejudicial to the interest of the Suburban Bus Division of the Regional Transportation Authority (Pace) or any bidder/proposer or anyone else interested in the proposed Contract. The bidder/proposer further certifies that it is not barred from contracting with any State or unit of local government as a result of a violation of either Section 33E-3 or Section 33E-4 of Article 33E of the Illinois Criminal Code (III. Rev. Stat. Chap.38,33E-1,ET.SEQ).



\_\_\_\_\_  
(Signature of Person Affirming Bid/Proposal)

Matthew Flood, Proposals Supervisor

INVITATION FOR BID NO. 419896  
STORAGE ARRAYS, INSTALLATION, AND SUPPORT  
CONTRACT SIGNATURE PAGE

**Addendum Acknowledgment:** The bidder hereby acknowledges receipt of the following Addenda that are incorporated herein by reference. (If there were No Addenda, write "NONE") \_\_\_\_\_. **Failure to acknowledge Addenda may be cause for the bid to be considered non-responsive.**

Addendum No. 1  
Addendum No. 2  
Addendum No. 3

**Electronic Signatures:** This Contract may be executed through the use of electronic signatures. Electronic signatures transmitted or scanned, shall be deemed original signatures for purposes of this Contract.

**IN WITNESS WHEREOF, the parties hereto have executed this Contract on the dates recited below:**

**CONTRACTOR**

**PACE, SUBURBAN BUS DIVISION OF THE  
REGIONAL TRANSPORTATION AUTHORITY**

CDW Government LLC

Company Name

230 N Milwaukee Ave

Street Address

Vernon Hills, IL 60061

City, State & Zip Code

Authorized Signature

06/17/2020

Date

Matthew Flood

Printed/Typed Name

Proposals Supervisor

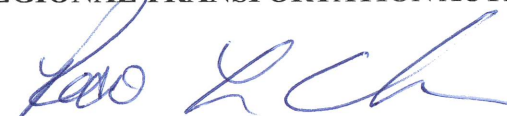
Title

(877) 863-3197

Telephone Number and Fax Number

steproo@cdwg.com

E-mail Address



Signature

Rocco L. Donatone

Printed/Typed Name

EXECUTIVE DIRECTOR

Title

7/27/20

Date



Rocky Donahue  
Executive Director

DATE: May 29, 2020

Invitation for Bid No. 419896

Storage Arrays, Installation, and Support  
Addendum No. 1

Dear Prospective Bidder:

Pace has checked the applicable box(s) pertaining to this solicitation's addendum below:

Addendum No. 1 shall replace **Exhibit A, Special Contract Conditions/Bid Price, pages 4 and 6** with the enclosed **Exhibit A, Special Contract Conditions/Bid Price, pages 4 and 6**, which has been changed. The new **Exhibit A, Special Contract Conditions/Bid Price, pages 4 and 6** is marked **ADDENDUM NO. 1** and is dated May 29, 2020.

Addendum No. 1 shall replace **Exhibit C, Salient Characteristics** with the enclosed **Exhibit C, Salient Characteristics**, which has been changed. The new **Exhibit C, Salient Characteristics** is marked **ADDENDUM NO. 1** and is dated May 29, 2020.

Addendum No. 1 is being issued to amend certain words, phrases, sentences or paragraphs for this solicitation for \_\_\_\_\_.

Addendum No. 1 is being issued to provide responses to questions submitted by bidders. The following outlines all written questions submitted by potential bidders and Pace's response to these questions.

**See Attachment No. 1, Questions and Pace Responses**

The question and answer period is extended until \_\_\_\_\_ at 2:00 P.M. Questions received after this date will not be accepted.

**This Addendum No. 1 shall be inserted into and submitted along with your solicitation package. All addenda must be acknowledged on page 9 of Exhibit A, Special Contract Conditions/Bid Price. Failure to acknowledge addenda may be cause for the bid to be considered non-responsive.**

The meeting has been changed from \_\_\_\_\_ to \_\_\_\_\_ at the following locations and times: \_\_\_\_\_.

The bid opening date remains Tuesday, June 9, 2020 at 2:00 P.M.

The date is extended from \_\_\_\_\_ to \_\_\_\_\_ at 2:00 P.M. \_\_\_\_\_ received after this date and time will not be accepted.

Should you require any additional information, you may contact Procurement at (847)228-2479.

Sincerely,

Pace, the Suburban Bus Division of the Regional Transportation Authority

Attachments:

1. Responses to Bidder Questions  
Addendum 1, May 29, 2020
2. Exhibit A, Special Contract Conditions/Bid Price, Pages 4 & 6  
Addendum 1, May 29, 2020
3. Exhibit C, Salient Characteristics  
Addendum 1, May 29, 2020

**INVITATION FOR BID NO. 419896  
STORAGE ARRAYS, INSTALLATION, AND SUPPORT  
QUESTIONS AND PACE RESPONSES**

- Question 1: For the Nimble config, the SKU for the network card has changed. Pace specifies *Nimble 2 Port Adapter – Network Adapter (Mfg. No. Q8B89B)*. This was the SKU for 4 x 2-port 10GbE SFP+ adapters. It was Qty 1, but that SKU provided 4 cards, 2 per controller. Nimble Network SKUs were simplified, and that SKU no longer exists. The equivalent will be *Qty 2 x Q8B88B PCI-10SFPx1C: Dual 10GbE Optical (Qty. 1 pair)*. This will provide the same number and type of ports. Can Pace update this item?
- Pace Response:** **Yes. See the revised Exhibit A and Exhibit C attached.**
- Question 2: What type of power cords are needed (NEMA for low-voltage or C13-C14 for high voltage)?
- Pace Response:** **NEMA C13**
- Question 3: The 4x adapter kit with the PN: Q8B89B - HPE Nimble Storage 4x10GbE 2-port FIO Adapter Kit is no longer available, are you ok with a comparable replacement which will be 2x PN: Q8B88B - HPE Nimble Storage 2x10GbE 2-port FIO Adapter Kit, this will get you the same number of ports?
- Pace Response:** **Yes. See the revised Exhibit A and Exhibit C attached.**
- Question 4: For *GROUP 1 – NIMBLE HF40 STORAGE ARRAY* MFG# HA114A1 and MFG# HT6Z0A3, it appears the part number is incomplete. Could you find out the complete part number (ie. HT6Z0A3#xxx)?
- Pace Response:** **The complete part numbers are HA114A1#5MR, HT6Z0A3#ZFR, HT6Z0A3#T6U, HT6Z0A3#ZEX.**



Rocky Donahue  
Executive Director

DATE: June 8, 2020

Invitation for Bid No. 419896

Storage Arrays, Installation, and Support

Addendum No. 2

Dear Prospective Bidder:

Pace has checked the applicable box(s) pertaining to this solicitation's addendum below:

Addendum No. 2 shall replace **Exhibit A, Special Contract Conditions/Bid Price, pages 5-8** with the enclosed **Exhibit A, Special Contract Conditions/Bid Price, pages 5-8**, which has been changed. The new **Exhibit A, Special Contract Conditions/Bid Price, pages 5-8** is marked **ADDENDUM NO. 2** and is dated June 8, 2020.

Addendum No. 2 shall replace **Exhibit C, Salient Characteristics** with the enclosed **Exhibit C, Salient Characteristics**, which has been changed. The new **Exhibit C, Salient Characteristics** is marked **ADDENDUM NO. 2** and is dated June 8, 2020.

Addendum No. [ ] is being issued to amend certain words, phrases, sentences or paragraphs for this solicitation for [ ].

Addendum No. [ ] is being issued to provide responses to questions submitted by bidders. The following outlines all written questions submitted by potential bidders and Pace's response to these questions.

The question and answer period is extended until [ ] at 2:00 P.M. Questions received after this date will not be accepted.

**This Addendum No. 2 shall be inserted into and submitted along with your solicitation package. All addenda must be acknowledged on page 9 of Exhibit A, Special Contract Conditions/Bid Price. Failure to acknowledge addenda may be cause for the bid to be considered non-responsive.**

The [ ] meeting has been changed from [ ] to [ ] at the following locations and times: [ ].

The bid opening date remains at 2:00 P.M.

The bid opening date is extended from Tuesday, June 9, 2020 to **Thursday, June 18, 2020** at 2:00 P.M. Bids received after this date and time will not be accepted.

Should you require any additional information, you may contact Procurement at (847)228-2479.

Sincerely,

Pace, the Suburban Bus Division of the Regional Transportation Authority

Attachments:

1. Exhibit A, Special Contract Conditions/Bid Price, Pages 5-8  
Addendum 2, June 8, 2020
2. Exhibit C, Salient Characteristics  
Addendum 2, June 8, 2020





Rocky Donahue  
Executive Director

DATE: June 12, 2020

Invitation for Bid No. 419896

Storage Arrays, Installation, and Support

Addendum No. 3

Dear Prospective Bidder:

Pace has checked the applicable box(s) pertaining to this solicitation's addendum below:

Addendum No. 3 shall replace **Exhibit A, Special Contract Conditions/Bid Price, pages 5-8** with the enclosed **Exhibit A, Special Contract Conditions/Bid Price, pages 5-8**, which has been changed. The new **Exhibit A, Special Contract Conditions/Bid Price, pages 5-8** is marked **ADDENDUM NO. 3** and is dated June 12, 2020.

Addendum No. 3 shall replace **Exhibit C, Salient Characteristics** with the enclosed **Exhibit C, Salient Characteristics**, which has been changed. The new **Exhibit C, Salient Characteristics** is marked **ADDENDUM NO. 3** and is dated June 12, 2020.

Addendum No. is being issued to amend certain words, phrases, sentences or paragraphs for this solicitation for .

Addendum No. is being issued to provide responses to questions submitted by bidders. The following outlines all written questions submitted by potential bidders and Pace's response to these questions.

The question and answer period is extended until at 2:00 P.M. Questions received after this date will not be accepted.

**This Addendum No. 3 shall be inserted into and submitted along with your solicitation package. All addenda must be acknowledged on page 9 of Exhibit A, Special Contract Conditions/Bid Price. Failure to acknowledge addenda may be cause for the bid to be considered non-responsive.**

The meeting has been changed from to at the following locations and times: .

The bid opening date remains Thursday, June 18, 2020 at 2:00 P.M.

The bid opening date is extended from to at 2:00 P.M. Bids received after this date and time will not be accepted.

Should you require any additional information, you may contact Procurement at (847)228-2479.

Sincerely,

Pace, the Suburban Bus Division of the Regional Transportation Authority

Attachments:

1. Exhibit A, Special Contract Conditions/Bid Price, Pages 5-8  
Addendum 3, June 12, 2020
2. Exhibit C, Salient Characteristics  
Addendum 3, June 12, 2020

PACE SUBURBAN BUS SERVICE  
INSTRUCTIONS TO CONTRACTORS & GENERAL CONTRACT CONDITIONS  
MATERIALS AND SUPPLIES WITH SERVICES CONTRACTS

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PACE, SUBURBAN BUS SERVICE  
INSTRUCTIONS TO CONTRACTORS & GENERAL CONTRACT CONDITIONS  
MATERIALS AND SUPPLIES WITH SERVICES CONTRACTS

The following instructions, terms and conditions shall apply to Pace solicitations and Contracts for materials and supplies. All Pace Contracts shall be governed by Illinois Law. All Bidders or Proposers shall be referred to as "Contractors" and all bids or offers as "Bids" or "Bid Quotations" in this section of the Contract Specifications.

SECTION A – INSTRUCTIONS TO CONTRACTORS

1. Documents: The Contractor declares he has fully examined this Invitation for Bid or Request for Proposal including all attachments, exhibits and addenda as applicable and that he is familiar with all of the conditions effecting the Contract, and understands that in making this quotation the Contractor waives all right to plead any misunderstanding regarding same. The Contractor's quotation shall comply with all federal, state and local laws, rules and regulations applicable.

Award shall be made by mailing a properly executed Contract to the successful bidder.

2. Authorities and Limitations

- 2.1 This Contract is made and shall be interpreted under the laws of the State of Illinois and the Contractor agrees and consents that only the courts of Illinois and Federal appellate courts shall have jurisdiction over controversies arising out of this Contract.
- 2.2 The articles, sections, paragraphs or other headings shown are for convenience and reference only and in no way define, limit or describe the scope or intent of this Contract or its Exhibits.
- 2.3 This Contract together with any other document expressly incorporated herein contain the entire agreement between the parties hereto and there are no prior or contemporaneous oral or written understandings or agreements binding on Pace affecting the subject matter of this Contract other than those expressly referred to therein. No agreement, other understanding or acknowledgment, invoice, or other form used by the Contractor to modify or alter the provisions of this order resulting from acceptance by the Contractor of this Contract will be binding upon Pace unless made in writing and signed by Pace's authorized representative.
- 2.4 All services/work shall be performed under the direction of the Pace Chief Procurement Officer who alone shall have the authority to bind Pace and to exercise the rights, responsibilities, authorities and functions vested within the Contract documents, except that the Chief Procurement Officer shall have the right to designate authorized representatives to act on their behalf. Wherever any provision in this Contract specifies an individual (such as, but not limited to, Engineer, Resident Engineer, Inspector, Site Manager or Architect) or organization, whether Pace or private, to perform any act on behalf of or in the interests of Pace, that individual or organization shall be deemed to be Pace Chief Procurement Officer authorized representative under this Contract but only to the extent so specified.

Pace's Chief Procurement Officer may, at any time during the performance of this Contract, vest in any such authorized representatives, additional power and authority to act on their behalf or designate additional representatives, specifying the extent of their authority to act or designate additional representatives to the extent deemed necessary.

- 2.5 The Contractor shall perform the Contract in accordance with any order (including but not limited to instruction, direction, interpretation or determination) issued by an authorized representative in accordance with the authority to act for the Pace Chief Procurement Officer, but the Contractor assumes all the risk and consequences of performing the Contract in accordance with any order (including but not limited to instruction, direction, interpretation, or determination) of anyone not authorized to issue such order.
3. Conditions of Acceptance: This Invitation for Bid or Request for Proposal expressly limits acceptance to the terms and conditions stated herein and any supplementary or additional terms and conditions annexed hereto or incorporated herein by reference. Any additional or different terms and conditions proposed by the Contractor are objected to and hereby rejected unless accepted by Pace prior to the time and date of bid opening. The Contractor further understands and agrees that if this bid is accepted, the Contractor is to furnish any and all of the items or services upon which prices are quoted, at the price and delivery time stated, subject to all terms, conditions, and requirements set forth in the bid and in the resulting Contract. Pace reserves the right to extend the bid quotation opening date and to reject any or all bid quotations or any part thereof. Pace further reserves the right to excuse informalities in the bid quotations and bidding when, in the judgment of Pace, the best interests of Pace will be served, and the spirit of competition will be maintained.

4. Withdrawal of Bids: Once submitted, bids may only be withdrawn with Pace's consent prior to bid opening and may be superseded by a subsequent timely bid. Any bid received after the time and date specified for opening, or any postponement thereof, will not be considered. Bids shall be irrevocable for a period of ninety (90) days after the opening thereof by Pace.
5. Errors in Bids: The Contractor is cautioned to verify any Bids made before submission. No bid may be withdrawn or changed after it has been opened unless Pace has determined:
  - a. That an obvious mistake of a mechanical or clerical nature was actually made; not just an error in judgment, such as underestimating material or service costs.
  - b. That the "mistaken" Contractor was not guilty of culpable negligence in making the error, or in delay in communicating the fact to Pace on discovery.
6. Irregular Bids: The Contractor understands that the bid must show the unit prices for all material or services which are proposed to be furnished, and that extensions must be shown and that if not so shown, their bid may be rejected as irregular.
7. Additional Charges: The price quoted for each item is the full purchase price, including packaging and delivery charges, and includes all premiums on bonds, material or service costs, patent royalties and all other overhead charges of every kind and nature. The Contractor warrants that prices include all charges for packing, crating and transportation to F.O.B. points.
8. Contractors Record and Qualifications: The Contractor, within forty-eight hours after being requested in writing by Pace, shall furnish evidence satisfactory to Pace of the Contractor's ability and responsibility, financial and otherwise, to furnish the material or service specified in the manner and at the time prescribed and in accordance with the specifications of Pace.
9. Modifications to Contract
  - a. For Request for Proposals (RFPs), requests for any change in the Contract proposal documents must be submitted as Contract exceptions along with the technical and price proposals on the RFP due date.
  - b. Request for any change in the Contract after award shall be submitted in writing to Chief Procurement Officer for prior approval. Oral change orders are not permitted. No change in the Contract shall be made except in writing signed by the Chief Procurement Officer or a designated representative. The Contractor shall be liable for all costs resulting from, and/or for satisfactorily correcting, any specification change not properly ordered by written modification to the Contract and signed by Pace.
10. Cash Discounts: The Contractor offering the lowest bid shall be determined by comparing the gross individual unit prices, or the gross bid total, as applicable. Cash (early payment) discounts are not taken into consideration when selecting the lowest bid.
11. Performance: It is understood and agreed that time of performance is of the essence of this Contract. If the Contractor is delayed in the performance of the services purchased under the Contract by a cause beyond his control, he must immediately upon receiving knowledge of such delay, give written notice to Pace and request an extension of time for completion of the Contract. Pace shall examine the request and determine if the Contractor is entitled to an extension. Pace shall notify the Contractor of the decision in writing.

#### SECTION B – GENERAL TERMS AND CONDITIONS

1. Delivery: It is understood and agreed that time of delivery is of the essence of this Contract. If the Contractor is delayed in the delivery of goods or services purchased under the Contract by a cause beyond his control, he must immediately upon receiving knowledge of such delay, give written notice to Pace and request an extension of time for completion of the Contract. Pace shall examine the request and determine if the Contractor is entitled to an extension. Pace shall notify the Contractor of the decision in writing.
2. Entire Agreement: This Contract contains the entire agreement of the parties. It may not be modified or terminated orally, and no claimed modification, termination, or waiver shall be binding on Pace unless in writing signed by the Chief Procurement Officer or the duly authorized representative. No modification or waiver shall be deemed effected by the Contractor's acknowledgment or confirmation containing other or different terms. All titles to clauses contained in this Contract are for identification only and shall not be construed as being a substantive part of the agreement. The Section headings contained in this Contract are for convenience and reference only and in no way define, limit, or describe the scope or intent of this Contract.

