“How To Do Business With Metra”

Ground Rules for Today

• Mute Microphone
• Turn Off Video
• Submit Questions via Chat Box
Agenda

1. Opening Remarks
2. DBE Certification
3. Procurement Services
4. DBE Compliance
5. Questions
6. Closing Remarks
I. Ownership
   • An independent business that is at least 51 percent owned by a socially or economically disadvantaged individual(s)
     • The socially or economically disadvantaged individual(s) include:
       • Women, Native Americans, African Americans, Hispanic Americans, Asian-Pacific Americans and Subcontinent Asian Americans

II. Personal Net Worth (PNW)
   • Majority owner personal net worth must not exceed $1.32 million

III. Control
   • The majority owner must control the management and daily operations

IV. Size
   • A for-profit business that meets the Small Business Administration’s (SBA) size standard and does not exceed $23.98 million in gross annual receipts over a three year average
Different agencies recognize different certifications

I. DBE Certification is:
   • Federal Requirement
   • United States Department of Transportation (US DOT) contracts for highway, transit, and airport

II. M/WBE Certification is:
    • State and local government contracting authorities
DBE Certification through one of these agencies is recognized by all

The Illinois Unified Certification Program (IL UCP) directory provides a reference source of certified DBE firms. The Directory lists the firms in alphabetical order, including the NAICS codes* and specialties. The Directory provides a reference source to assist bidders/proposers in meeting DBE contract goals.

*North American Industry Classification System (NAICS) Codes – classification of the specialties or services that a firm seeks to perform.
Advantages of DBE Certification

I. Company listed in the IL UCP DBE vendor directory

II. An opportunity to participate on federally funded or assisted projects as prime contractors or subcontractors

III. An identifier that can be used as a marketing tool for businesses
Determining Eligibility

1. The certification application, Personal Net Worth (PNW) statement and supporting documents are analyzed.

2. A site visit is conducted to verify the firm’s business, which includes a tour of the facility and photographs.

3. A final determination is made on whether or not the firm is eligible for DBE certification and the firm is notified via mail.

The DBE Program complies with the US DOT 49 CFR, Part 26, Subpart D, which provides the certification guidelines and procedures.

Process takes 60 to 90 days upon the receipt of all required documentation.
Certification

Pursuant to the requirements of the federal regulation 49 CFR part 26, all recipients of US DOT financial assistance must implement a "one-stop" certification process for Disadvantaged Business Enterprises (DBEs). As a result of this requirement, five US DOT-funded agencies - the Illinois Department of Transportation (IDOT), City of Chicago, CTA, Metra and Pace - have established the IL UCP.

The IL UCP is based on the concept of reciprocity among the agencies. "One-stop" shopping will be provided to applicants for the DBE program, such that an applicant need only to apply once for DBE certification, and the resulting decision will be honored by all participating agencies in the IL UCP.

As of April 1, 2020, because of the current situation in relation to COVID-19, Metra Office of Diversity and Business Enterprise is requesting that all correspondence regarding DBE certification, including the DBE Certification Application, No Change Affidavit, NAICS Code Expansion Request, Extension of Time Requests and supporting documents be emailed to amena@metrarail.com. An acknowledgement email will be sent to confirm the receipt of your email.

If you have already mailed any documentation to our office, please send an email to amena@metrarail.com.

If you have any question, you can reach our office at 312-322-7391.

Click here for the Initial DBE Certification Application

Click here for the Personal Net Worth Statement (must be submitted with the certification application)
How We Buy

Metra’s purchasing is handled by Procurement Department

I. **Materials & Services Procurement Department:**
   - Responsible for the purchasing of materials, services and equipment

II. **Professional Services Procurement Department:**
   - Responsible for contracts for architectural and engineering, financial and other professional services

III. **Construction & Facilities Maintenance Department:**
    - Responsible for contracts for construction and facilities maintenance services

IV. **Materials Department:**
    - Responsible for the receipt, storage, distribution and replenishment of Metra's physical inventory
Examples Of What We Buy

Professional Services
- Architectural
- Engineering
- Human Resources
- Financial
- Marketing
- Mechanical

Construction Related Services
- Concrete
- Electrical
- HVAC
- Masonry
- Painting
- Plumbing
- Roofing

