“DBE Compliance Requirements for Bid/Proposal Submissions”
Virtual Workshop

Office of Diversity & Business Enterprise
Presented By:
Amy Fischer, Liliana Reyes, Ayanna Walker, DBE Compliance Specialists
Presentation Guidelines/Housekeeping

- Presentation will be recorded
- Keep Camera off throughout presentation
- Stay on mute. Use the chat box for questions
- Questions will be answered at the end of the presentation
- Scan the QR code at the end for the survey
Agenda

- Contracting Opportunities
- Vendor Registration
- Locating Certified DBE Firms
- DBE Utilization Documents for LIQ/RFP/IFB
- Self Performing DBE Firms
- Small Business Set-Aside (SBE)
- Q & A
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
- 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 60606

Note: Please include the correct NAICS codes relating to the business or services provided to ensure you will receive solicitations from the Procurement Department.
Locating Certified DBE Firms

Firms with DBE Certification through one of these agencies are recognized by all the others:

- The Illinois Unified Certification Program (IL UCP) directory provides a reference source of certified DBE firms. The Directory lists firms in alphabetical order, including the NAICS* codes and specialties. It 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.
DBE Responsiveness Requirements for IFB Solicitations
## Bidders - Schedules A & C
### DBE Responsiveness Requirements for IFB

### Schedule A
(Commitment to DBE Subcontractor Participation)

**NAME OF BIDDER/PROPOSER OR CONTRACTOR:** ABC Example Company, Inc.  
**NAME OF PROJECT:** XYZ Project

**Note:**
- Bidders/Proposers/Contractors must complete, sign, and return this form along with completed, signed Schedule C(2) 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 FORM</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>345 Company, Inc.</td>
<td>237310 - Highway, Street, &amp; Bridge Construction</td>
<td>$150,000.00</td>
</tr>
</tbody>
</table>

**TOTAL DBE COMMITMENT:** $150,000.00

Bidder/Proposer/Contractor cannot substitute any DBE without prior approval of the Director. Bidder/Proposer/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 ongoing 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 criminal and/or professional sanctions under applicable State and Federal Laws.

John Johnson, President  
June 30, 2020
Bidders - Schedules A & C
DBE Responsiveness Requirements for IFB

Schedule A
(Commitment to DBE Subcontractor Participation)

NAME OF BIDDER/PROPOSER/CONTRACTOR OR METRA P&R/FFP CONTRACT (TASK) NO.
ABC Example Company, Inc. IFB 12345

NAME AND ADDRESS OF DBE FIRM
345 Company, Inc
1234 Railroad Rd. Chicago IL, 60661

DBE SCOPE OF WORK TO BE PERFORMED FOR THIS PROJECT AND
SCHEDULE A
AGREED AMOUNT

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>237310</td>
<td>Highway, Street, &amp; Bridge Construction</td>
<td>$150,000.00</td>
</tr>
</tbody>
</table>

TOTAL DBE COMMITMENT $150,000.00

I hereby certify that arrangements have been made for the following 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 demerits and/or prosecution under applicable State and Federal Laws.

John Johnson, President
Printed Name and Title of Bidder/Proposer/Contractor Authorized Signee

Signature of Bidder/Proposer/Contractor Authorized Signee
June 30, 2020
Date
Office of Diversity & Business Enterprise
Bidders - Schedules A & C
DBE Responsiveness Requirements for IFB

Schedule A
(Commitment to DBE Subcontractor Participation)
Bidders - Schedules A & C
DBE Responsiveness Requirements for IFB

Schedule A
(Commitment to DBE Subcontractor Participation)

<table>
<thead>
<tr>
<th>NAME AND ADDRESS OF DBE FIRM</th>
<th>DBE SCOPE OF WORK TO BE PERFORMED</th>
<th>AGREED AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>345 Company, Inc 1234 Railroad Rd, Chicago IL, 60661</td>
<td>237310- Highway, Street, &amp; Bridge</td>
<td>$150,000.00</td>
</tr>
</tbody>
</table>

**NOTE:**
- Bidders/Proposers/Contractor must complete, sign, and return this form along with completed, signed Schedule C1B from each listed DBE.
- If the Bidders/Proposers/Contractor is itself a DBE, the DEE bidders/proposers/contractor must indicate the name of the DBE subcontractor(s) and the dollar amount of such work.
- Any DBE listed on this Schedule A must be certified by the BCP at the time of Bid/Proposal submittal.

---

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

John Johnson, President

[Signature of Bidders/Proposers/Contractors Authorized Signee]

Office of Diversity & Business Enterprise
# Bidders - Schedules A & C

DBE Responsiveness Requirements for IFB

## Schedule A

(Commitment to DBE Subcontractor Participation)

<table>
<thead>
<tr>
<th>NAME OF BIDDER/PROPOSER OR CONTRACTOR</th>
<th>METRA PFR/PFF CONTRACT/TASK NO.</th>
<th>NAME OF PROJECT</th>
<th>DBE SCORP 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>ABC Example Company, Inc.</td>
<td>IFB 12345</td>
<td>XYZ Project</td>
<td>237310 - Highway, Street, &amp; Bridge Construction</td>
<td>$150,000.00</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**NOTE**

- Bidders/Contractors 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 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.