3. **Indemnification:** The Contractor shall indemnify, keep and save harmless Pace, its agents, officials and employees against all injuries, losses, claims, suits, costs and expenses which may accrue against Pace arising out of the services or products provided under this Contract, including any copyright or patent infringement or claim of such infringement arising from the intended use of goods or services furnished hereunder. The Contractor agrees to indemnify and hold harmless Pace, its employees and Officers, from any and all claims by persons or entities that may arise out of and in the course of its performance of this Contract, and from any and all claims by its subcontractors, employees or independent contractors which may arise out of and in the course of performance of this Contract. Any and all claims for unemployment benefits and worker's compensation benefits are expressly waived by the Contractor, its subcontractors, employees, and independent contractors, who agree to maintain separate policies of insurance as hereinafter are provided in this agreement. The Contractor shall retain independent counsel and at its expense shall assume and defend all claims, demands and suits covered in this indemnification section.
4. **Assignments:** The Contractor agrees that neither this Contract nor any part of it or any of the monies due from this Contract may be assigned without the prior written consent of Pace. Any successor or assign under this Contract will be required to accede to all of the terms, conditions and requirements of this Contract as a condition precedent to such succession or assignment. Assignment of any portion of the work by subcontract must be approved in advance by Pace, in writing. Pace reserves the right to assign all or part of the specified deliverables in this Contract as originally advertised, competed, evaluated, and awarded including base and option quantities.
5. **Waiver:** Pace's failure to promptly enforce any of the conditions of this Contract shall not constitute a waiver of any of Pace's other rights.
6. **Termination:** Pace may terminate this Contract at any time hereafter, with or without cause, by giving written notice to the Contractor at the address specified above. Termination shall be effective upon receipt of such notice by the Contractor. If Pace terminates this Contract other than for breach thereof by the Contractor, Pace agrees to pay the Contractor, and the Contractor agrees to accept as its sole remedy, cancellation charges equal to the remaining unpaid costs accrued and obligated to date of cancellation. In the event of breach or violation by the Contractor of any provision of the Contract, Pace may allow the Contractor a reasonable opportunity to cure the breach prior to termination under this provision. Upon termination of this Contract for breach by the Contractor, the Contractor assumes liability for all excess costs incurred by Pace to complete the Scope of Services specified in the Contract.
7. **Price Warranty:** The Contractor warrants that the unit price(s) charged herein do not exceed the unit prices charged by the Contractor to any other customers in substantially similar transactions. The Contractor agrees to make any price rebate which this warranty may require.
8. **Payment:** Payments will be made in accordance with the terms in the Contract, or the Contractor's invoice, whichever are more favorable to Pace. The payment date shall be calculated from the receipt of invoice or final acceptance of the goods or services, whichever is later in accordance with the Local Government Prompt Payment Act. Under the Act, Pace will pay the Contractor within thirty (30) days of its approval of the Contractor's invoice. The Contractor agrees that it shall pay all subcontractors who have completed satisfactory work under the subcontract no later than thirty (30) days from receipt of payment by Pace. The Contractor further agrees to return any retainage payments withheld from subcontractor within thirty (30) days after the subcontractor's work is satisfactorily completed. This requirement is also applicable to all sub-tier subcontractors and suppliers, and shall be made a part of all subcontracts and agreements. Pace is exempt from local, state, and federal taxes.
9. **Processing Data Between Years and Centuries:** Hardware, software and firmware delivered under this Contract shall be able to accurately process data between years and centuries.
10. **Regulatory Compliance:** All goods and services furnished hereunder by the Contractor shall comply with all Federal, State and local laws, rules and regulations as applicable, including, but not limited to:
  - a. Surface Transportation Assistance Act of 1982, Section 165a of Public Law 100-17 (Buy America).
  - b. The Occupational Safety and Health Act of 1970, and the Illinois Toxic Substance Act, with respect to the design, construction or use for their intended purpose of said goods or services and the labeling of all goods and containers for the protection and safety of persons and property.
11. **Equal Employment Opportunity:** In connection with the execution of this Contract, the Contractor shall not discriminate against any employee or applicant for employment because of race, religion, color, sex, age, national origin, ancestry, marital status, physical or mental handicap or unfavorable discharge from military service. The Contractor shall take affirmative actions to ensure that applicants are employed, and that employees are treated during their employment, without regard to their race, religion, color, sex, age, national

origin, ancestry, marital status, physical or mental handicap or unfavorable discharge from military service. Such action shall include but not be limited to, the following: employment, upgrading, demotion, transfer, recruitment, advertising, layoff, termination, rates of pay or other forms of compensation, and selection for training, including apprenticeship. If the Contractor is required to file an Affirmative Action Plan with any federal, state or local agency, the Contractor assures Pace that it is in full compliance with such filing requirements.

The Contractor agrees to comply with all provisions of the "Illinois Human Rights Act", 775 ILCS Title 5, as now or hereafter amended and with all rules, regulations, and guidelines on discrimination in employment as now or hereafter promulgated thereunder. All such provisions, rules, resolutions and guidelines, including but not limited to; Article VI "Equal Opportunity Clause" of the Rules and Regulations of the Department of Human Rights are hereby incorporated into the Contract by reference.

12. Disadvantaged Business Enterprise Compliance Requirements: Pursuant to Federal regulations for Disadvantaged Business Enterprise (DBE) programs, Contractor agrees to the following DBE assurances, and agrees to include this clause in all subcontracts:

*The Contractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The Contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of DOT-assisted contracts. Failure by the Contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as Pace deems appropriate.*

**PACE HAS SET A GOAL OF 0 % DBE PARTICIPATION FOR THIS CONTRACT**

#### DBE RESPONSIVENESS REQUIREMENTS

**In order to be considered responsive, a bidder must make good faith efforts to meet the goal for Disadvantaged Business Enterprise (DBE) participation in this contract. The bidder must comply with Paragraphs A and B below and submit all documentation with submittal of the bid. If the bidder fails to do so, its bid may be deemed non-responsive and may be rejected.**

- A. Properly completing and signing Schedule A (Summary of DBE Participation). Schedule A is a list of all DBE subcontractors, their scope of work to be performed and dollar amount of participation of each DBE subcontractor.

**ANY DBE(s) LISTED ON SCHEDULE A MUST BE DBE CERTIFIED BY THE ILLINOIS UNIFIED CERTIFICATION PROGRAM (IL UCP) AT THE TIME OF THE BID OPENING.**

- B. Properly complete Schedule B (Confirmation of Proposed DBE Participation) of this Exhibit. Schedule B must list the name of the DBE subcontractor, a detailed description of DBE's scope of work, and dollar amount of participation of each, and only each, DBE that will participate in this contract. If the bidder is itself a DBE, the DBE bidder must indicate on Schedule B what scope of work its forces will actually perform outside of the work of any subcontractor, and the dollar amount of that work. If this amount does not satisfy the DBE goal, the DBE bidder must list the additional DBE subcontractor(s) that will satisfy the DBE goal, along with their scope of work and agreed upon subcontract amount(s).

#### DBE RESPONSIBILITY REQUIREMENTS

- A. DBE Joint Ventures

If the bidder is a DBE joint venture, a two-party signed joint venture agreement (Schedule C) must be submitted to Pace for Pace's approval along with your bid. This agreement must address the administrative, financial, and field responsibilities of each partner. The DBE participation must meet the criteria as set forth in the definitions in the following section "Calculating DBE Participation."

- B. Substitutions

The bidder cannot substitute any DBEs listed on Schedule A or C (if a joint venture) without prior written approval from Pace.

#### CALCULATING DBE PARTICIPATION

**Pace will only count those DBEs that are certified by the IL UCP at the time of bid opening towards a Pace Contract goal.**



A. Definitions

**“Disadvantaged Business Enterprise” or “DBE”** means a for-profit small business concern that meets all of the following criteria:

1. Is at least fifty-one percent (51%) owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which fifty-one percent (51%) of the stock is owned by one or more such individuals
2. Whose management structure and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it
3. Is certified by the IL UCP at the time of bid opening

**“Good Faith Efforts”** means efforts to achieve a DBE goal which, by their scope, intensity, and appropriateness to the objective, can reasonably be expected to fulfill the program requirement. This definition is not intended to relieve the bidder of any of the responsiveness (or responsibility) requirements listed in SECTION B, *Disadvantaged Business Enterprise Compliance Requirements* of this Exhibit.

**“Joint Venture”** means an association of a DBE firm and one or more other firms to carry out a single, for-profit business enterprise, for which the parties combine their property, capital, efforts, skills and knowledge, and in which the DBE is responsible for a distinct, clearly defined portion of the work of the contract and whose share in the capital contribution, control, management, risks, and profits of the joint venture are commensurate with its ownership interest.

**“Small Business concern”** means with respect to firms seeking to participate as DBEs in DOT-assisted contracts, a small business concern as defined pursuant to Section 3 of the Small Business Act and Small Business Administration regulations implementing it (13 CFR Part 121) that also does not exceed the cap on average annual gross receipts specified in 49 CFR Part 26.65(b).

**“Socially and Economically Disadvantaged”** individual means any individual who is a citizen (or lawfully admitted permanent resident) of the United States and who is:

1. Any individual who Pace finds to be a socially and economically disadvantaged individual on a case-by-case basis.
2. Any individual in the following groups, members of which are presumed to be socially and economically disadvantaged:
  - a. *“Black Americans,”* which includes persons having origins in any of the Black racial groups of Africa;
  - b. *“Hispanic Americans,”* which includes persons of Mexican, Puerto Rican, Cuban, Dominican, Central or South American, or other Spanish or Portuguese culture or origin, regardless of race;
  - c. *“Native American,”* which includes persons who are American Indians, Eskimos, Aleuts, or Native Hawaiians;
  - d. *“Asian Pacific American,”* which includes persons whose origins are from Japan, China, Taiwan, Korea, Burma (Myanmar), Vietnam, Laos, Cambodia (Kampuchea), Thailand, Malaysia, Indonesia, the Philippines, Brunei, Samoa, Guam, the U.S. Trust Territories of the Pacific Islands (Republic of Palau), the Commonwealth of the Northern Marianas Island, Macao, Fiji, Tonga, Kiribati, Juvalu, Nauru, Federated States of Micronesia, or Hong Kong;
  - e. *“Subcontinent Asian American,”* which includes persons whose origins are from India, Pakistan, Bangladesh, Bhutan the Maldives Island, Nepal or Sri Lanka;
  - f. *“Women”*;
  - g. Any additional groups whose members are designated as socially and economically disadvantaged by the United States Small Business Administration (SBA), at such time as SBA designation becomes effective.

B. General Conditions/DBE Calculations

Pace will use the certification standards of Subpart D of *49 CFR Part 26* and the certification procedures of Subpart E of *49CFR Part 26* to determine the eligibility of firms to participate as DBEs in DOT-assisted contracts. To be certified as a DBE, a firm must meet all certification eligibility standards. Pace, Suburban Bus Division of the Regional Transportation Authority will make its certification decision based on the facts as a whole.

As a partner in the IL UCP, Pace can provide, upon request, a directory of IL UCP DBE firms. The directory will also be available electronically at [www.Pacebus.com](http://www.Pacebus.com).

As required by 49 CFR Part 26.55, Pace counts DBE participation toward overall and contract goals as follows:

1. When a DBE participates in a contract, Pace counts only the value of the work actually performed by the DBE toward the DBE goal. Participation will only be credited in the DBE's area of specialization. Credit for work in other areas requires additional support documentation for each of those areas.
2. Pace counts the entire amount of that portion of a contract that is performed by the DBE's own forces. This includes the cost of supplies and materials obtained by the DBE for the work of the contract, including supplies purchased or equipment leased by the DBE (except supplies and equipment the DBE subcontractor purchases or leases from the Contractor or its affiliate).
3. Pace counts the entire amount of fees or commissions charged by a DBE firm for providing a bona fide service, such as professional, technical, consultant, or managerial services, or for providing bonds or insurance specifically required for the performance of a DOT-assisted contract, toward DBE goals, provided Pace determines the fee to be reasonable and not excessive as compared with fees customarily allowed for similar services.
4. When a DBE subcontracts part of the work of its contract to another firm, the value of the subcontracted work may be counted toward DBE goals only if the DBE's subcontractor is itself a DBE. Work that a DBE subcontracts to a non-DBE firm does not count toward DBE goals.
5. When a DBE performs as a participant in a joint venture, Pace counts a portion of the total dollar value of the contract equal to the distinct, clearly defined portion of the work of the contract that the DBE performs with its own forces toward DBE goals.
6. Pace counts expenditures to a DBE toward DBE goals only if the DBE is performing a commercially useful function on this contract.
  - a. A DBE performs a commercially useful function when it is responsible for execution of the work of the contract and is carrying out its responsibilities by actually performing, managing, and supervising the work involved. To perform a commercially useful function, the DBE must also be responsible, with respect to materials and supplies used on the contract, for negotiating price, determining quality and quantity, ordering the material, and installing (where applicable) and paying for the material itself. To determine whether a DBE is performing a commercially useful function, Pace, Suburban Bus Division of the Regional Transportation Authority must evaluate the amount of work subcontracted, industry practices, whether the amount the firm is to be paid under the contract is commensurate with the work it is actually performing, and the DBE credit claimed for its performance of work, and other relevant factors.
  - b. A DBE does not perform a commercially useful function if its role is limited to that of an extra participant in a transaction, contract, or project through which funds are passed in order to obtain the appearance of DBE participation. In determining whether a DBE is such an extra participant, Pace, Suburban Bus Division of the Regional Transportation Authority must examine similar transactions particularly those in which DBEs do not participate.
  - c. If a DBE firm acting as a Contractor and/or as a subcontractor under this contract does not perform or exercise responsibility for at least thirty percent (30%) of the total cost of its contract with its own work force, or the DBE subcontracts a greater portion of the work of a contract than would be expected on the basis of normal industry practice for the type of work involved, Pace must presume that it is not performing a commercially useful function.
  - d. Pace uses the following factors in determining whether a DBE trucking company is performing a commercially useful function:
    - i. The DBE must be responsible for the management and supervision of the entire trucking operation for which it is responsible on a particular contract, and there cannot be a contrived arrangement for the purpose of meeting DBE goals;
    - ii. The DBE must itself own and operate at least one fully licensed, insured, and operational truck used on the contract;
    - iii. The DBE receives credit for the total value of the transportation services it provides on the contract using trucks it

owns, insures, and operates using drivers it employs;

- iv. The DBE may lease trucks from another DBE firm, including an owner-operator who is certified as a DBE. The DBE who leases trucks from another DBE receives credit for the total value of the transportation services the lessee DBE provides on the contract;
  - v. The DBE may also lease trucks from a non-DBE firm, including an owner-operator. The DBE who leases trucks from a non-DBE is entitled to credit only for the fee or commission it receives as a result of the lease agreement. The DBE does not receive credit for the total value of the transportation services provided by the lessee, since these services are not provided by a DBE; and
  - vi. For purposes of this subparagraph (d), a lease must indicate that the DBE has exclusive use of and control over the truck. This does not preclude the leased truck from working for others during the term of the lease with the consent of the DBE, so long as the lease gives the DBE absolute priority for use of the leased truck. Leased trucks must display the name and identification number of the DBE.
- e. If a DBE is presumed not to be performing a commercially useful function as provided in these requirements, the DBE may present evidence to rebut this presumption. Pace may determine that the firm is performing a commercially useful function given the type of work involved and normal industry practices.
  - f. Pace's decisions on commercially useful function matters are subject to review by the Federal Transit Administration, but are not administratively appealable to United States Department of Transportation.
7. Pace counts expenditures with DBEs for materials or supplies toward DBE goals as provided in the following:
- a. If the materials or supplies are obtained from a DBE manufacturer, Pace, Suburban Bus Division of the Regional Transportation Authority counts 100 percent (100%) of the cost of the materials or supplies toward DBE goals;
  - b. For purposes of these requirements, a manufacturer is a firm that operates or maintains a factory or establishment that produces, on the premises, the materials, supplies, articles, or equipment required under the contract and of the general character described by the specifications;
  - c. If materials or supplies are purchased from a DBE regular dealer, Pace, Suburban Bus Division of the Regional Transportation Authority counts sixty percent (60%) of the cost of the materials or supplies toward DBE goals;
  - d. For purposes of these requirements, a regular dealer is a firm that owns, operates, or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the contract are bought, kept in stock, and regularly sold or leased to the public in the usual course of business.
    - i. To be a regular dealer, the firm must be an established, regular business that engages, as its principal business and under its own name, in the purchase and sale or lease of the products in question;
    - ii. A person may be a regular dealer in such bulk items as petroleum products, steel, cement, gravel, stone, or asphalt without owning, operating, or maintaining a place of business as provided in this paragraph if the person both owns and operates distribution equipment for the products. Any supplementing of regular dealer's own distribution equipment shall be by a long-term lease agreement and not on an ad hoc or contract-by-contract basis;
  - iii. Packagers, brokers, manufacturers' representatives, or other persons who arrange or expedite transactions are not regular dealers within the meaning of this paragraph;
  - iv. With respect to materials or supplies purchased from a DBE which is neither a manufacturer nor a regular dealer, Pace counts the entire amount of fees or commissions charged for assistance in the procurement of the materials and supplies, or fees or transportation charges for the delivery of materials or supplies required on a job site, toward DBE goals, provided Pace determines the fees to be reasonable and not excessive as compared with fees customarily allowed for similar service. Pace will not count any portion of the cost of the materials and supplies themselves toward DBE goals, however;

8. Pace will not count toward its overall goal the dollar value of work performed under a contract by a firm after it has ceased to be certified.
9. Pace will not count the participation of a DBE subcontractor toward the Contractor's DBE achievements or Pace's overall goal until the amount being counted toward the goal has been paid to the DBE.

**GOOD FAITH EFFORTS**

In order to be responsive, a bidder must make good faith efforts to meet Pace's DBE goal in either of two ways. The bidder must either 1) document how it will meet the full goal by completing and signing Schedule A or C (if a joint venture); or 2) document its attempt to meet the goal through detailed, corroborating evidence, i.e. demonstrate that it took *all necessary and reasonable steps* which, by their scope, intensity, and appropriateness to the objective, could reasonably be expected to obtain sufficient DBE participation, even if the bidder was not fully successful. Pace will make a fair and reasonable judgment whether a bidder that did not meet the goal made adequate good faith efforts. Pace will consider the quality, quantity, and intensity of the different kinds of efforts that the bidder/proposer made. The efforts employed by the bidder should be those that one would reasonably expect a bidder to take if the bidder were actively and aggressively trying to obtain DBE participation sufficient to meet the DBE contract goal. Mere *pro forma* efforts are not good faith efforts to meet the DBE contract requirements.