Commodities & General Services
- Chemicals
- Equipment
- Fuel
- Furniture
- Maintenance & Janitorial Supplies
- Office Supplies
- Rail Specific Items
- Uniforms
Annual Procurement Plan

The Procurement Plan, updated quarterly, identifies potential contracting opportunities for goods and services anticipated by Metra Departments such as Engineering, Mechanical, Fleet and Facility Management, Finance, Information Systems and Materials and Stores. This document also includes information about vendor registrations and how Metra ensures that small, minority and women-owned businesses have equal opportunity to receive and participate in Metra contracts. Review Metra’s Annual Procurement Plan here.
How To Register As A Vendor

Vendor Registration

Register your business as a Metra vendor to be included for consideration for upcoming solicitations.

A completed Vendor Registration Form is required for your firm to be entered in Metra’s Vendor Database. Upon receipt of this information, we will enter your firm into our vendor database under the appropriate commodity listing(s). These listings are used by our buyers/contracting agents in preparing solicitations.

The process is simple. Just follow the steps below to register:

Step 1: Gather your company’s information
- General company information
- Sales information
- Officer, owner or partner information
- Asset information
- Corporate affiliates
- Business references
- Employee information

Step 2: Complete the Vendor Registration Form
- Electronic Form
- Printable Forms (PDF)

Step 3: Submit Completed Form to Metra
- Electronic Vendor Registration Form - Click “Submit” at the end of the online form.
- Printable Vendor Registration Forms - Please return the completed forms to the following address:

Metra
Materials Management Department
Attn: Asst. Materials Coordinator
547 W. Jackson Blvd., Ste. 1100, East
Chicago, IL 60661

Note: Please include the correct NAICS codes relating to the business or services provided to ensure you will receive solicitations from the Procurement Department.
Bidders/Proposers
DBE Responsiveness Requirements

Schedules A (Commitment to DBE Subcontractor Participation)

**SCHEDULE A**

**BIDDER/PROPOSER/CONTRACTOR COMMITMENT TO DBE SUBCONTRACT PARTICIPATION**

<table>
<thead>
<tr>
<th>NAME OF BIDDER/PROPOSER OR CONTRACTOR</th>
<th>METRA IFE/RFP/CONTRACT (TASK) No.</th>
<th>NAME OF PROJECT</th>
<th>XYZ Project</th>
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</thead>
<tbody>
<tr>
<td>ABC Company, Inc.</td>
<td>12345</td>
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**NOTE**
- Bidders/Proposers/Contractor Must COMPLETE, SIGN AND RETURN THIS FORM along with Completed, Signed Schedule C(s) from Each listed DBE.
- If the BIDDER/PROPOSER/CONTRACTOR is itself a DBE, the DBE BIDDER/PROPOSER/CONTRACTOR must indicate the scope of work it will perform with its own forces (independent of the work of any subcontractor) and the dollar amount of that work.
- Any DBE listed on this Schedule A must be certified by the IL UCP at the time of Bid/Proposal submittal.

<table>
<thead>
<tr>
<th>NAME AND ADDRESS OF DBE FIRM</th>
<th>DBE SCOPE OF WORK (TO BE PERFORMED FOR THIS PROJECT) AND NORTH AMERICAN INDUSTRY CLASSIFICATION SYSTEM (NAICS) CODE</th>
<th>AGREED AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>567, Inc. 1234 Roadway Rd. Chicago IL, 60661</td>
<td>Engineering Services - 541330</td>
<td>$ 100,000.00</td>
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*If space is insufficient provide detail on attached page.*

**TOTAL DBE COMMITMENT** $ 100,000.00

For bid/proposal responsiveness purposes only, DBE credit for Total DBE Commitment is measured solely against the base bid, initial proposal, bid total, or grand total, not on allowance, alternative bid amounts or master purchase agreement total dollar limitation. However, in the event Metra awards a contract, Metra expects any DBE listed on the Schedule A to perform the same or similar subcontractor work under the allowance. If the award includes an alternation, Metra expects any DBE listed on the Schedule A to perform the same or similar subcontractor work contained in the alternation. If the award is a negotiated amount, Metra expects any DBE listed on the Schedule A to perform the same or similar subcontractor work authorized under the allowance or under release by a master purchase agreement as necessary to meet the established contract DBE requirements.