The following is a list of types of action that Pace will consider as part of the evaluation of the bidder's good faith efforts to obtain DBE participation. It is not intended to be a mandatory check list, or to be exclusive or exhaustive. Other factors or types of efforts may be relevant in appropriate cases:

- A. Soliciting through all reasonable and available means (e.g. attendance at pre-bid meetings, if applicable, advertising, and/or written notices) the interest of all certified DBEs who have the ability to perform the work of the contract. The bidder must solicit this interest within sufficient time to allow the DBEs to respond to the solicitation. The bidder must determine with certainty if the DBEs are interested by taking appropriate steps to follow up initial solicitations.
- B. Selecting portions of the work to be performed by DBEs in order to increase the likelihood that the DBE goals will be achieved. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate DBE participation, even when the bidder might otherwise prefer to perform these work items with its own forces.
- C. Providing interested DBEs with adequate information about the plans, specifications, and requirements of the contract in a timely manner to assist them in responding to a solicitation.
- D. Negotiating in Good Faith with interested DBEs
  1. It is the bidder's responsibility to make a portion of the work available to DBE subcontractors and suppliers and to select those portions of the work or material needs consistent with the available DBE subcontractors and suppliers, so as to facilitate DBE participation. Evidence of such negotiation includes:
    - a. the names, addresses, and telephone numbers of DBEs that were considered
    - b. a description of the information provided regarding the plans and specifications for the work selected for subcontracting
    - c. evidence as to why additional agreements could not be reached for DBEs to perform the work
  2. A bidder using good business judgment would consider a number of factors in negotiating with subcontractors, including DBE subcontractors, and would take into consideration a firm's price and capabilities, as well as contract goals. The fact that there may be some additional costs involved in finding and using DBEs, however, is not in itself sufficient reason for a bidder's failure to meet the contract DBE goal, as long as such costs are reasonable. Also, the ability or desire of a bidder to perform the work of a contract with its own organization does not relieve the bidder of the responsibility to make good faith efforts. Bidders are not, however, required to accept high quotes from DBEs if the price difference is excessive or unreasonable.
- E. Not rejecting DBEs as being unqualified without sound reasons based on a thorough investigation of their capabilities. The bidder's standing within the industry, membership in specific groups, organizations, or associations and political or social affiliations (for example, union vs. non-union employee status) are not legitimate causes for the rejection or non-solicitation of bids in the bidder's efforts to meet the project goal.
- F. Making efforts to assist interested DBEs in obtaining bonding, lines of credit, or insurance as required by Pace or the bidder.

- G. Making efforts to assist interested DBEs in obtaining necessary equipment, supplies, materials, or related assistance or services.
- H. Effectively using the services of available minority/women community organizations; minority/women contractors' groups; local, state, and federal minority/women business assistance offices, and other organizations as allowed on a case-by-case basis to provide assistance in the recruitment and placement of DBEs.

Pace will also take into account the performance of other bidders in meeting the contract goal. For example, when the apparent successful bidder fails to commit to the contract goal, but others commit to the goal, Pace will raise the question of whether, with additional reasonable efforts, the apparent successful bidder could have committed to the goal. If the apparent successful bidder fails to commit to the goal but meets or exceeds the average DBE participation obtained by other bidders, Pace may view this, in conjunction with other factors, as evidence that the apparent successful bidder made good faith efforts.

The DBE Liaison Officer for Pace is responsible for determining whether a bidder has properly committed to meet the DBE goal and whether a bidder who has not committed to meeting the goal has documented good faith efforts in order to be responsive. Pace must be satisfied that all information is complete and accurate, and adequately documents the bidder's good faith efforts before Pace commits to the performance of the contract by the successful bidder.

**RECONSIDERATION**

In accordance with 49 CFR §26.53(d), if Pace determines that a bidder is not responsive because it has not committed to meeting the contract goal or has not documented sufficient good faith efforts, it will notify the bidder in writing, and the bidder will have five (5) business days after receipt of this notification to request administrative reconsideration. The bidder must make this request in writing to the following Pace Reconsideration Official:

General Counsel  
Pace  
550 W. Algonquin Road  
Arlington Heights, IL 60005

The Reconsideration Official will not have played any role in the original determination that the bidder did not document sufficient good faith efforts.

As part of this Reconsideration, the bidder shall have the opportunity to provide written documentation or argument concerning the issue of whether it committed to meeting the contract goal or made adequate good faith efforts to do so. The bidder can also request in writing to meet in person with Pace's Reconsideration Official to discuss these issues; this request for a meeting must be submitted within five (5) business days after receipt of notification of non-compliance. Pace will send the bidder a written decision within ten (10) business days after its reconsideration request was received by Pace, Suburban Bus Division of the Regional Transportation Authority, explaining Pace's basis for the finding that the bidder did or did not meet the goal or did or did not make adequate good faith efforts to do so. The result of this reconsideration process is not administratively appealable to the United States Department of Transportation and Pace, Suburban Bus Division of the Regional Transportation Authority's decision shall be final.

DOCUMENTATION REQUIREMENTS

A. Documentation of Subcontracts and Subcontractor Agreements after Contract Award

Within thirty (30) days upon receipt of an executed purchase order and contract, the Contractor must submit to the DBE Liaison Officer at Pace copies of SIGNED contracts between the Contractor and the DBE company/companies listed on its original DBE Schedules A and B.

FAILURE TO PROVIDE THE SIGNED SUBCONTRACT(S) TO PACE WITHIN THE TIME FRAME REQUIRED SHALL CONSTITUTE A BREACH OF THIS CONTRACT, AND UPON SUCH BREACH, PACE MAY TERMINATE THIS CONTRACT AND/OR EXERCISE OTHER SANCTIONS, PENALTIES, OR REMEDIES AS ALLOWED BY LAW OR EQUITY, AND AS PACE DEEMS APPROPRIATE.

B. Documentation of Payments Made to DBE Firms

1. The Contractor must submit copies of the DBE’s monthly contract invoices including support documentation to the DBE Liaison Officer at the same time they are submitted to Pace Account Payable.
2. The Contractor must submit copies of the form illustrated below (including support documentation) to the DBE Liaison Officer on a quarterly basis. This form must be used in order to properly credit the Contractor’s progress in attaining the DBE goal.

**SAMPLE ONLY – DO NOT COMPLETE**

| Subcontract or Name (Company) | Description of services/work/product performed | Committed Percentage (for this reporting quarter) | Committed Percentage (YTD) | Total paid to Sub (Current quarter) | YTD paid to Sub (From date of contract) |
|-------------------------------|--|---|----------------------------|-------------------------------------|---|
|                               |  |   |                            | \$                                  | \$                                      |
|                               |  |   |                            | \$                                  | \$                                      |
|                               |  |   |                            | \$                                  | \$                                      |
|                               |  |   |                            | \$                                  | \$                                      |
| <b>Total</b>                  |  |   |                            |                                     | \$                                      |

C. Pace may make on-site visits from time to time during the course of this contract to ensure compliance with the requirements set forth herein.

Pace may require verification of any commitment represented to us in connection with the Contractor’s use of DBE businesses in the performance of this contract. Pace reserves the right to review the certified payrolls for the Contractor and all contractors working on this contract.

**Further, if problems should arise with respect to the Contractor’s subcontract with any DBEs, please contact Pace’s DBE Liaison Officer so that Pace may be apprised of all DBE issues.**

D. Substitution or Termination of DBE Firms

The Contractor may not terminate a listed and approved DBE subcontractor or an approved substitute DBE firm without the prior written approval of Pace’s DBE Liaison Officer and Pace’s Project Manager. This includes, but is not limited to, instances in which a Contractor seeks to perform work originally designated for a DBE subcontractor with its own forces or those of an affiliate, a non-DBE firm, or with another DBE firm. The Contractor will have to show good cause in order to terminate the listed and approved DBE firm.

Good Cause includes the following circumstances:

1. The listed DBE subcontractor fails or refuses to execute a written contract;
2. The listed DBE subcontractor fails or refuses to perform work of its subcontract in a way consistent with normal industry standards. Provided, however, that good cause does not exist if the failure or refusal of the DBE subcontractor to perform its work on the subcontract results from the bad faith or discriminatory action of the Contractor;
3. The listed DBE subcontractor fails or refuses to meet the Contractor’s reasonable, nondiscriminatory bond requirements;
4. The listed DBE subcontractor becomes bankrupt, insolvent, or exhibits credit unworthiness;
5. The listed DBE subcontractor is ineligible to work on public works projects because of suspension and debarment proceedings pursuant to 2 CFR Parts 180, 215, and 1200 or applicable state law;
6. Pace’s DBE Liaison Office has determined that the listed DBE subcontractor is not a responsible Contractor;
7. The listed DBE subcontractor voluntarily withdraws from the project and provides to you written notice of its withdrawal;
8. The listed DBE is ineligible to receive DBE credit for the type of work required;
9. A DBE owner dies or becomes disabled with the result that the listed DBE contractor is unable to complete its work on the contract.
10. Other documented good cause that Pace’s DBE Liaison Office determines compels the termination of the DBE subcontractor. Provided that good cause does not exist if;
  - The Contractor seeks to terminate a DBE it relied upon to obtain the contract so that the Contractor can self-perform the work for which the DBE subcontractor was engaged; or
  - So that the Contractor can substitute another DBE or non-DBE subcontractor after contract award.

Before the Contractor seeks to terminate and/or substitute a DBE subcontractor, the Contractor must give notice in writing to the DBE subcontractor, with a copy to Pace’s Project Manager and Pace’s DBE Liaison Officer, of its intent to request to terminate and/or substitute, and the reason for the request. The DBE firm will have five (5) working days (or less if required by public necessity) to respond to the Contractor’s notice and advise the DBE Liaison Officer and the Contractor of the reasons, if any, why it objects to the proposed termination of its subcontract and why Pace should not approve the Contractor’s action.

In the situation where the DBE’s work scope has been modified by Pace, the Contractor must immediately notify Pace’s Project Manager and Pace’s DBE Liaison Officer to discuss a revised “Commitment to DBE Participation”.

These provisions apply to post-award terminations and pre-award deletions of, or substitutions for, DBE firms put forward by offerors in negotiated procurements.

**E. Inspections and Records**

1. Pace may, with or without notice, periodically conduct on-site visits of any contract performance site or the place of business of any Contractor or DBE subcontractor from time to time during the course of a contract to ensure compliance with the requirements set forth in Pace’s contracts. The DBE department may be assisted by other Pace staff, and shall be entitled to reasonable access to facilities, personnel, and records related to the compliance plan.
2. Pace may require verification of any commitment represented to us in connection with the Contractor’s use of DBE businesses in the performance of this contract.
3. Pace reserves the right to review the certified payrolls, performance/payment records concerning subcontractors’ payroll records, tax returns and records, and books of accounts for the Contractor and all subcontractors working on any Pace, Suburban Bus Division of the Regional Transportation Authority contract. Full access shall be granted upon 48-hours’ notice by Pace, Suburban Bus Division of the Regional Transportation Authority or any duly authorized representative thereof or any law enforcement authority.

F. Change Orders

The contract specific DBE goals applicable to a contract may also be applicable to change orders or contract modifications, when the proposed change order work relates to the services provided by the DBE subcontractor.

G. Non-Compliance and Sanctions

1. Determination of Non-Compliance

- a. It will be the responsibility of Pace’s DBE Liaison Officer to monitor the compliance plan, as well as the fulfillment of any special conditions, work order goals, or other obligations of the contract as it pertains to the DBE program and DBE goals.
- b. Prior to contract closeout, the DBE Liaison Officer shall determine whether a Contractor has complied with the obligations under its compliance plan and other related requirements. The Contractor has the burden of proving compliance with all obligations and requirements
- c. If the Contractor fails to fulfill the requirements of the compliance plan or other compliance-related contractual obligation, Pace will notify the Contractor of the deficiencies. Following notification, the Contractor shall have sixty (60) days to cure the deficiencies. If the deficiencies are not cured, Pace shall make a determination of non-compliance and recommend the imposition of sanctions.

2. Sanctions for Non-Compliance

- a. Sanctions for non-compliance may include, but are not limited to, the following:
  - i. Withholding of payments under the contract;
  - ii. Recommendation not to exercise contract renewal option, if any;
  - iii. Termination of the contract
  - iv. Debarment from future business with Pace, Suburban Bus Division of the Regional Transportation Authority



## DBE Schedule A Checklist

*A completed and signed Schedule A consists of the following elements:*

- 1. Contractor
- 2. Name of Project
- 3. Phone
- 4. Email
- 5. IFB/RFP Number
- 6. **TOTAL** Estimated Contract Amount
- 7. Projected DATES
- 8. Title of Affiant (Contractor Duly Authorized Representative)
- 9. Contractor Company Name
- 10. DBE Participant(s) Company Name(s)
- 11. Scope of Work / Description (In Detail) for Each DBE Participant
- 12. Dollar Amount of Each DBE Contract - **Total** from each DBE's Schedule B)
- 13. Net DBE Credit \*60% credited for materials and supplies (see notation below if applicable)
- 14. TOTAL Dollar Amount for All DBE Contracts Listed
- 15. TOTAL Net DBE Credit (If applicable)
- 16. Printed or Typed Name of Contractor 's Affiant
- 17. Title of Affiant
- 18. Signature of Affiant
- 19. Date Signed

**Note:** *This Checklist serves solely as a reference guide to assist the Bidder in adequately submitting all required documents*  
**Instructions for NET DBE CREDIT**

If the materials or supplies are obtained from a DBE manufacturer, count 100 percent (100%) of the cost of the materials or supplies toward DBE goals.

A **manufacturer** is a firm that operates or maintains a factory or establishment that produces, on the premises, the materials, supplies, articles, or equipment required under the contract and of the general character described by the specifications.

If the materials or supplies are purchased from a DBE regular dealer, count 60 percent (60%) of the cost of the materials or supplies toward DBE goals.

A regular **dealer** is a firm that owns, operates, or maintains a store, warehouse, or other establishment in which the materials, supplies, articles or equipment of the general character described by the specifications and required under the contract are bought, kept in stock, and regularly sold or leased to the public in the usual course of business.

*Pace will not count the participation of a DBE subcontractor toward a contractor's final compliance with its DBE obligations on a contract until the amount being counted has actually been paid to the DBE.*

**SCHEDULE A**

**CONTRACTOR - SUMMARY OF DBE PARTICIPATION AS SUBCONTRACTOR, SUPPLIER AND/OR CONSULTANT**

NAME OF CONTRACTOR: (1) \_\_\_\_\_ NAME OF PROJECT: (2) \_\_\_\_\_

PHONE # (3) \_\_\_\_\_ EMAIL: (4) \_\_\_\_\_ IFB/RFP NUMBER: (5) \_\_\_\_\_

TOTAL ESTIMATED CONTRACT AMOUNT: (6) \$ \_\_\_\_\_ PROJECTED BEGINNING/ENDING DATES OF WORK: (7) \_\_\_\_\_

In connection with the above captioned contract, I HEREBY DECLARE AND AFFIRM that I am the (8) \_\_\_\_\_ and duly authorized representative of (9) \_\_\_\_\_

*(Title of Affiant)*

*(Name of Contractor)*

and that I have personally reviewed the material and facts set forth in and submitted with the attached Disadvantaged Business Enterprises (DBE) Schedules for each DBE. Listed below is/are the agreement(s) that correspond(s) with the Schedule B submitted by **each** DBE and **listed separately** for **each** DBE participating on the above-mentioned contract:

| NAME OF DBE SUBCONTRACTOR<br>(10)   | SCOPE OF WORK TO BE PERFORMED<br>(11) | AGREED<br>SUBCONTRACT<br>PRICE (12)  | NET DBE<br>CREDIT * (13) |
|---|---------------------------------------|--------------------------------------|--------------------------|
|   |                                       |                                      |                          |
|   |                                       |                                      |                          |
|   |                                       |                                      |                          |
| <b>NOTE:</b> PRICES REPRESENTED ON THIS PAGE SHOULD ACCURATELY REFLECT AGREEMENT BETWEEN CONTRACTOR AND SUBCONTRACTOR.  |                                       | TOTAL DBE (14)<br>CONTRACT AMOUNT \$ |                          |
| * ONLY 60% OF AGREED SUBCONTRACT PRICE MAY BE CREDITED FOR MATERIALS AND SUPPLIES<br>LIST ONLY BONA FIDE DBE OWNED & CONTROLLED FIRMS THAT WILL PARTICIPATE IN THIS CONTRACT. |                                       | TOTAL NET (15)<br>DBE CREDIT \$      |                          |

**AFFIDAVIT OF CONTRACTOR – *failure to submit this form without a signature will result in the bid being rejected in its entirety***

The undersigned will enter into formal agreements with all listed DBE firms for work as indicated by this Schedule A and accompanying Schedules and will enter into such agreements within thirty (30) calendar days after receipt of the contract executed by Pace. In the event the Contractor cannot meet said thirty (30) day schedule, it must provide a written explanation for the delay and an estimate date by which the written agreement will be completed.

I understand that if I knowingly provide incorrect information or false statements or fail to comply with contract DBE requirements that Pace has an obligation (49 CFR 29.17(B)) to inform the U.S. Department of Transportation who may then initiate actions which would prohibit the Contractor from participation in future government contracts and may result in conviction for a Class 2 felony, including a penalty for one and a half times the value of the contract. Any substitutions of the above-named subcontractors requires prior written approval from Pace.

I do solemnly declare and affirm under penalty of perjury that the contents of the foregoing document are true and correct, and no material facts have been omitted, and that I am authorized on behalf of the Contractor to make this affidavit.

\_\_\_\_\_  
*(Name of Contractor's Affiant – Print or Type)*

\_\_\_\_\_  
*Title of Affiant*

\_\_\_\_\_  
*(Signature)*

\_\_\_\_\_  
*(Date)*

**DBE Schedule B Checklist**

**Letter of Intent from DBE to Perform as Subcontractor, Supplier  
and/or Consultant**

*A completed and signed Schedule B consists of the following elements:*

- 1. IFB/RFP Number
- 2. Name of Project
- 3. DBE Participant Company Name
- 4. Contractor Company Name
- 5. DBE Participant Address
- 6. DBE Participant Phone Number
- 7. DBE Participant Email Address
- 8. Date of IL UCP DBE Certification Letter
- 9. Description/Type of Work (In Detail)
- 10. Quantity/Unit Price, if Applicable
- 11. Dollar Amount of DBE Contract Total Sum Amount for Work or Extended Price for individual Quantity Items) **NOTE: Specify Total Value**
- 12. Grand Total of above Amount(s) and/or Extended Price(s)
- 13. Phase (if Applicable) in Which Above-Described Work Will Be Performed

***Subcontracting Levels***

- 14. % \*\_\_\_ of the dollar amount of the DBE's Subcontract will be sublet to DBE Contractors.
- 15. % \*\_\_\_ of the dollar amount of the DBE's Subcontract will be sublet to non-DBE Contractors.
  - \* *This is to disclose the % of above-named DBE participant's work to be further subcontracted to others (DBE or non-DBE), not the DBE Participant's % of work on the Contractor's contract.*
  - \* *% is to be filled in with a Zero (0) if the above-named DBE Participant will not be further subcontracting any of the work described in this Schedule B*
- 16. Explanation and Description of the Work To Be Sublet (if applicable)
- 17. Printed Name/Title of Owner, President or Authorized Agent of DBE Company
- 18. Signature of Owner, President or Authorized Agent of DBE Company
- 19. Date Signed

***If proposing to perform as a DBE/non-DBE Joint Venture:***

- 20. Completed SCHEDULE C must be attached

***Note: This Checklist serves solely as a reference guide to assist the Bidder in adequately submitting all required documents.***

**SCHEDULE B**  
**CONFIRMATION OF PROPOSED DBE PARTICIPATION**

***Proposer's failure to submit both pages of this form with its bid will result in the bid being rejected in its entirety***

IFB/RFP NUMBER: (1) \_\_\_\_\_

NAME OF PROJECT: (2) \_\_\_\_\_

FROM: (3) \_\_\_\_\_  
(Name of DBE firm)

TO: (4) \_\_\_\_\_ and Pace,  
(Name of Contractor)

(5) \_\_\_\_\_  
(Address of DBE Firm)

(6) \_\_\_\_\_  
(Phone Number of *Authorized Agent of DBE firm*)

(7) \_\_\_\_\_  
(Email Address of *Authorized Agent DBE firm*)

The DBE status of the undersigned is confirmed by the attached Letter of Certification from the IL UCP dated, (8) \_\_\_\_\_  
(If proposing to perform as a DBE/non-DBE Joint Venture, the Letter of Certification from the DBE venturer is attached along with a completed Schedule B and joint venture agreement).

The undersigned is prepared to provide the following described services or supply the following described goods in connection with the above-named project/contract:

| <b><u>Description/Type of Work (In Detail)</u></b> (9) | <b><u>Quantity (If Applicable)</u></b> (10) | <b><u>Dollar Amount of DBE Contract</u></b> (11) |
|--|---|--|
|  |   |  |
|  |   |  |
|  |   |  |
|  |   |  |
|  |   | <b>TOTAL VALUE \$</b> _____ (12)                 |

**Multi-Phase Project(s).** For those projects that are multi-phase, please indicate the phase in which the DBE will be performing work: (13)  
\_\_\_\_\_

**SCHEDULE B**  
**AFFIDAVIT OF DBE SUBCONTRACTOR**

**Subcontracting Levels**

(14) % \_\_\_\_\_ of the dollar amount of the DBE's subcontract will be sublet to **DBE Subcontractors**.

(15) % \_\_\_\_\_ of the dollar amount of the DBE's subcontract will be sublet to **non-DBE Subcontractors**.

**NOTICE: IF THE DBE WILL NOT BE SUBCONTRACTING ANY OF THE WORK DESCRIBED IN THIS SCHEDULE, A ZERO (0) MUST BE SHOWN IN EACH BLANK ABOVE.**

IF **ANY** DOLLAR AMOUNT OF THE DBE's SCOPE OF WORK WILL BE SUBLET, A BRIEF EXPLANATION AND DESCRIPTION OF THE WORK TO BE SUBLET MUST BE LISTED BELOW: (16)

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**NOTICE:** Any misrepresentation regarding the status of a person or an entity in order to qualify for DBE status may result in conviction for a Class 2 felony, including a penalty for one and a half times the value of the contract. Material misrepresentation on any matter will also be grounds for terminating any contract which may be awarded, and for initiating action under federal or state laws concerning false statements.

The undersigned will enter into a formal written agreement for the above work with the Contractor conditioned upon their execution of a contract with Pace, and will do so within thirty (30) calendar days of their receipt of a signed contract from Pace.

I further understand that any willful falsification, fraudulent statement, or misrepresentation will result in appropriate sanctions, which may include debarment and/or prosecution under applicable State and Federal laws.

(17) \_\_\_\_\_  
*Print - Name and Title*

(18) \_\_\_\_\_  
*Signature of Owner, President or Authorized Agent of DBE*

(19) \_\_\_\_\_  
*Date*

**Pursuant to 49 CFR §26.13(b), each subcontract the contractor signs with a subcontractor must include the following assurance:**

*{ The contractor, sub recipient or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of DOT-assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as Pace deems appropriate. }*

Pursuant to 49 CFR §26.27, Pace encourages you to utilize financial institutions owned and controlled by socially and economically disadvantaged individuals within your community.

**SCHEDULE C**  
**AFFIDAVIT OF DBE/NON-DBE JOINT VENTURE**

***This Schedule C need not be submitted if all joint ventures are DBEs.*** In such a case, however, the written joint venture agreement and a copy of the current IL UCP Letter of Certification for each DBE must be submitted.

ALL INFORMATION REQUESTED BY THIS SCHEDULE MUST BE ANSWERED IN THE SPACES PROVIDED BY JOINT VENTURERS AT ANY TIER. ADDITIONAL SHEETS MAY BE ATTACHED.

**I. Name of joint venture:** \_\_\_\_\_

Address of joint venture: \_\_\_\_\_  
Street City State Zip

Phone number of joint venture: \_\_\_\_\_

**II. Identify each non-DBE venture(s):** \_\_\_\_\_

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

Address: \_\_\_\_\_  
Street City State Zip

Phone: \_\_\_\_\_

Contact person for matters concerning DBE compliance: \_\_\_\_\_

**III. Identify each DBE venturer(s):** \_\_\_\_\_

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

Address: \_\_\_\_\_  
Street City State Zip

Phone: \_\_\_\_\_

Contact person for matters concerning DBE compliance: \_\_\_\_\_

**IV. Describe the role(s) of the DBE venturer(s) in the joint venture:**

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

**V. Attach a copy of the joint venture agreement.** In order to demonstrate the DBE venturer's share in the ownership, control management responsibilities, risks and profits of the joint venture, the proposed joint venture agreement must include specific details related to: (1) the contributions of capital and equipment; (2) work items to be performed by the DBE's own forces, (3) work items to be performed under the supervision of the DBE venturer; and (4) the commitment of management, supervisory and operative personnel employed by the DBE to be dedicated to the performance of the project.

**VI. Attach a copy of the current IL UCP Letter of Certification for each DBE joint venturer.**

**VII. Ownership of the Joint Venture:**

A. What is the percentage(s) of DBE ownership in the joint venture?

DBE ownership percentage(s): \_\_\_\_\_

Non-DBE ownership percentage(s): \_\_\_\_\_

**SCHEDULE C**  
**AFFIDAVIT OF DBE/NON-DBE JOINT VENTURE**

**VII. Ownership of the Joint Venture** *(continued)*:

A. Specify DBE/non-DBE percentages for each of the following (provide narrative descriptions and other detail as applicable):

1. Sharing of profit and loss: \_\_\_\_\_

2. Capital contributions: \_\_\_\_\_

(a) Dollar amounts of initial contribution: \_\_\_\_\_

(b) Dollar amounts of anticipated on-going contributions: \_\_\_\_\_

3. Contributions of equipment *(specify types, quality and quantities of equipment to be provided by each venturer)*:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. Other applicable ownership interests, including ownership options or other agreements, which restrict or limit ownership and/or control:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. **Provide copies of all written agreements between venturers concerning this project.**

6. Identify each current Pace contract and each contract completed during the past two (2) years by either of the joint venture partners participating in this joint venture:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**VIII. Control of and Participation in the Joint Venture.** Identify by name and firm those individuals who are, or will be, responsible for and have the authority to engage in the following management functions and policy decisions. (Indicate any limitations to their authority such as dollar limits and co-signatory requirements.):

A. Joint venture check signing:

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

B. Authority to enter contracts on behalf of the joint venture:

\_\_\_\_\_

**SCHEDULE C**  
**AFFIDAVIT OF DBE/NON-DBE JOINT VENTURE**

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**C.** Signing, co-signing and/or collateralizing loans:

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**D.** Acquisition of lines of credit:

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**E.** Acquisition and indemnification of payment and performance bonds:

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**F.** Negotiating and signing labor agreements:

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**G.** Management of contract performance. *(Identify by name and firm only):*

**1.** Supervision of field operations: \_\_\_\_\_

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**2.** Major purchases: \_\_\_\_\_

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**3.** Estimating: \_\_\_\_\_

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**4.** Estimating: \_\_\_\_\_

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**IX. Financial Controls of Joint Venture:**

**A.** Which firm and/or individual will be responsible for keeping the books of account?

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**B.** Identify the "managing partner," if any, and describe the means and measure of their compensation:

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**SCHEDULE C**  
**AFFIDAVIT OF DBE/NON-DBE JOINT VENTURE**

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**C.** What authority does each venturer have to commit or obligate the other to insurance and bonding companies, financing institutions, suppliers, subcontractors, and/or other parties participating in the performance of this contract or the work of this

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**X.** State the approximate number of personnel (by trade) needed to perform the joint venture's work under this contract. Indicate whether they will be employees of the majority firm, DBE firm, or the joint venture.

| <b>Trade</b> | <b>Non-DBE Firm<br/>(number)</b> | <b>DBE<br/>(number)</b> | <b>Joint Venture<br/>(number)</b> |
|--------------|----------------------------------|-------------------------|-----------------------------------|
|              |                                  |                         |                                   |
|              |                                  |                         |                                   |
|              |                                  |                         |                                   |
|              |                                  |                         |                                   |
|              |                                  |                         |                                   |
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|              |                                  |                         |                                   |

**Professional**

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**Administrative/Clerical**

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**Unskilled Labor**

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If any personnel proposed for this project will be employees of the joint venture:

A. Are any proposed joint venture employees currently employed by either venture? \_\_\_\_\_  
Employed by non-DBE (number): \_\_\_\_\_ Employed by DBE: \_\_\_\_\_

B. Identify by name and firm the individual who will be responsible for joint venture hiring:  
\_\_\_\_\_

XI. Please state any material facts and additional information pertinent to the control and structure of this joint venture:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

The undersigned affirm that the foregoing statements are correct and include all material information necessary to identify and explain the terms and operations of our joint venture and the intended participation of each venturer in the undertaking. Further, the undersigned covenant and agree, under which work is done for Pace by the venturers, to provide to Pace current, complete and accurate information regarding actual joint venture work and the payment therefore, and any proposed changes to any provision of the joint venture, or those of each venturer relevant to the joint venture by authorized representatives of Pace, its Inspector General or any of its funding agencies.

Any misrepresentation regarding the status of a person or an entity in order to qualify for DBE status may result in conviction for a Class 2 felony, including a penalty for one and a half times the value of the contract. Material misrepresentation on any matter will also be grounds for terminating any contract which may be awarded, and for initiating action under federal or state laws concerning false statements.

**NOTE:** *If, after filing this Schedule C and before the completion of the joint venture's work on the project, there is any change in the information submitted, the joint venture must inform the DBE Liaison Officer directly in writing or through the contractor if the joint venture is a subcontractor.*

\_\_\_\_\_  
Name of DBE Partner Firm

\_\_\_\_\_  
Name of Non-DBE Partner Firm

\_\_\_\_\_  
Signature of Affiant

\_\_\_\_\_  
Signature of Affiant

\_\_\_\_\_  
Name and Title of Affiant (Type of Print)

\_\_\_\_\_  
Name and Title of Affiant (Type of Print)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

13. Disclosures: The Contractor shall not use or disclose any data, designs or other information belonging to or supplied by or on behalf of Pace, unless expressly authorized in writing by Pace. Upon Pace's request, such data, designs or other information and any copies

thereof shall be returned to Pace. Where Pace's data, designs or other information are furnished to the Contractor's suppliers for procurement of supplies by the Contractor for use in the performance of Pace Contracts, the Contractor shall insert the substance of this provision in its Contract.

14. Conflict of Interest: Members of the Board, officers and employees of Pace, their spouses, their children, their parents, their brothers and sisters and their children, are prohibited from having or acquiring any Contract or any direct pecuniary interest in any Contract which will be wholly or partially performed by the payment of funds or the transfer of property of Pace in accordance with Section 4.03 of the Pace Regulations Governing Public Bidding (Ordinance SBD 19-59).
15. Conflict In Provisions: In the event of a conflict between any of the terms and conditions contained in the base Contract and its referenced exhibits, the base Contract provisions shall apply unless otherwise provided for.
16. Trade Names: In cases where an item is identified in these Contract documents by a manufacturer's name, trade name, catalog number or reference, it is understood that the Contractor shall furnish the item so identified or shall furnish an "equal" unless specified elsewhere in the bid documents. The specific article, equipment or material mentioned shall be understood as establishing the type, function and minimum standard of design, efficiency, quality and performance desired and shall not be construed in such a manner as to exclude manufacturer's products of comparable design, efficiency, quality and performance. Bid quotations on other makes or catalog numbers will be considered for current or future purchases provided the Contractor clearly states that an "equal" is proposed and he furnishes sufficient information with his bid to determine compliance.
17. Warranties: The following warranty will apply unless otherwise provided for in the Contract documents. The Contractor warrants that articles or work products delivered hereunder shall be free from defects of material and workmanship and that all products furnished will conform to samples, specifications and/or drawings submitted as may be applicable, and are fit for the purpose for which purchased. The warranty period shall be for one (1) year from the date of delivery or date of final acceptance whichever is later. Pace may return any nonconforming or defective items or work products to the Contractor or require correction or replacement of the item at the time the defect is discovered, all at the Contractor's risk and expense. Acceptance of items or work products by Pace or payment therefore, shall not relieve the Contractor of his responsibilities hereunder.
18. Approximate Quantities and Line Items: Pace may accept and make award based on less than all of the items or for less than all of the units indicated under any given item, unless the bidder qualifies the bid by specific limitations or unless otherwise provided for in the solicitation. Bids may be submitted for quantities less than those specified. Pace reserves the right to make an award on any item for a quantity less than the quantity offered, at the unit prices offered, unless the bidder specifies otherwise in the bid. Where approximate quantities are stated, the unit prices quoted in the bid will apply regardless of whether the actual quantities are greater or lesser than the assumed quantities, the stated total notwithstanding.
19. Retention of Records: Unless otherwise specified elsewhere in the Contract, the Contractor shall maintain all records produced under the Contract, including records to support actual time and costs incurred, for a minimum period of five (5) years after completion of the Contract. All records maintained under the Contract shall be subject to inspection and audit by Pace and/or its designated agent upon reasonable notice to the Contractor.
20. Bid Protest Procedures

**SECTION I**

- A. Pace will hear and consider a bona fide bid protest regarding its procurement actions in accordance with the following procedures. Due to the significantly reduced role of FTA in bid protests, as described in Section II, it is anticipated that the majority of all protests will be evaluated and finally decided by Pace. Accordingly, Pace intends to provide a thorough review of all bona fide bid protests. Pace's primary concern, however, is the timely procurement of needed capital equipment, supplies or services. It does not intend to allow the filing of bid protests to unnecessarily delay the procurement process, especially if the protest involved is vexatious or frivolous in nature.

Notwithstanding the availability of these protest procedures, any interested party is encouraged to exhaust all methods described in the Contract Documents of resolving a procurement issue before filing a formal protest with Pace. In its consideration of a bid protest, Pace reserves the right to give due consideration to the good faith efforts of the protestor to resolve the issue involved through informal methods.

**B. Definitions**

For purposes of this section

1. The term "days" refers to working days of Pace
2. The term "interested party" means any person (a) who is an actual bidder/proposer or prospective bidder/proposer in the procurement involved, and (b) whose direct economic interest would be affected by the award of the Contract or by a failure to award the Contract

**C. Submission of Protests**

Any interested party may file a bid protest with Pace on the basis that Pace has failed to comply with applicable Federal or State law or with Pace's Procurement Regulations. The protest must be filed in accordance with the timing requirements set forth in subsection D of this section, and must include:

1. The name and address of the protestor
2. The number of the Contract solicitation
3. A statement of the grounds for the protest, and in particular the Federal or State law or Authority Regulation alleged to have been violated; this statement should be accompanied by any supporting documentation the protesting party desires Pace to consider in making its decision

Protests should be submitted to: Chief Procurement Officer  
Pace  
550 W. Algonquin Road  
Arlington Heights, IL 60005

**D. Types of Protests and Timing**

The requirement for timely filing of a bid protest with Pace will depend upon the type of protests involved. Pace will consider the following three types of protests by interested parties.

**1. Protests regarding solicitation**

Any bid protest regarding the solicitation by Pace must be filed no later than **five (5) days** before the opening of bids/closing date of the Request for Proposal. Any protest filed after that date which raises issues regarding the solicitation will not be considered by Pace.

This type of protest would include any claim that the solicitation contained exclusionary or discriminatory specifications, any challenge to the basis of award, or any claim that the solicitation documents or the solicitation process violated applicable Federal or State law, or that Pace failed to follow its Procurement Regulations in the solicitation of bids/proposals.

**2. Protests regarding bid evaluation (Invitation for Bids)**

Any bid protest regarding the evaluation of bids, submitted in response to an Invitation for Bid (IFB) issued by Pace, must be filed with Pace no later than **fifteen (15) days** after the public opening of bids. Any protest filed after such date which raises issues regarding the IFB evaluation will not be considered by Pace.

This type of protest would include any challenge to determinations by Pace of the responsiveness of a bid or the responsibility of a bidder, or any claim that the evaluation of bids violated Federal or State law or Pace's Procurement Regulations.

### 3. Protests regarding proposal evaluation (Request for Proposals)

The Request for Proposal (RFP) evaluation process, and all evaluation materials associated with this process, shall be considered confidential until final award of the Contract is made. Therefore, any protest regarding the evaluation of proposals, submitted in response to an RFP issued by Pace, must be filed with Pace no later than 15 days after the date of Contract award. Any protest filed after such date which raises issues regarding the RFP evaluation will not be considered.