Bidders/Proposers/Contractor cannot substitute any DBE without prior approval of the Director. Bidders/Proposers/Contractor cannot terminate for convenience any DBE listed and then perform the work with its own forces without prior approval of the Director.

I hereby certify that arrangements have been made for the foregoing work with the listed DBE subcontractor(s). I further understand that any willful falsification, fraudulent statement, or misrepresentation will result in appropriate sanctions, which may include disqualification and/or prosecution under applicable State and Federal Laws.

John Johnson, President
June 30, 2020

Metra®
Bidders/Proposers
DBE Responsiveness Requirements

Schedules C (Confirmation of DBE Commitment)

| SCHEDULE C  
CONFIRMATION OF DBE COMMITMENT |
<table>
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</tr>
</thead>
<tbody>
<tr>
<td>NAME OF BIDDER/PROPOSER OR CONTRACTOR: ABC Company, Inc.</td>
</tr>
<tr>
<td>CONTRACTOR: ABC Company, Inc.</td>
</tr>
</tbody>
</table>

NOTE:
- Bidders/Proposers/Contractors Must SUBMIT THIS FORM from each listed DBE at the time of Bid/Proposal is due along with a Completed, Signed Schedule A.
- If the BIDDER/PROPOSER/CONTRACTOR is itself a DBE, the DBE BIDDER/PROPOSER/CONTRACTOR must indicate the scope of work it will perform with its own forces (independent of the work of any subcontractor) and the dollar amount of that work.
- Any DBE listed on Schedule A and/or D must be certified by the IL UCP at the time of Bid/Proposal submittal.

NAME OF DBE FIRM: ABC Company, Inc.
567, Inc.
1234 Roadway Rd., Chicago, IL 60661

ADDRESS OF DBE FIRM: ABC Company, Inc.
567, Inc.
1234 Roadway Rd., Chicago, IL 60661

hereby certifies that it is participating in the referenced Metra project in the agreed amount of $100,000.00 performing Engineering Services - 541330

and as shown on Schedule A or of ABC Company, Inc. Name of Prime Bidder/Proposers/Contractor

**PLEASE COMPLETE THE FOLLOWING** (Trucking Firms Complete Both Columns)

| TRUCKING FIRMS ONLY |      | |      |
|---------------------|------|------|
| The above DBE work will be further subcontracted: | Yes | No |
| If Yes, indicate the % of the Schedule A and C Agreed Amount that is to be further subcontracted to a DBE and/or Non-DBE firm. Provide additional Schedule C(a) if further subcontracted to a DBE. | | |
| - 0 % of DBE’s work will be further subcontracted to another DBE. | | |
| - 0 % of DBE’s work will be further subcontracted to a Non-DBE. | | |
| The above DBE work will be supplemented with leased trucks: | Yes | No |
| If Yes, indicate the % of the Schedule A and C Agreed Amount that will be expended for the lease of another DBE and/or Non-DBE firm’s trucks. Provide additional Schedule C(a) if leased from a DBE. | | |
| - 0 % of DBE’s work will be supplemented with leased trucks from another DBE. | | |
| - 0 % of DBE’s work will be supplemented with leased trucks from a Non-DBE. | | |

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.

Jane Doe, President
Printed Name and Title of DBE Firm Authorized Signee

Signature of DBE Firm Authorized Signee

July 16, 2020
Date

Office of Diversity & Business Enterprise
Locating Certified DBE Firms

1. Click here to view the IL UCP DBE Directory

2. Illinois UCP Directory

3. Contractor Search

Enter the Search criteria in the fields below and click Search. If more than one field has criteria entered and a Category checkbox is selected, the results will contain only records meeting ALL the specified criteria and selecting the Category of Architecture/Engineering, only Companies in the Architecture/Engineering category with a Specific Category will be displayed. If the desired work will be performed in any of the selected districts.
Contract Compliance Requirements

- DBE Subcontract(s)
- Invoice/Pay Application
- Subcontract Payment Log
- Proof of Payment
- Worksite Visit
QUESTIONS

Contact Information

DBE Certification: Michele Sutton (msutton@metrarr.com)

Contract Compliance: Ayanna Walker (awalker@metrarr.com)

Office of Diversity & Business Enterprise: (metradbe@metrarr.com)