This type of protest would include any challenge to determinations by Pace of the responsiveness of a proposal or the responsibility of a proposer, or any claim that the evaluation of proposals violated Federal or State law or Pace's Procurement Regulations.

### 4. Protests Regarding Award of Contract

Any protest regarding the award of the Contract must be filed no later than **fifteen (15) days** after the date of award. Any protest regarding the award of the Contract filed after that date will not be considered by Pace.

This type of protest will only be entertained by Pace if the protestor is able to demonstrate that the party awarded the Contract fraudulently represented itself as a responsible bidder or that Pace violated Federal or State law or its Procurement Regulations in the award of the Contract.

## E. Pace Response

### 1. Types of Protests

Pace will notify the protestor upon timely receipt of a bid protest and may, where appropriate, request additional information from the protestor. Pace may, in its discretion, meet with the protestor to review the matters raised by the protest. Pace's consideration of the particular types of protests will, except as otherwise provided in Paragraph 2 of this subsection, be in accordance with the following provisions:

#### a. Protests regarding solicitation

Upon receipt of a timely filed protest regarding the solicitation, Pace will postpone the opening of bids until resolution of the protest. No additional bids will be accepted during the period of postponement.

If the protest regarding the solicitation involves a claim of unduly restrictive or exclusionary specifications, Pace will, in evaluating the protest, consider both the specific need of Pace for the feature or item challenged and whether competition is negatively impacted by including the specification regarding that feature or item. If Pace determines that such feature or item was included in the specification in order to meet justified and valid transit needs of Pace, and was not unduly restrictive of competition or designed to exclude a particular competitor, then Pace will have grounds to deny the protest.

#### b. Protest regarding bid evaluation (Invitation for Bids)

Upon receipt of a timely filed protest regarding the evaluation of bids, submitted in response to an Invitation for Bid (IFB) issued by Pace, Pace will suspend its evaluation, or award, of any or all bids submitted until resolution of the protest if Pace determines that the protestor has established that there is substantial evidence that there are doubts regarding the responsiveness of a bid or the responsibility of a bidder or regarding Pace's compliance with Federal or State law or its Procurement Regulations.

#### c. Protest regarding proposal evaluation (Request for Proposals)

Upon receipt of a timely filed protest regarding the evaluation of proposals, submitted in response to an Request for Proposal (RFP) issued by Pace, Pace will issue a stop work order, if necessary, until the resolution of the protest if Pace determines that the protestor has established that there is substantial evidence that there are doubts regarding the responsiveness of a proposal or the responsibility of a proposer or regarding Pace's compliance with Federal or State law or its Procurement Regulations.

#### d. Protests after award

Upon receipt of a timely filed protest regarding the award of a Contract, Pace will issue a stop work order, if necessary, until the resolution of the protest if Pace determines that the protestor has established a **Prima facie** case that the Contract was awarded fraudulently or in violation of Federal or State law or Pace's Procurement Regulations.

## 2. Decisions by Pace

As indicated above, in most instances Pace will suspend the procurement process upon receipt of a bona fide bid protest. However, Pace reserves the right, notwithstanding the pendency of a protest, to proceed with the appropriate action in the procurement process or under the Contract in the following cases:

- a. where the item to be procured is urgently required
- b. where Pace determines that the protest was vexatious or frivolous
- c. where delivery or performance will be unduly delayed, or other undue harm will occur, by failure to make the award promptly

After review of a bid protest submitted under this section, Pace will issue a written decision on the basis of the information provided by the protestor, the results of any meetings with the protestor, and Pace's own investigation. If the protest is upheld, Pace will take appropriate action to correct the procurement process and protect the rights of the protestor, including re-solicitation of bids/proposals, revised evaluation of bids/proposals or Pace determinations, or termination of the Contract. If the protest is denied, Pace will lift any suspension imposed and proceed with the procurement process or the Contract, as the case may be.

The availability of review of bid protests by FTA is described in Section II. As noted in that section, under FTA's revised procurement guidelines the role of the Federal government in bid protest review is quite limited.

### SECTION II – FTA BID PROTEST PROCEDURE

Under Circular 4220.1F, FTA has substantially limited its review of bid protests recognizing that most protest issues are best resolved at the State or Local level. FTA will now only accept protests alleging that: Pace failed to have written protest procedures; or, Pace violated their own protest procedures.

If a protest is brought before FTA on either of these allegations, the only remedy recognized by FTA under Circular 4220.1F is to require Pace to follow its own protest procedures. FTA does not have the right to change Pace's substantive decision by substituting FTA's judgment for that of Pace.

Any protest to FTA must be filed in accordance with the requirements contained in FTA Circular 4220.1F and may only be made by an "interested party" which FTA has defined as "an actual or prospective bidder or offerer whose direct economic interest would be affected by the award of the Contract or by failure to award the Contract."

No protest may be filed with FTA later than five days after a final decision under Pace's procedure. As used in the preceding sentence, "filed" refers to the date of receipt by FTA and "days" refers to working days of the Federal Government.

Any alleged violation of a specified Federal requirement that provides an applicable complaint procedure shall be submitted and processed in accordance with the applicable Federal regulations instead of the requirements of FTA Circular 4220.1F. For example, see the Buy America Requirements, 40 C.F.R. Part 661 (Section 661.15); Participation of Minority Business Enterprises in Department of Transportation Program, 49 C.F.R. Section 26.107.

#### 21. Illinois Freedom of Information Act (FOIA)

As a government agency, Pace is subject to the Illinois Freedom of Information Act (FOIA) or 5 ILCS 140/1, et. seq. as amended. Therefore, the contents of this Request for Proposals (RFP) or Invitation for Bids (IFB) and the Contractor's proposal or bid submitted in response to this RFP or IFB are subject to the Illinois FOIA statutes. However, there are various items that may be exempt, which include but are not limited to trade secrets or commercial/financial information that are proprietary, privileged, or confidential, or where disclosure of the same would result in competitive harm (refer to Section 4002 of the Technology Advancement and Development Act and to Section 7 of the Illinois Freedom of Information Act). If any such proprietary, privileged, or confidential information or data is included in the Contractor's proposal or bid, each page that contains this information or data should be marked as such (e.g., "Proprietary and Competition Sensitive") in order to indicate your claim to an exemption provided in the Illinois FOIA.

It is Pace's sole right and responsibility, however, to make the determination whether these items are exempt or not exempt under the Illinois FOIA statutes.

22. Dispute Resolution:

- a. Governing Law - This contract will be governed by and construed in accordance with the laws of the State of Illinois.
- b. Notice of Dispute and Negotiation - Either party may initiate a dispute by sending notice of a dispute to the other party. Once initiated, the parties shall attempt to promptly resolve the dispute through good faith negotiations.
- c. Performance During Dispute - Unless otherwise directed by Pace's authorized representative, contractor shall continue performance under this contract while matters in dispute are being resolved.
- d. Litigation, Venue and Jurisdiction - If the dispute is not resolved within fourteen (14) days after receipt of a notice of dispute, either party may then submit the dispute to an Illinois court of competent jurisdiction. The parties agree to submit to the exclusive jurisdiction of the Illinois courts over any claim or matter arising under or in connection with this contract.

SECTION C – FTA/IDOT/RTA REQUIREMENTS

**U.S. DEPARTMENT OF TRANSPORTATION (DOT)  
 FEDERAL TRANSIT ADMINISTRATION (FTA)  
 ILLINOIS DEPARTMENT OF TRANSPORTATION (IDOT)  
 AND THE REGIONAL TRANSPORTATION AUTHORITY (RTA)**

The following terms and conditions are incorporated herein by reference and made a part of any Contract(s) issued as a result of a Pace Request for Quotation, Invitation for Bid or Request for Proposal.

**FTA Requirements**

1. **Fly America Requirements:** The Fly America requirements apply to all Contracts greater than \$3,000 which include the transportation of persons or property, by air, between a place in the U.S. and a place outside the U.S., or between places outside the U.S. The Contractor agrees to comply with 49 U.S.C. 40118 (the “Fly America” Act) in accordance with the General Services Administration’s regulations at 41 CFR Part 301-10, which provide that recipients and sub-recipients of Federal funds and their Contractors are required to use U.S. Flag air carriers for U.S. Government-financed international air travel and transportation of their personal effects or property, to the extent such service is available, unless travel by foreign air carrier is a matter of necessity, as defined by the Fly America Act. The Contractor shall submit, if a foreign air carrier was used, an appropriate certification or memorandum adequately explaining why service by a U.S. flag air carrier was not available or why it was necessary to use a foreign air carrier and shall, in any event, provide a certificate of compliance with the Fly America requirements. The Contractor agrees to include the requirements of this section in all subcontracts that may involve international air transportation.
  
2. **Surface Transportation Assistance Act/Buy America:** The Buy America requirements apply to the following types of Contracts: Construction Contracts and Acquisition of Goods or Rolling Stock (valued at more than \$150,000). The Buy America requirements flow down from FTA recipients and sub-recipients to first tier Contractors, who are responsible for ensuring that lower tier Contractors and subcontractors are in compliance. The \$150,000 threshold applies only to the grantee’s (Pace’s) Contracts, subcontracts under that amount are subject to Buy America.
  - A. Pursuant to Section 165.a and 165.b of the Surface Transportation Assistance Act of 1982, the Contractor acknowledges that federal funds shall not be appropriated or utilized for any Contract awarded pursuant to this bid unless steel, cement and manufactured products used in such projects are produced in the United States; provided however, that the foregoing provision shall not apply where the Secretary of Transportation has made one of the following determinations:
    - (1) That the application of the foregoing provision would be inconsistent with the public interest
    - (2) That such materials and products are not produced in the United States in sufficient and reasonably available quantities and of a satisfactory quality
    - (3) In the case of the procurement of bus and other rolling stock (including train control, communication, and traction power equipment), that (a) the cost of components which are produced in the United States is more than 70% of the vehicle or equipment described in this paragraph, and (b) final assembly of the vehicle or equipment described in this paragraph has taken place in the United States
    - (4) That inclusion of domestic material will increase the cost of the overall project Contract by more than 25%
  
  - B. For purposes of this section, in calculating components' costs, labor costs involved in final assembly shall not be included in the calculation.
  
  - C. Likewise, the Contractor agrees as a condition of responsiveness to and in order to induce the acceptance of this Bid Proposal, that it will submit with its Bid Proposal, a completed Buy America Certification as set forth herein.
  
3. **Charter Service Operations:** The Charter Bus requirements apply to the following type of Contract: Operational Service Contracts greater than \$3,000. The Contractor agrees to comply with 49 U.S.C. 5323(d) and 49 CFR Part 604, which provides that recipients and sub-recipients of FTA assistance are prohibited from providing charter service using federally funded equipment or facilities if there is at least one private charter operator willing and able to provide the service, except under one of the exceptions at 49 CFR 604.9. Any charter service provided under one of the exceptions must be "incidental," i.e., it must not interfere with or detract from the provision of mass transportation.



4. **School Bus Operations**: The School Bus requirements apply to the following type of Contract: Operational Service Contracts greater than \$3,000. Pursuant to 69 U.S.C. 5323(f) and 49 CFR Part 605, recipients and sub-recipients of FTA assistance may not engage in school bus operations exclusively for the transportation of students and school personnel in competition with private school bus operators unless qualified under specified exemptions. When operating exclusive school bus service under an allowable exemption, recipients and sub-recipients may not use federally funded equipment, vehicles, or facilities.
  
5. **Cargo Preference – Use of United States Flag Vessels**: The Cargo Preference requirements apply to all Contracts greater than \$3,000 which involving equipment, materials, or commodities which may be transported by ocean vessels. The Contractor agrees:
  - A. To utilize privately owned United States flag commercial vessels to ship at least 50% of the gross tonnage (computed separately for dry bulk carriers, dry cargo lines, and tankers) involved, whenever shipping any equipment, materials, or commodities pursuant to this Contract, to the extent such vessels are available at fair and reasonable rates for United States flag commercial vessels.
  
  - B. To furnish within 20 days following the date of loading, for shipment originating within the United States or within 30 working days following the date of loading for shipments originating outside the United States, a legible copy of a rated, "on board" commercial ocean bill-of-lading in English for each shipment of cargo described in the preceding paragraph to Pace (through the prime Contractor in the case of subcontractor bills-of-lading) and to the Division of National Cargo, Office of Market Development, Maritime Administration 400 Seventh Street, S.W., Washington, D.C. 20590, marked with appropriate identification of the project.
  
  - C. To insert the substance of the provisions of this clause in all subcontracts issued pursuant to this Contract.
  
6. **Seismic Safety**: The Seismic Safety requirements apply only to Contracts for the construction of new buildings or additions to existing buildings which are greater than \$3,000.00. The Contractor agrees that any new building or addition to an existing building will be designed and constructed in accordance with the standards for Seismic Safety required in Department of Transportation Seismic Safety Regulations 49 CFR Part 41 and will certify to compliance to the extent required by the regulation. The Contractor also agrees to ensure that all work performed under this Contract including work performed by a subcontractor is in compliance with the standards required by the Seismic Safety Regulations and the certification of compliance issued on the project.
  
7. **Energy Conservation Requirements**: The Energy Conservation requirements are applicable to all Contracts which are greater than \$3,000. The Contractor agrees to comply with mandatory standards and policies relating to energy efficiency which are contained in the state energy conservation plan issued in compliance with the Energy Policy and Conservation Act.
  
8. **Clean Water Requirements**: The Clean Water requirements apply to each Contract and subcontract which exceeds \$100,000. (1) The Contractor agrees to comply with all applicable standards, orders or regulations issued pursuant to the Federal Water Pollution Control Act, as amended, 33 U.S.C. 1251 et seq. The Contractor agrees to report each violation to Pace and understands and agrees that Pace will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office. (2) The Contractor also agrees to include these requirements in each subcontract exceeding \$100,000 financed in whole or in part with Federal assistance provided by FTA.
  
9. **Byrd Anti Lobbying Amendment**: Byrd Anti-Lobbying Amendment, 31 U.S.C. 1352, as amended by the Lobbying Disclosure Act of 1995, P.L. 104-65 [to be codified at 2 U.S.C. § 1601, et seq.] - Contractors who apply or bid for an award of \$100,000 or more shall file the certification required by 49 CFR part 20, "New Restrictions on Lobbying." Each tier certifies to the tier above that it will not and has not used Federal appropriated funds to pay any person or organization for influencing or attempting to influence an officer or employee of any agency, a member of Congress, officer or employee of Congress, or an employee of a member of Congress in connection with obtaining any Federal Contract, grant or any other award covered by 31 U.S.C. 1352. Each tier shall also disclose the name of any registrant under the Lobbying Disclosure Act of 1995 who has made lobbying contacts on its behalf with non-Federal funds with respect to that Federal Contract, grant or award covered by 31 U.S.C. 1352. Such disclosures are forwarded from tier to tier up to the recipient. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence 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. The Standard Form-LLL shall be submitted to the Pace Legal Department, Attn: General Counsel who, pursuant to federal regulations, will submit the form(s) to the Federal Transit Administration.

10. **Audit:** Applicable to all Contracts greater than \$3,000. The Contractor shall permit the authorized representatives of Pace, IDOT, FTA, RTA and the Comptroller General of the United States to inspect and audit all work, materials, data and records of the Contractor relating to performance under the Contract.
11. **Federal Changes:** The Federal Changes requirement applies to all Contracts greater than \$3,000. The Contractor shall at all times comply with all applicable FTA regulations, policies, procedures and directives, including without limitation those listed directly or by reference in the FTA Master Agreement (available from the FTA website) between Pace and FTA, as they may be amended or promulgated from time to time during the term of this Contract. The Contractor's failure to so comply shall constitute a material breach of this Contract.
12. **Clean Air Requirements:** The Clean Air requirements apply to all Contracts exceeding \$100,000 including indefinite quantities where the amount is expected to exceed \$100,000 in any year. The Clean Air requirements flow down to all subcontracts which exceed \$100,000. (1) The Contractor agrees to comply with all applicable standards, order or regulations issued pursuant to the Clean Air Act, as amended, 42 U.S.C. § 7401 et seq. The Contractor agrees to report each violation to Pace and understands and agrees that Pace will, in turn, report each violation as required to assure notification to FTA and the appropriate EPA Regional Office. (2) The Contractor also agrees to include these requirements in each subcontract exceeding \$100,000 financed in whole or in part with Federal assistance provided by FTA.
13. **Recovered Materials:** The Contractor agrees to comply with all the requirements of Section 6002 of the Resource Conservation and Recovery Act (RCRA), as amended (42 U.S.C. 6962), including but not limited to the regulatory provisions of 40 CFR Part 247, and Executive Order 12873, as they apply to the procurement of the items designated in Subpart B of 40 CFR Part 247.
14. **Davis-Bacon and Copeland Anti-Kickback Acts:** The Davis-Bacon and Related Acts apply to Contractors and subcontractors performing on federally funded or assisted Contracts in excess of \$2,000 for the construction, alteration, or repair (including painting and decorating) of public buildings or public works.

**(1) Minimum Wages**

- (i) All laborers and mechanics employed or working upon the site of the work (or under the United States Housing Act of 1937 or under the Housing Act of 1949 in the construction or development of the project), will be paid unconditionally and not less often than once a week, and without subsequent deduction or rebate on any account (except such payroll deductions as are permitted by regulations issued by the Secretary of Labor under the Copeland Act (29 CFR part 3)), the full amount of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Labor which is attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the Contractor and such laborers and mechanics.

Contributions made or costs reasonably anticipated for bona fide fringe benefits under section 1(b)(2) of the Davis-Bacon Act on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions of paragraph (1)(iv) of this section; also, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs which cover the particular weekly period, are deemed to be constructively made or incurred during such weekly period. Such laborers and mechanics shall be paid the appropriate wage rate and fringe benefits on the wage determination for the classification of work actually performed, without regard to skill, except as provided in 29 CFR Part 5.5(a)(4). Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein: Provided, that the employer's payroll records accurately set forth the time spent in each classification in which work is performed. The wage determination (including any additional classifications and wage rates conformed under paragraph (1)(ii) of this section) and the Davis-Bacon poster (WH-1321) shall be posted at all times by the Contractor and its subcontractors at the site of the work in a prominent and accessible place where it can be easily seen by the workers.

- (ii)(A) The contracting officer shall require that any class of laborers or mechanics, including helpers, which is not listed in the wage determination and which is to be employed under the Contract shall be classified in conformance with the wage determination. The contracting officer shall approve an additional classification and wage rate and fringe benefits therefore only when the following criteria have been met:

- (1) Except with respect to helpers as defined as 29 CFR 5.2(n)(4), the work to be performed by the classification requested is not performed by a classification in the wage determination; and
- (2) The classification is utilized in the area by the construction industry; and
- (3) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination; and

- (4) With respect to helpers as defined in 29 CFR 5.2(n)(4), such a classification prevails in the area in which the work is performed.
- (B) If the Contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives, and the contracting officer agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), a report of the action taken shall be sent by the contracting officer to the Administrator of the Wage and Hour Division, Employment Standards Administration, U.S. Department of Labor, Washington, DC 20210. The Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.
- (C) In the event the Contractor, the laborers or mechanics to be employed in the classification or their representatives, and the contracting officer do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the contracting officer shall refer the questions, including the views of all interested parties and the recommendation of the contracting officer, to the Administrator for determination. The Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.
- (D) The wage rate (including fringe benefits where appropriate) determined pursuant to paragraphs (a)(1)(ii) (B) or (C) of this section, shall be paid to all workers performing work in the classification under this Contract from the first day on which work is performed in the classification.
- (iii) Whenever the minimum wage rate prescribed in the Contract for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the Contractor shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly cash equivalent thereof.
- (iv) If the Contractor does not make payments to a trustee or other third person, the Contractor may consider as part of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program, Provided, That the Secretary of Labor has found, upon the written request of the Contractor, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the Contractor to set aside in a separate account assets for the meeting of obligations under the plan or program.
- (v)(A) The contracting officer shall require that any class of laborers or mechanics which is not listed in the wage determination and which is to be employed under the Contract shall be classified in conformance with the wage determination. The contracting officer shall approve an additional classification and wage rate and fringe benefits therefore only when the following criteria have been met:
  - (1) The work to be performed by the classification requested is not performed by a classification in the wage determination; and
  - (2) The classification is utilized in the area by the construction industry; and
  - (3) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.
- (B) If the Contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives, and the contracting officer agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), a report of the action taken shall be sent by the contracting officer to the Administrator of the Wage and Hour Division, Employment Standards Administration, Washington, DC 20210. The Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.
- (C) In the event the Contractor, the laborers or mechanics to be employed in the classification or their representatives, and the contracting officer do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the contracting officer shall refer the questions, including the views of all interested parties and the recommendation of the contracting officer, to the Administrator for determination. The Administrator, or an authorized representative, will issue a determination with 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

(D) The wage rate (including fringe benefits where appropriate) determined pursuant to paragraphs (a)(1)(v) (B) or (C) of this section, shall be paid to all workers performing work in the classification under this Contract from the first day on which work is performed in the classification.

(2) **Withholding** – The Suburban Bus Division of the Regional Transportation Authority (Pace) shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld from the Contractor under this Contract or any other Federal Contract with the same prime Contractor, or any other federally-assisted Contract subject to Davis-Bacon prevailing wage requirements, which is held by the same prime Contractor, so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics, including apprentices, trainees, and helpers, employed by the Contractor or any subcontractor the full amount of wages required by the Contract. In the event of failure to pay any laborer or mechanic, including any apprentice, trainee, or helper, employed or working on the site of the work (or under the United States Housing Act of 1937 or under the Housing Act of 1949 in the construction or development of the project), all or part of the wages required by the Contract, the Suburban Bus Division of the Regional Transportation Authority (Pace) may, after written notice to the Contractor, sponsor, applicant, or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased.

(3) **Payrolls and basic records**

(i) Payrolls and basic records relating thereto shall be maintained by the Contractor during the course of the work and preserved for a period of three years thereafter for all laborers and mechanics working at the site of the work (or under the United States Housing Act of 1937, or under the Housing Act of 1949, in the construction or development of the project). Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in section 1(b)(2)(B) of the Davis-Bacon Act), daily and weekly number of hours worked, deductions made and actual wages paid. Whenever the Secretary of Labor has found under 29 CFR 5.5(a)(1)(iv) that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in section 1(b)(2)(B) of the Davis-Bacon Act, the Contractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual cost incurred in providing such benefits. Contractors employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprenticeship programs and certification of trainee programs, the registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs.

(ii)(A) The Contractor shall submit weekly for each week in which any Contract work is performed a copy of all payrolls to the Suburban Bus Division of the Regional Transportation Authority (Pace) for transmission to the Federal Transit Administration. The payrolls submitted shall set out accurately and completely all of the information required to be maintained under section 5.5(a)(3)(i) of Regulations, 29 CFR part 5. This information may be submitted in any form desired. Optional Form WH-347 is available for this purpose and may be purchased from the Superintendent of Documents (Federal Stock Number 029-005-00014-1), U.S. Government Printing Office, Washington DC 20402. The prime Contractor is responsible for the submission of copies of payrolls by all subcontractors.

(B) Each payroll submitted shall be accompanied by a "Statement of Compliance," signed by the Contractor or subcontractor or his or her agent who pays or supervises the payment of the persons employed under the Contract and shall certify the following:

- (1) That the payroll for the payroll period contains the information required to be maintained under section 5.5(a)(3)(i) of Regulations, 29 CFR part 5 and that such information is correct and complete;
- (2) That each laborer or mechanic (including each helper, apprentice, and trainee) employed on the Contract during the payroll period has been paid the full weekly wages earned, without rebate, either directly or indirectly, and that no deductions have been made either directly or indirectly from the full wages earned, other than permissible deductions as set forth in Regulations, 29 CFR part 3;
- (3) That each laborer or mechanic has been paid not less than the applicable wage rates and fringe benefits or cash equivalents for the classification of work performed, as specified in the applicable wage determination incorporated into the Contract.

(C) The weekly submission of a properly executed certification set forth on the reverse side of Optional Form WH-347 shall satisfy the requirement for submission of the "Statement of Compliance" required by paragraph (a)(3)(ii)(B) of this section.

(D) The falsification of any of the above certifications may subject the Contractor or subcontractor to civil or criminal prosecution under section 1001 of title 18 and section 231 of title 31 of the United States Code.

(iii) The Contractor or subcontractor shall make the records required under paragraph (a)(3)(i) of this section available for inspection, copying, or transcription by authorized representatives of the Federal Transit Administration or the Department of Labor, and shall permit such representatives to interview employees during working hours on the job. If the Contractor or subcontractor fails to submit the required records or to make them available, the Federal agency may, after written notice to the Contractor, sponsor, applicant, or owner, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds. Furthermore, failure to submit the required records upon request or to make such records available may be grounds for debarment action pursuant to 29 CFR 5.12.

**(4) Apprentices and trainees**

(i) Apprentices – Apprentices will be permitted to work at less than the predetermined rate for the work they performed when they are employed pursuant to and individually registered in a bona fide apprenticeship program registered with the U.S. Department of Labor, Employment and Training Administration, Bureau of Apprenticeship and Training, or with a State Apprenticeship Agency recognized by the Bureau, or if a person is employed in his or her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by the Bureau of Apprenticeship and Training or a State Apprenticeship Agency (where appropriate) to be eligible for probationary employment as an apprentice. The allowable ratio of apprentices to journeymen on the job site in any craft classification shall not be greater than the ratio permitted to the Contractor as to the entire work force under the registered program. Any worker listed on a payroll at an apprentice wage rate, who is not registered or otherwise employed as stated above, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. Where a Contractor is performing construction on a project in a locality other than that in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyman's hourly rate) specified in the Contractor's or subcontractor's registered program shall be observed. Every apprentice must be paid at not less than the rate specified in the registered program for the apprentice's level of progress, expressed as a percentage of the journeymen hourly rate specified in the applicable wage determination. Apprentices shall be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator of the Wage and Hour Division of the U.S. Department of Labor determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination. In the event the Bureau of Apprenticeship and Training, or a State Apprenticeship Agency recognized by the Bureau, withdraws approval of an apprenticeship program, the Contractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(ii) Trainees – Except as provided in 29 CFR 5.16, trainees will not be permitted to work at less than the predetermined rate for the work performed unless they are employed pursuant to and individually registered in a program which has received prior approval, evidenced by formal certification by the U.S. Department of Labor, Employment and Training Administration. The ratio of trainees to journeymen on the job site shall not be greater than permitted under the plan approved by the Employment and Training Administration. Every trainee must be paid at not less than the rate specified in the approved program for the trainee's level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable wage determination. Trainees shall be paid fringe benefits in accordance with the provisions of the trainee program. If the trainee program does not mention fringe benefits, trainees shall be paid the full amount of fringe benefits listed on the wage determination unless the Administrator of the Wage and Hour Division determines that there is an apprenticeship program associated with the corresponding journeyman wage rate on the wage determination which provides for less than full fringe benefits for apprentices. Any employee listed on the payroll at a trainee rate who is not registered and participating in a training plan approved by the Employment and Training Administration shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any trainee performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. In the event the Employment and Training Administration withdraws approval of a training program, the Contractor will no longer be permitted to utilize trainees at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

(iii) Equal employment opportunity – The utilization of apprentices, trainees and journeymen under this part shall be in conformity with the equal employment opportunity requirements of Executive Order 11246, as amended, and 29 CFR part 30.

**(5) Compliance with Copeland Act requirements** – The Contractor shall comply with the requirements of 29 CFR Part 3, which are incorporated by reference in this Contract.

- (6) **Subcontracts** – The Contractor or subcontractor shall insert in any subcontracts the clauses contained in 29 CFR 5.5(a)(1) through (10) and such other clauses as the Federal Transit Administration may by appropriate instructions require, and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime Contractor shall be responsible for the compliance by any subcontractor or lower tier subcontractor with all the Contract clauses in 29 CFR 5.5.
- (7) **Contract termination: debarment** - A breach of the Contract clauses in 29 CFR 5.5 may be grounds for termination of the Contract, and for debarment as a Contractor and a subcontractor as provided in 29 CFR 5.12.
- (8) **Compliance with Davis-Bacon and Related Act requirements** – All rulings and interpretations of the Davis-Bacon and Related Acts contained in 29 CFR parts 1, 3, and 5 are herein incorporated by reference in this Contract.
- (9) **Disputes concerning labor standards** – Disputes arising out of the labor standards provisions of this Contract shall not be subject to the general disputes clause of this Contract. Such disputes shall be resolved in accordance with the procedures of the Department of Labor set forth in 29 CFR parts 5, 6, and 7. Disputes within the meaning of this clause include disputes between the Contractor (or any of its subcontractors) and the contracting agency, the U.S. Department of Labor, or the employees or their representatives.
- (10) **Certification of eligibility** –
- (i) By entering into this Contract, the Contractor certifies that neither it (nor he or she) nor any person or firm who has an interest in the Contractor's firm is a person or firm ineligible to be awarded Government Contracts by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).
- (ii) No part of this Contract shall be subcontracted to any person or firm ineligible for award of a Government Contract by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).
- (iii) The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001
15. **Contract Work Hours and Safety Standards**: This Act applies to construction Contracts greater than \$100,000 and, in very limited circumstances, non-construction projects greater than \$100,000.00 that employ laborers or mechanics on public work.
- (1) **Overtime requirements** – No Contractor or subcontractor Contracting for any part of the Contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek.
- (2) **Violation; liability for unpaid wages; liquidated damages** – In the event of any violation of the clause set forth in paragraph (1) of this section the Contractor and any subcontractor responsible therefore shall be liable for the unpaid wages. In addition, such Contractor and subcontractor shall be liable to the United States for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph (1) of this section, in the sum of \$10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in paragraph (1) of this section.
- (3) **Withholding for unpaid wages and liquidated damages** – Pace shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the Contractor or subcontractor under any such Contract or any other Federal Contract with the same prime Contractor, or any other federally-assisted Contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime Contractor, such sums as may be determined to be necessary to satisfy any liabilities of such Contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph (2) of this section.
- (4) **Subcontracts** – The Contractor or subcontractor shall insert in any subcontracts the clauses set forth in paragraphs (1) through (4) of this section and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime Contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in paragraphs (1) through (4) of this section.
16. **No Obligation by the Federal Government**: Applicable to all Contracts greater than \$3,000. (1) Pace and the Contractor acknowledge and agree that, notwithstanding any concurrence by the Federal Government in or approval of the solicitation or award of the underlying Contract, absent the express written consent by the Federal Government, the Federal Government is not a party to this Contract and shall not be subject to any obligations or liabilities to the Pace, the Contractor, or any other party (whether or not a party

to that Contract) pertaining to any matter resulting from the underlying Contract. (2) The Contractor agrees to include the above clause in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that the clause shall not be modified, except to identify the subcontractor who will be subject to its provisions.

17. **Program Fraud and False or Fraudulent Statements or Related Acts:** These requirements are applicable to all Contracts greater than \$3,000.
- (1) The Contractor acknowledges that the provisions of the Program Fraud Civil Remedies Act of 1986, as amended, 31 U.S.C. § § 3801 et seq. and U.S. DOT regulations, "Program Fraud Civil Remedies," 49 C.F.R. Part 31, apply to its actions pertaining to this Project. Upon execution of the underlying Contract, the Contractor certifies or affirms the truthfulness and accuracy of any statement it has made, it makes, it may make, or causes to be made, pertaining to the underlying Contract or the FTA assisted project for which this Contract work is being performed. In addition to other penalties that may be applicable, the Contractor further acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification, the Federal Government reserves the right to impose the penalties of the Program Fraud Civil Remedies Act of 1986 on the Contractor to the extent the Federal Government deems appropriate.
  - (2) The Contractor also acknowledges that if it makes, or causes to be made, a false, fictitious, or fraudulent claim, statement, submission, or certification to the Federal Government under a Contract connected with a project that is financed in whole or in part with Federal assistance originally awarded by FTA under the authority of 49 U.S.C. § 5307, the Government reserves the right to impose the penalties of 18 U.S.C. § 1001 and 49 U.S.C. § 5307(n)(1) on the Contractor, to the extent the Federal Government deems appropriate.
  - (3) The Contractor agrees to include the above two clauses in each subcontract financed in whole or in part with Federal assistance provided by FTA. It is further agreed that the clauses shall not be modified, except to identify the subcontractor who will be subject to the provisions.
18. **Ineligible Contractors and Subcontractors:** Applicable to all Contracts of any value. Any name appearing upon the Comptroller General of the United States' list of ineligible Contractors for federally financed and assisted projects shall not be eligible to act as a subcontractor for the Contractor pursuant to this Contract. In the event the Contractor is on the Comptroller General's list of ineligible Contractors for federally financed or assisted projects, this Contract may be canceled, terminated or suspended by Pace.
19. **Contracts Involving Federal Privacy Act Requirements:** When a grantee maintains files on drug and alcohol enforcement activities for FTA, and those files are organized so that information could be retrieved by personal identifier, the Privacy Act requirements apply to all Contracts greater than \$3,000. The following requirements apply to the Contractor and its employees that administer any system of records on behalf of the Federal Government under any Contract: (1) The Contractor agrees to comply with, and assures the compliance of its employees with, the information restrictions and other applicable requirements of the Privacy Act of 1974, 5 U.S.C. § 552a. Among other things, the Contractor agrees to obtain the express consent of the Federal Government before the Contractor or its employees operate a system of records on behalf of the Federal Government. The Contractor understands that the requirements of the Privacy Act, including the civil and criminal penalties for violation of that Act, apply to those individuals involved, and that failure to comply with the terms of the Privacy Act may result in termination of the underlying Contract. (2) The Contractor also agrees to include these requirements in each subcontract to administer any system of records on behalf of the Federal Government financed in whole or in part with Federal assistance provided by FTA.
20. **Civil Rights:** Applicable to all Contracts greater than \$3,000. The Contractor, for itself, its assignees and successors in interests, agrees that it will comply with the following regulations:
- 1) **Construction Contracts** – For any Contract for construction, the Contractor shall comply with the equal opportunity requirements of 41 CFR, Subsection 60-1.4(b)(1) and Subsection 60-1.4(c); the provisions of Executive Order 11246 Subsection 202 and as set forth in the most current FTA Master Agreement available from the FTA website. The Contractor shall include a citation to said requirements in all subcontracts.
  - 2) **Nondiscrimination** – In accordance with Title VI of the Civil Rights Act, as amended, 42 U.S.C. § 2000d, section 303 of the Age Discrimination Act of 1975, as amended, 42 U.S.C. § 6102, section 202 of the Americans with Disabilities Act of 1990, 42 U.S.C. § 12132, and Federal transit law at 49 U.S.C. § 5332, the Contractor agrees that it will not discriminate against any employee or applicant for employment because of race, color, creed, national origin, sex, age, or disability. In addition, the Contractor agrees to comply with applicable Federal implementing regulations and other implementing requirements FTA may issue.
  - 3) **Equal Employment Opportunity** – The following equal employment opportunity requirements apply to the underlying Contract:

- (a) Race, Color, Creed, National Origin, Sex – In accordance with Title VII of the Civil Rights Act, as amended, 42 U.S.C. § 2000e, and Federal transit laws at 49 U.S.C. § 5332, the Contractor agrees to comply with all applicable equal employment opportunity requirements of U.S. Department of Labor (U.S. DOL) regulations, "Office of Federal Contract Compliance Programs, Equal Employment Opportunity, Department of Labor," 41 C.F.R. Parts 60 *et seq.*, (which implement Executive Order No. 11246, "Equal Employment Opportunity," as amended by Executive Order No. 11375, "Amending Executive Order 11246 Relating to Equal Employment Opportunity," 42 U.S.C. § 2000e note), and with any applicable Federal statutes, executive orders, regulations, and Federal policies that may in the future affect construction activities undertaken in the course of the Project. The Contractor agrees to take affirmative action to ensure that applicants are employed, and that employees are treated during employment, without regard to their race, color, creed, national origin, sex, or age. Such action shall include, but not be limited to, the following: employment, upgrading, demotion or transfer, recruitment or recruitment advertising, layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.
  - (b) Age – In accordance with section 4 of the Age Discrimination in Employment Act of 1967, as amended, 29 U.S.C. § § 623 and Federal transit law at 49 U.S.C. § 5332, the Contractor agrees to refrain from discrimination against present and prospective employees for reason of age. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.
  - (c) Disabilities – In accordance with section 102 of the Americans with Disabilities Act, as amended, 42 U.S.C. § 12112, the Contractor agrees that it will comply with the requirements of U.S. Equal Employment Opportunity Commission, "Regulations to Implement the Equal Employment Provisions of the Americans with Disabilities Act," 29 C.F.R. Part 1630, pertaining to employment of persons with disabilities. In addition, the Contractor agrees to comply with any implementing requirements FTA may issue.
- 4) The Contractor also agrees to include these requirements in each subcontract financed in whole or in part with Federal assistance provided by FTA, modified only if necessary to identify the affected parties.
21. **Patent Rights:** Patent and rights in data requirements for federally assisted projects ONLY apply to research projects in which FTA finances the purpose of the grant is to finance the development of a product or information on Contracts greater than \$3,000. These patent and data rights requirements do not apply to capital projects or operating projects, even though a small portion of the sales price may cover the cost of product development or writing the user's manual. This Agreement shall be subject to the FTA's policy on any invention, improvement, or discovery conceived or first actually reduced to practice in conjunction with planning, research development or demonstration projects as stated in the most current FTA Master Agreement available from the FTA website.
22. **Copyright and Rights in Data:** Patent and rights in data requirements for federally assisted projects ONLY apply to research projects in which FTA finances the purpose of the grant is to finance the development of a product or information on Contracts greater than \$3,000. These patent and data rights requirements do not apply to capital projects or operating projects, even though a small portion of the sales price may cover the cost of product development or writing the user's manual. This Agreement shall be subject to the FTA's policy on copyrights and rights in data with respect to reports and other technical materials developed with in conjunction with planning, research development or demonstration projects. That policy as set forth in the most current FTA Master Agreement available from the FTA website permits the author or grantee to copyright the work but FTA reserves a royalty-free nonexclusive and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use, the work for Government purposes.
23. **Transit Employee Protective Provisions:** The Transit Employee Protective Provisions apply to each Contract greater than \$3,000 for transit operations performed by employees of a Contractor recognized by FTA to be a transit operator.
- (1) The Contractor agrees to comply with applicable transit employee protective requirements as follows:
    - (a) General Transit Employee Protective Requirements – To the extent that FTA determines that transit operations are involved, the Contractor agrees to carry out the transit operations work on the underlying Contract in compliance with terms and conditions determined by the U.S. Secretary of Labor to be fair and equitable to protect the interests of employees employed under this Contract and to meet the employee protective requirements of 49 U.S.C. A 5333(b), and U.S. DOL guidelines at 29 C.F.R. Part 215, and any amendments thereto. These terms and conditions are identified in the letter of certification from the U.S. DOL to FTA applicable to the FTA Recipient's project from which Federal assistance is provided to support work on the underlying Contract. The Contractor agrees to carry out that work in compliance with the conditions stated in that U.S. DOL letter. The requirements of this subsection (1), however, do not apply to any Contract financed with Federal assistance provided by FTA either for projects for elderly individuals and individuals with disabilities authorized by 49 U.S.C. § 5310(a)(2), or for projects for non-urbanized areas authorized by 49 U.S.C. § 5311. Alternate provisions for those projects are set forth in subsections (b) and (c) of this clause.



- (b) Transit Employee Protective Requirements for Projects Authorized by 49 U.S.C. § 5310(a)(2) for Elderly Individuals and Individuals with Disabilities – If the Contract involves transit operations financed in whole or in part with Federal assistance authorized by 49 U.S.C. § 5310(a)(2), and if the U.S. Secretary of Transportation has determined or determines in the future that the employee protective requirements of 49 U.S.C. § 5333(b) are necessary or appropriate for the state and the public body sub-recipient for which work is performed on the underlying Contract, the Contractor agrees to carry out the Project in compliance with the terms and conditions determined by the U.S. Secretary of Labor to meet the requirements of 49 U.S.C. § 5333(b), U.S. DOL guidelines at 29 C.F.R. Part 215, and any amendments thereto. These terms and conditions are identified in the U.S. DOL's letter of certification to FTA, the date of which is set forth Grant Agreement or Cooperative Agreement with the state. The Contractor agrees to perform transit operations in connection with the underlying Contract in compliance with the conditions stated in that U.S. DOL letter.
- (c) Transit Employee Protective Requirements for Projects Authorized by 49 U.S.C. § 5311 in Non-urbanized Areas – If the Contract involves transit operations financed in whole or in part with Federal assistance authorized by 49 U.S.C. § 5311, the Contractor agrees to comply with the terms and conditions of the Special Warranty for the Non-urbanized Area Program agreed to by the U.S. Secretaries of Transportation and Labor, dated May 31, 1979, and the procedures implemented by U.S. DOL or any revision thereto.

(2) The Contractor also agrees to include any applicable requirements in each subcontract involving transit operations financed in whole or in part with Federal assistance provided by FTA.

- 24. **Drug and Alcohol Testing:** This provision applies to all Operational Service Contracts greater than \$3,000. The Contractor agrees to participate in Pace’s drug and alcohol program established in compliance with 49 CFR 655 which if applicable shall be attached as a separate exhibit to this Contract.
- 25. **Incorporation of Federal Transit Administration (FTA) Terms:** The incorporation of FTA terms applies to all Contracts greater than \$3,000. The preceding provisions include, in part, certain Standard Terms and Conditions required by DOT, whether or not expressly set forth in the preceding Contract provisions. All contractual provisions required by DOT, as set forth in FTA Circular 4220.1F or most recent version are hereby incorporated by reference. Anything to the contrary herein notwithstanding, all FTA mandated terms shall be deemed to control in the event of a conflict with other provisions contained in this Agreement. The Contractor shall not perform any act, fail to perform any act, or refuse to comply with any Suburban Bus Division of the Regional Transportation Authority (Pace) requests which would cause the Suburban Bus Division of the Regional Transportation Authority (Pace) to be in violation of the FTA terms and conditions.
- 26. **Veterans Employment:** Recipients and subrecipients of Federal financial assistance under this chapter shall ensure that contractors working on a capital project funded using such assistance give a hiring preference, to the extent practicable, to veterans (as defined in section 2108 of title 5) who have the requisite skills and abilities to perform the construction work required under the contract. This subsection shall not be understood, construed or enforced in any manner that would require an employer to give preference to any veteran over any equally qualified applicant who is a member of any racial or ethnic minority, female, an individual with a disability, or former employee.

**IDOT/RTA/State Requirements**

- 27. **Illinois Prevailing Wage Act (820 ILCS 130):** It is the policy of the State of Illinois that a wage of no less than the general prevailing hourly rate as paid for work of a similar character in the locality in which the work is performed, shall be paid to all laborers, workers and mechanics employed by or on behalf of any and all public bodies engaged in public works. This Act applies to the wages of laborers, mechanics and other workers employed in any public works, as stated in the Illinois Prevailing Wage Act (820 ILCS 130), by any public body and to anyone under Contract for public works. This includes any maintenance, repair, assembly, or disassembly work performed on equipment whether owned, leased, or rented. Public works is defined as all fixed construction work performed by or on behalf of any public body, paid in whole or in part with public funds.

Only such laborers, workers and mechanics as are directly employed by contractors or subcontractors in actual construction work on the site of the building or construction job, and laborers, workers and mechanics engaged in the transportation of materials and equipment to or from the site, but not including the transportation by the sellers and suppliers or the manufacturer or processing of materials or equipment, in the execution of any contract or contracts for public works with any public body shall be deemed to be employed upon public works. The wage for a tradesman performing maintenance is equivalent to that of a tradesman engaged in construction or demolition.

- 28. **Bid Evaluation Requirements:** In the event a single bid is received, it may be necessary for Pace to conduct a price and or cost analysis of the bid price with the Contractor's full cooperation. The Contractor shall provide all documents requested by Pace to perform the analysis.

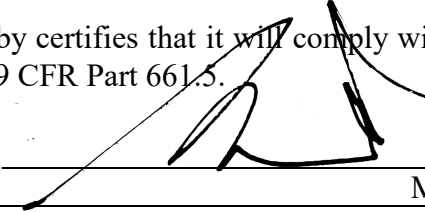
29. **The Americans with Disabilities Act:** Applicable to all Contracts greater than \$3,000. The Contractor agrees to comply with, and assure that any subcontractor complies with all applicable requirements of 42 USC 12101 et seq.
30. **Use of Metric Units of Measure and English Language:** All Contract documents, conferences, letters, technical information and drawings provided by the Contractor shall be conducted or offered solely in the English language and using both the U.S. customary system of weights and measures and the Metric units system of weights and measures.
31. **Interest of Members of Congress:** No member of or delegate to the Congress of the United States shall be admitted to any share or part of this Contract or to any benefit arising therefrom.
32. **Financial Assistance Contract:** This Contract is subject to the provisions of the financial assistance Contracts between Pace and other sponsoring agencies which are identified in the Invitation for Bids as FTA, IDOT, and RTA.
33. **State of Illinois Ineligible Contractors and Subcontractors:** The Contractor shall certify that it is not barred from contracting with any unit of State or local government as a result of a violation of either Section 33E-3 or 33E-4 of the Illinois Criminal Code (Ill. Rev. Stat. Chap.38,33E-1,ET.SEQ.)

**BUY AMERICA**  
**Certification Requirements for Procurement of Steel or Manufactured Products**

**Contractor:** A general public interest waiver from the Buy America requirements applies to this IFB; however, this Buy America Certification is still required to be completed and returned with the solicitation because steel, iron, or manufactured products are being procured. Bids or offers that are not accompanied by a completed Buy America Certification will be rejected as non-responsive.

*Certificate of Compliance with Buy America Requirements*

The bidder or offeror hereby certifies that it will comply with the requirements of 49 U.S.C. 5323(j)(1) and the applicable regulations in 49 CFR Part 661.5.

**Date:** \_\_\_\_\_  
**Signature:**  \_\_\_\_\_ Matthew Flood  
**Company Name:** CDW Government LLC  
**Title:** Proposals Supervisor

*Certificate of Non-Compliance with Buy America Requirements*

The bidder or offeror hereby certifies that it cannot comply with the requirements of 49 U.S.C. 5323(j)(1), and 49 CFR 661.5, but it may qualify for an exception to the requirement pursuant to 49 U.S.C.5323(j)(2)(A), 5323(j)(2)(B), or 5323(j)(2)(D), and 49 CFR 661.7.

**Date:** \_\_\_\_\_  
**Signature:** \_\_\_\_\_  
**Company Name:** \_\_\_\_\_  
**Title:** \_\_\_\_\_

**CERTIFICATION OF RESTRICTIONS ON LOBBYING**

This Certification is required to be completed and returned with the solicitation if the offer **EXCEEDS \$100,000**. Failure to return this Certification with the solicitation may result in a determination that the offer is non-responsive or unacceptable. The undersigned certifies, to the best of his or her knowledge or belief, that:

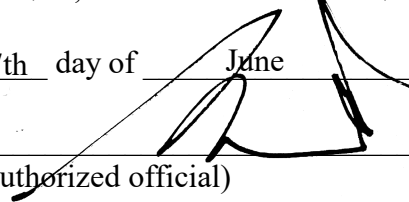
(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection 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 influencing or attempting to influence 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. The Standard Form-LLL shall be submitted to the Pace Legal Department, Attn: General Counsel who, pursuant to federal regulations, will submit the form(s) to the Federal Transit Administration.

(3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and Contracts under grants, loans, and cooperative agreements) and that all sub-recipients 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 Section 1352, title 31, U.S. Code. 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 failure.

Executed this 17th day of June, 2020

By:   
(Signature of authorized official)

Matthew Flood  
(printed/typed name)


Proposals Supervisor  
(Title of authorized official)

**CERTIFICATION REGARDING SUSPENSION AND DEBARMENT**

This Contract is a covered transaction for purposes of 49 CFR Part 29. As such, the Contractor is required to verify that none of the Contractor, its principals, as defined at 49 CFR 29.995, or affiliates, as defined at 49 CFR 29.905, are excluded or disqualified as defined at 49 CFR 29.940 and 29.945.

The Contractor is required to comply with 49 CFR 29, Subpart C and must include the requirement to comply with 49 CFR 29, Subpart C in any lower tier covered transaction it enters into. By signing and submitting its bid or proposal, the bidder or proposer certifies as follows:

The certification in this clause is a material representation of fact relied upon by the Suburban Bus Division of the Regional Transportation Authority (Pace). If it is later determined that the bidder or proposer knowingly rendered an erroneous certification, in addition to remedies available to the Suburban Bus Division of the Regional Transportation Authority (Pace), the Federal Government may pursue available remedies, including but not limited to, suspension and/or debarment. The bidder or proposer agrees to comply with the requirements of 49 CFR 29, Subpart C while this offer is valid and throughout the period of any Contract that may arise from this offer. The bidder or proposer further agrees to include a provision requiring such compliance in its lower tier covered transactions.



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(Signature and Title of Authorized Official)

Matthew Flood, Proposals Supervisor

**INVITATION FOR BID NO. 419896  
STORAGE ARRAYS, INSTALLATION, AND SUPPORT  
SALIENT CHARACTERISTICS**

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**1. GROUP 1 – NIMBLE HF40 STORAGE ARRAY**

**1.1. Nimble HF40 Storage Array  
Q8H39A (Or Equal)**

**Technical Specifications**

• **Dimensions & Weight**

- Depth: 26.5 in
- Height: 7 in
- Weight: 105.82 lbs
- Width: 17.5 in

• **Environmental Parameters**

- Humidity Range Operating: 8 - 90%
- Max Operating Temperature: 95 °F
- Min Operating Temperature: 50 °F

• **Interface Provided**

- Interface (Storage): Ethernet 10Gb (iSCSI)
- Purpose Location: Management
- Qty: 4

• **Miscellaneous**

- Must be 100% compatible with our existing HF40 for replication between the two.
- Adaptive Flash hybrid storage array
- flash-optimized architecture
- predictive analytics
- greater than 99.9999% measured availability.
- Cloud Ready
- Features: Triple+ Parity RAID tolerates 3 simultaneous drive failures plus additional protection through intra-drive parity
- provide enterprise-grade multicloud block storage service for the Amazon Web Services Inc. (AWS) and Microsoft Azure public clouds
- Easy data mobility between public clouds and on-premises datacenters without large data egress charges
- Global visibility and predictive analytics, opening up information such as usage, history, trends and costs spanning public clouds and on-premises datacenters.
- The combination of enterprise-grade reliability and features with the simplicity of native cloud storage.
- Height (Rack Units): 4

• **Storage Capacity**

- Up to 1,470 TB Raw

- Up to 1,185 TB Usable
- Up to 2,371 TB Effective (assuming two to one data reduction ratio)
- **Storage**
  - 84TB FIO HDD Bundle
- **Storage Controller**
  - Max Storage Devices Qty: 6
  - Type: RAID
  - Redundant storage controllers
- **Installation & Startup Service**
  - Installation/configuration – on-site
- **Security**
  - FIPS-certified encryption provides secure over-the-wire protection
  - Enhanced data shredding is built-in
- **Compatible operating systems**
  - Microsoft Windows® Server
  - VMware ESXi®
  - SUSE® Linux Enterprise Server (SLES)
  - Red Hat® Enterprise Linux (RHEL)
  - Ubuntu Server Edition LTS
  - Oracle Linux
  - Oracle Solaris®
  - Citrix® XenServer®
  - IBM AIX, HP-UX
- **Host Interface**

Fibre Channel and iSCSI network connectivity

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1.2. **HPE Nimble HF40/60 Storage Q8B55B (Or Equal)**

**Technical Specifications**

- Manufacturer :
  - Nimble Storage
- Brand :
  - HPE
- Product Line :
  - HPE Nimble Storage
- Model :
  - HDD Bundle
- Packaged Quantity :
  - 21
- Type :
  - Hybrid hard drive
- Capacity :
  - 4 TB
- Pricing Type :

- Factory integrated
- Compatible With :
  - HPE Nimble Storage Adaptive Flash HF40 Base Array, HF40C Base Array, HF60 Base Array, HF60C Base Array

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**1.3. Nimble Storage 2-Port Adapter Kit – Network Adapter Q8B88B (Or Equal)**

**Technical Specifications**

- **Header**
  - Manufacturer : Nimble Storage
  - Brand : HPE
  - Product Line : HPE Nimble Storage
  - Model : 2-port Adapter Kit
  - Packaged Quantity : 1
- **Networking**
  - Type : Network adapter
  - Connectivity Technology : Wired
  - Data Link Protocol : 10 Gigabit Ethernet
  - Data Transfer Rate : 10 GBps
- **Ports**
  - Qty : 2
  - Type : 10Gb Ethernet
- **Interface Provided**
  - Interfaces : 2 x 10Gb Ethernet
- **Miscellaneous**
  - Pricing Type : Factory integrated
- **Compatibility**
  - Compatible With : HPE Nimble Storage Adaptive Flash HF20 Base Array, HF20C Base Array, HF20H Base Array, HF40 Base Array, HF40C Base Array, HF60 Base Array, HF60C Base Array, HPE Nimble Storage All Flash AF20 Base Array, AF20Q Base Array, AF40 Base Array, AF60 Base Array, AF80 Base Array

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**1.4. Nimble Storage Flash Bundle Solid State Drive 960GB R0P04A (Or Equal)**

**Technical Specifications**

Manufacturer : Nimble Storage  
Brand : HPE  
Product Line : HPE Nimble Storage  
Model : Flash Bundle  
Bundled with : 1.92TB SSD  
Packaged Quantity : 3



- **Storage**
  - Type : Solid state drive
- **Hard Drive**
  - Capacity : 960 GB
- **Miscellaneous**
  - Pricing Type : Factory integrated
- **Compatibility**
  - Compatible With : HPE Nimble Storage Adaptive Flash HF40 Base Array, HF60 Base Array, HF60C Base Array

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**1.5. Installation & Start-up  
HA114A1#5MR (Or Equal)**

On-site installation, configuration, and start-up of Group 1 components.

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**1.6. Parts Exchange Support (Three (3) Years)  
HT6Z0A3#ZFR (Or Equal)**

**Technical Specifications**

Manufacturer : Nimble Storage  
Brand : HPE  
Product Line : HPE Nimble Storage Foundation Care  
Model : 4H Parts Exchange Support  
Packaged Quantity : 1

- **Equipment**
  - Class of Equipment : Storage arrays
  - Covered Configurations : 84TB Storage Array
- **Service & Support**
  - Type : Extended service agreement
  - Service Included : Advance parts replacement
  - Full Contract Period : 3 years
  - Location : Shipment
  - Response Time : 4 hours
  - Service Availability : 24 hours a day / 7 days a week
- **Service & Support Details**
  - Technical support - phone consulting - 3 years - response time: 8 business hours availability: 24 hours a day / Monday-Sunday - severity level 3, Technical support – phone consulting - 3 years - response time: 30 min - availability: 24 hours a day / Monday-Sunday - severity level 1, Product info support - web support - 3 years, New releases update – 3 years, Technical support - phone consulting - 3 years - response time: NBD - availability: 24 hours a day / Monday-Friday - severity level 4, Extended service agreement - advance parts replacement - 3 years - shipment -

response time: 4 h - availability: 24 hours a day / Monday-Sunday,  
Technical support - e-mail consulting - 3 years - availability: 24 hours a  
day / Monday-Sunday, Technical support - phone consulting - 3 years -  
response time: 2 business hours - availability: 24 hours a day / Monday-  
Sunday - severity level 2

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**1.7. Parts Exchange Support (Three (3) Years)  
HT6Z0A3#T6U (Or Equal)**

**Technical Specifications**

Manufacturer : Nimble Storage

Brand : HPE

Product Line : HPE Nimble Storage Foundation Care

Model : 4H Parts Exchange Support

Packaged Quantity : 1

• **Equipment**

- Class of Equipment : Storage arrays

• **Service & Support**

- Type : Extended service agreement
- Service Included : Advance parts replacement
- Full Contract Period : 3 years
- Location : Shipment
- Response Time : 4 hours
- Service Availability : 24 hours a day / 7 days a week

• **Service & Support Details**

- New releases update - 3 years, Technical support - e-mail consulting - 3 years - availability: 24 hours a day / Monday-Sunday, Technical support - phone consulting - 3 years - response time: 2 business hours - availability: 24 hours a day / Monday-Sunday - severity level 2, Technical support - phone consulting - 3 years - response time: 8 business hours - availability: 24 hours a day / Monday-Sunday - severity level 3, Extended service agreement - advance parts replacement - 3 years - shipment - response time: 4 h - availability: 24 hours a day / Monday-Sunday, Product info support - web support - 3 years, Technical support - phone consulting - 3 years - response time: NBD - availability: 24 hours a day / Monday-Friday - severity level 4, Technical support - phone consulting - 3 years - response time: 30 min - availability: 24 hours a day / Monday-Sunday - severity level 1

**1.8. Parts Exchange Support (Three (3) Years)  
HT6Z0A3#ZET (Or Equal)**

- **Header**
    - Manufacturer : Nimble Storage
    - Brand : HPE
    - Product Line : HPE Nimble Storage Foundation Care
    - Model : 4H Parts Exchange Support
    - Packaged Quantity : 1
  - **Equipment**
    - Class of Equipment : Storage arrays
    - Covered Configurations : 2x10GbE 2 ports adapter
  - **Service & Support**
    - Type : Extended service agreement
    - Service Included : Advance parts replacement
    - Full Contract Period : 3 years
    - Location : Shipment
    - Response Time : 4 hours
    - Service Availability : 24 hours a day / 7 days a week
  - **Service & Support Details**
    - Service & Support : Technical support - e-mail consulting - 3 years - availability: 24 hours a day / Monday-Sunday, Extended service agreement - advance parts replacement - 3 years - shipment - response time: 4 h - availability: 24 hours a day / Monday-Sunday, Technical support - phone consulting - 3 years - response time: 30 min - availability: 24 hours a day / Monday-Sunday - severity level 1, New releases update - 3 years, Product info support - web support - 3 years, Technical support - phone consulting - 3 years - response time: 8 business hours - availability: 24 hours a day / Monday-Sunday - severity level 3, Technical support - phone consulting - 3 years - response time: NBD - availability: 24 hours a day / Monday-Friday - severity level 4, Technical support - phone consulting - 3 years - response time: 2 business hours - availability: 24 hours a day / Monday-Sunday - severity level 2
  - **Compatibility**
    - Compatible With : P/N: Q8B88B, Q8B99B, Q8C63B
- 

**1.9. Parts Exchange Support (Three (3) Years)  
HT6Z0A3#ZFG (Or Equal)**

- **Header**
  - Manufacturer : Nimble Storage
  - Brand : HPE
  - Product Line : HPE Nimble Storage Foundation Care

- Model : 4H Parts Exchange Support
  - Packaged Quantity : 1
  - **Equipment**
    - Class of Equipment : Storage arrays
  - **Service & Support**
    - Type : Extended service agreement
    - Service Included : Advance parts replacement
    - Full Contract Period : 3 years
    - Location : Shipment
    - Response Time : 4 hours
    - Service Availability : 24 hours a day / 7 days a week
  - **Service & Support Details**
    - Service & Support : Technical support - phone consulting - 3 years - response time: 2 business hours - availability: 24 hours a day / Monday-Sunday - severity level 2, Technical support - phone consulting - 3 years - response time: NBD - availability: 24 hours a day / Monday-Friday - severity level 4, Technical support - phone consulting - 3 years - response time: 30 min - availability: 24 hours a day / Monday-Sunday - severity level 1, Extended service agreement - advance parts replacement - 3 years - shipment - response time: 4 h - availability: 24 hours a day / Monday-Sunday, Technical support - phone consulting - 3 years - response time: 8 business hours - availability: 24 hours a day / Monday-Sunday - severity level 3, Product info support - web support - 3 years, New releases update - 3 years, Technical support - e-mail consulting - 3 years - availability: 24 hours a day / Monday-Sunday
  - **Compatibility**
    - Compatible With : P/N: Q8H39A, Q8H39AR
-

## 2. GROUP 2 – STOREONCE 5200 STORAGE SYSTEM

### 2.1. StoreOnce 5200 BB956A (Or Equal)

#### Technical Specifications

- Capacity
  - 48 TB raw, 36 TB useable (base plus first upgrade kit) expandable to 216 TB useable
- Host interface
  - Network Card
  - Expansion Slot Type: SFP
  - Network Technology: 25GBase-X, 10GBase-X
  - Device Supported: Data Storage System
  - Media Type Supported: Optical Fiber
- Transfer rate
  - 33 TB/hr, maximum using HPE StoreOnce Catalyst
- Deduplication
  - HPE StoreOnce deduplication
- Storage expansion
  - HPE StoreOnce 5200 48 TB capacity upgrade kit
- Replication support
  - Yes – HPE StoreOnce replication
- RAID support
  - Hardware RAID 6
- Number of virtual tape libraries and NAS targets
  - 64
- Virtual appliance
  - No
- Target for backup applications
  - HPE StoreOnce Catalyst, Virtual Tape Library (SCSI/FC), and NAS (CIFS/NFS)
- Tape device emulated
  - HPE LTO-2/LTO-3/LTO-4/LTO-5/LTO-6/LTO-7 Ultrium Tape Drives in MSL2024 Tape Library, MSL4048 Tape Library, HPE D2D generic library with HPE D2D generic tape library
- Number of source appliances, maximum
  - 32
- Tape cartridges emulated (maximum)
  - 16,384
- Misc
  - Must be 100% compatible with HP Data Protector
  - A total of 96TB Raw storage

2.2. **StoreOnce Gen4 10/25 Gbps SFP Network Card  
BB982A (Or Equal)**

**Technical Specifications**

- Expansion Slot Type: SFP
- Network Technology: 25GBase-X,10GBase-X
- Device Supported: Data Storage System
- Media Type Supported: Optical Fiber
- The HPE StoreOnce 25 Gigabit Ethernet Card supports 10GBase-X and 25GBase-X network technology.

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2.3. **StoreOnce 5200 48TB  
BB964A (Or Equal)**

**Technical Specifications**

- Manufacturer : Hewlett-Packard
- Brand : HPE
- Product Line : HPE StoreOnce
- Model : 5200 Capacity Upgrade Kit
- Packaged Quantity : 1
- **Chassis**
  - Installed Devices / Modules Qty : 12
  - Supported Devices / Modules Qty : 12
- **Storage**
  - Network Storage Type : NAS server
  - Rack-mountable : Rack-mountable
  - iSCSI support : iSCSI
  - Total Storage Capacity : 48 TB
  - Max Supported Capacity : 288 TB
- **Storage Controller**
  - Type : RAID
  - Interface Type : Serial Attached SCSI
  - RAID Level : RAID 6
- **Hard Drive**
  - Type : HDD
  - Form Factor : 3.5" LFF
  - Form Factor (metric) : 8.9 cm LFF
  - Installed Qty : 12
  - Capacity : 4 TB
  - Spindle Speed : 7200 revolutions per minute
- **Optical Storage**
  - Type : None
- **Networking**

- Data Link Protocol : Gigabit Ethernet, 8Gb Fibre Channel, 10 Gigabit Ethernet
- Host Connectivity (for SD) : 10 Gigabit Ethernet / Gigabit Ethernet / 8Gb Fibre Channel
- Network Services Compatibility : Microsoft CIFS, Network File System (NFS)
- **Expansion Bays**
  - Expansion Bays : 12 (total) / 0 (free) - 3.5" LFF
- **Interface Provided**
  - Interfaces : 8 x 8Gb Fibre Channel / Ethernet 10Gb, 4 x Ethernet 1000
- **Software**
  - Type : Drivers & Utilities
- **Power Device**
  - Type : Internal power supply
  - Nominal Voltage : AC 120/230 V
  - Frequency Required : 50/60 hertz
- **Miscellaneous**
  - Color Category : Silver
  - Included Accessories : Rack mounting kit
  - Height (Rack Units) : 2
  - Compliant Standards : EAC
- **Environmental Parameters**
  - Min Operating Temperature : 50 degree Fahrenheit
  - Max Operating Temperature : 95 degree Fahrenheit
  - Humidity Range Operating : 8 - 90%
  - Sound Emission : 39 dBA

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**2.4. 48 TB CAP UPG Support (Three (3) Years)  
H7J34A3#ZH5 (Or Equal)**

**Technical Specifications**

- General
  - Service Included: Parts and Labor
  - Location: On-site
  - Full Contract Period: 3 years
  - Response Time: 4 hours
  - Service Availability: 24 hours a day / 7 days a week
- Details
  - Extended service agreement - parts and labor - 3 years - on-site - response time: 4 h - availability: 24 hours a day / Monday-Sunday
  - Technical support - phone consulting - 3 years - response time: 2 h - availability: 24 hours a day / Monday-Sunday
  - Technical support - remote diagnosis - 3 years
  - Product info support - web knowledge base access - 3 years
  - New releases update - 3 years

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**2.5. 5200 Base Support (Three (3) Years)  
H7J34A3#ZH0 (Or Equal)**

**Technical Specifications**

- General
  - Service Included: Parts and Labor
  - Location: On-site
  - Full Contract Period: 3 years
  - Response Time: 4 hours
  - Service Availability: 24 hours a day / 7 days a week
- Details
  - Extended service agreement - parts and labor - 3 years - on-site - response time: 4 h - availability: 24 hours a day / Monday-Sunday
  - Technical support - phone consulting - 3 years - response time: 2 h - availability: 24 hours a day / Monday-Sunday
  - Technical support - remote diagnosis - 3 years
  - Product info support - web knowledge base access - 3 years
  - New releases update - 3 years

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**2.6. StoreOnce 5200 Installation & Start-up  
HA124A1#5VL (Or Equal)**

On-site installation, configuration, and start-up of Group 2 components.

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**Insurance Requirements – 419896**

**The Insurance documentation must be submitted, reviewed and approved by Pace, the Suburban Bus Division of the Regional Transportation Authority (further known as Pace) prior to the Contract award. At Pace’s discretion, the bidder or proposer’s failure to submit the required compliant insurance documents may result in a “Not Responsible” determination against your company. Pace also reserves the right to accept or reject the evidence of insurance coverage or other documentation provided at its own discretion.**

The Contractor, Supplier and/or Vendor (further known as *Contractors*) or Subcontractors and/or Independent Contractors (further known as *Subs/Independents*) shall provide and maintain insurance coverage required by this Contract. Evidence of required insurance coverage shall be provided on an **Acord 25** (or equivalent) Certificate of Insurance form. It is the *Contractors’* responsibility to verify that all *Subs/Independents* insurance coverage meets or exceeds the insurance requirements outlined in this exhibit/contract. All insurers must maintain a rating of **A-VII** or better as rated by A. M. Best Company. If an A.M. Best rating is not available due to insurance coverage being underwritten by an alternative Risk Financing Method (i.e. Self-Insurance, Pooling, Captive) then the *Contractors* and/or insurer(s) shall provide **Pace** with the most recent audited financial statement, audit report notes, and any applicable State Insurance Department self-insurance approval documents.

**It is important to note that “Additional Insured” endorsements such as CG 2010 & CG 2037 or CG 2026 or comparable endorsement {General Liability}, CA 2048 {Automobile Liability}, and other policy endorsements (or their equivalents) required by this exhibit shall be submitted to Pace with the Acord 25 Certificate of Insurance before award of contract.**

The *Contractors* shall insert the substance of this Insurance Exhibit in subcontracts under this Contract and shall require all *Subs/Independents* to provide and maintain the insurance required. **It is the Contractors’ sole responsibility to ensure all Subcontractors/Independent Contractors insurance is in compliance with these requirements.**

**Minimum insurance requirements are those paragraphs below marked with an X:**

- Certificates of Insurance** shall provide evidence of all required insurance coverage, limits and endorsements and shall be issued to **Pace** for the duration of the contract or agreement term **plus** one additional year. If a *Contractors’* warranty or material warranty applies, evidence of insurance coverage shall be provided to **Pace** for the entire length of *Contractors’* warranty, and/or the length of materials warranty, whichever is greater. The *Contractors’* agent, broker, or insurer shall issue an updated Certificate of Insurance accompanied by required endorsements to **Pace** prior to the insurance policy renewal date each year.
- Workers Compensation and Employer's Liability Insurance** affording the following limits: **Coverage A-** Statutory Benefits and **Coverage B-Employer’s Liability**-\$500,000 Each Accident, \$500,000 Disease-Each Employee, \$500,000 Disease-Policy Limit. Executive Officers, Sole Proprietors, General Contractor’s utilizing Independent Contractor labor, and/or others not required by the Illinois Workers Compensation Act to obtain Workers Compensation insurance coverage agree to execute a **hold-harmless agreement**.
- Workers Compensation Waiver of Subrogation**  
The *Contractors* and its insurer shall agree to waive their rights to subrogate against **Pace** and the Regional Transportation Authority. **Pace** shall be scheduled and/or named on the ISO WC 00 03 13 endorsement or equivalent WC Waiver of Subrogation.
- Commercial General Liability Insurance (Broad Form)** with coverage and limits that meet or exceed the following parameters; coverage is written on an ISO CG 00 01 or other equivalent coverage form with the following limits:
  - Each Occurrence-\$1,000,000
  - General Aggregate-\$2,000,000
  - Products/Completed Operations Aggregate-\$2,000,000
  - Personal & Advertising Injury-\$1,000,000

- With respect to the **Commercial General Liability Insurance**, the **Regional Transportation Authority (RTA)** and **Pace, the Suburban Bus Division of the RTA**, shall be added by endorsement as Additional Insureds on the *Contractor's* CGL policy.
- Business Automobile Insurance** with a Combined Single Limit (CSL) of not less than \$1,000,000 per accident for bodily injury and property damage liability arising from owned, non-owned, and hired vehicles.
- With respect to the **Business Auto Liability Insurance**, the **Regional Transportation Authority (RTA)**, and **Pace, the Suburban Bus Division of the RTA**, shall be added by endorsement as Additional Insureds on the *Contractor's* Auto policy.
- Umbrella Liability Insurance** affording limits of not less than **\$2,000,000** each occurrence and **\$2,000,000** aggregate coverage. Such umbrella coverage shall contain the following policy provisions and/or endorsements: defense, investigation, and supplementary payments “outside” or “in addition to” the policy limits, 30-day Notice of Cancellation, Definition of “Who is an insured” (includes “Any person or organization” that is an insured under any policy of underlying coverage) and the *Contractor* must maintain underlying insurance as scheduled when the Umbrella coverage was bound. **Umbrella Liability Insurance is not required when the Primary General Liability policy limits and the Primary Automobile Liability policy limits are equal to or greater than the combined total of the Primary and Umbrella insurance policy limits requirement.**
- Technology Errors and Omissions/Cyber Liability Insurance** – The third-party liability policy shall include the following coverage and limits of coverage.

| Third-Party Coverage Part  | Includes coverage for:  | Required Minimum Sublimit    |
|----------------------------|---|------------------------------|
| Professional Services      | Acts, Errors, or Omissions in the course of providing professional services | <u>\$5,000,000</u> per claim |
| Network Security Liability | Breaches in network security or unauthorized access events                  | <u>\$5,000,000</u> per claim |
| Privacy Liability          | Wrongful disclosure of confidential information                             | <u>\$5,000,000</u> per claim |

- The *Contractors'* **“Other Insurance” policy clause** shall be shown on the Certificate of Insurance with the following wording **“This insurance is primary, non-contributory, and not excess of any other insurance of Pace.**

**Notice of Cancellation on all Policies**

The Insurer and/or Agent/Broker shall endeavor to provide the written notice of cancellation to **Pace's** Insurance Liaison **10** days prior to the effective date of cancellation. Failure to do so shall impose no obligation or liability of any kind upon the insurer, its agents or representatives.

**Disclosure of a Deductible or Self-Insured Retention (SIR)**

If your company is self-insured or utilizes a Risk Financing Mechanism in which a deductible or SIR (self-insured retention) exceeds \$25,000, **Pace** reserves the right to request the most recent audited financial statements from the contractor and documents from the State Insurance Department granting self-insurance approval.

**Within five (5) business days of Pace's request and prior to contract award the insurance company, or its representative, shall submit an insurance certificate and corresponding endorsements that meet or exceed Pace's requirements.**

Pace, the Suburban Bus Division of the Regional Transportation Authority  
Attn: Insurance Liaison  
550 West Algonquin Road  
Arlington Heights, IL 60005-4412

FAILURE to comply with **Pace's** Insurance Requirements and provide evidence of insurance coverage as required by contract may result in your bid or proposal being rejected as not responsible. The *Contractors'* failure to carry, maintain and/or document required insurance shall constitute a breach of the contract. Any failure by **Pace** to demand or receive proof of insurance coverage shall not constitute a waiver of *Contractors'* obligation to obtain the required insurance. The *Contractors'* expressly agree that these insurance provisions in no way limit the *Contractors'* responsibilities under other provisions of the Contract, including the hold harmless and indemnification clause. *Contractors'* insurance agent shall, upon request by **Pace**, furnish a copy of the insurance policy addressed to the Insurance Liaison. *Contractors* shall not commence work herein until they have obtained the required insurance and has received **Pace's** approval.