*If space is not sufficient provide detail on attached page.

**TOTAL DBE COMMITMENT** $150,000.00

---

John Johnson, President

Printed Name and Title of Bidder/Proposer/Contractor Authorized Signee

Date: 12/20/2020

Office of Diversity & Business Development
Schedule C
(Confirmation to DBE Subcontractor Participation)

NAME OF BIDDER/PROPOSER OR CONTRACTOR: ABC Example Company, Inc.
NAME OF DBE FIRM: 345 Company, Inc.
ADDRESS OF DBE FIRM: 1234 Railroad Rd, Chicago, IL 60661

NOTE:
- Bidder/Proposer/Contractor must submit this form to each DBE at the time of Bid Proposal in duplicate along with a completed, signed Schedule A.
- If the Bidder/Proposer/Contractor is a DBE, the DBE Bidder/Proposer/Contractor must indicate the scope of work they will perform with their own forces independent of the work of any subcontractor and the dollar amount of that work.
- Any DBE listed on Schedule A and/or C must be certified by the IL CDF at the time of Bid Proposal submittal.

ABC Example Company, Inc.

Hereby certifies that it is participating in the referenced project in the agreed amount of $150,000.00 performing Highway, Street, & Bridge Construction - 2373710.

and as shown on Schedule A of ___ bid/proposal contract

Original signatory: 

Jane Doe, President
July 16, 2020

Printed Name and Title of DBE Firm Authorized Signee
Signature of DBE Firm Authorized Signee
Date
Bidders - Schedules A & C
DBE Responsiveness Requirements for IFB

Schedule C
(Confirmation to DBE Subcontractor Participation)

NAME OF DBE FIRM: 345 Company, Inc.
ADDRESS OF DBE FIRM: 1234 Railroad Rd. Chicago, IL 60661

thereby certifies that it is participating in the referenced Metra project in the agreed amount of $150,000.00.

PLEASE COMPLETE THE FOLLOWING (if checking boxes complete for clarity):

| The above DBE work will be further subcontracted to another DBE | The above DBE work will be supplemented with leased tracks:
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Check 1</td>
<td>Yes</td>
</tr>
<tr>
<td>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 if a further subcontracted to a DBE.</td>
<td>If Yes, indicate the % of the Schedule A and C Agreed Amount that will be expected for the lease of another DBE and/or Non-DBE firm. Provide additional Schedule C if it is not from a DBE.</td>
</tr>
<tr>
<td>0</td>
<td>% of DBE’s work will be further subcontracted to another DBE</td>
</tr>
<tr>
<td>0</td>
<td>% of DBE’s work will be further subcontracted to a Non-DBE</td>
</tr>
<tr>
<td>If No. enter “%” on both lines below.</td>
<td>If No. enter “%” on both lines below.</td>
</tr>
<tr>
<td>0</td>
<td>% of DBE’s work will be further subcontracted to another DBE</td>
</tr>
<tr>
<td>0</td>
<td>% of DBE’s work will be further subcontracted to a Non-DBE</td>
</tr>
</tbody>
</table>

I further understand that any wilful false statement, fraudulent statement, or misrepresentation will result in appropriate sanctions, which may include disbarment and/or prosecution under applicable state and federal laws.

Jane Doe, President
Printed Name and Title of DBE Firm Authorized Signer
July 16, 2020
Signature of DBE Firm Authorized Signer
Date
Bidders - Schedules A & C
DBE Responsiveness Requirements for IFB

Schedule C
(Confirmation to DBE Subcontractor Participation)
Bidders - Schedules A & C
DBE Responsiveness Requirements for IFB

Schedule C
(Confirmation to DBE Subcontractor Participation)

```
<table>
<thead>
<tr>
<th>NAME OF BIDDER/PROPOSER OR CONTRACTOR</th>
<th>NAME OF PROJECT</th>
</tr>
</thead>
<tbody>
<tr>
<td>ABC Example Company, Inc.</td>
<td>XYZ Project</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 efforts of any subcontractor) and the dollar amount of that work.
- Any DBE listed on Schedule A and/or C must be certified by the IL CEO at the time of Bid Proposal submitted.

<table>
<thead>
<tr>
<th>NAME OF DBE FIRM</th>
<th>ADDRESS OF DBE FIRM</th>
</tr>
</thead>
<tbody>
<tr>
<td>845 Company, Inc</td>
<td>1234 Railroad Rd., Chicago, IL 60661</td>
</tr>
</tbody>
</table>

byhereby certifies that it is participating in the referenced Metra project in the amount of $150,000.00 performing Highway, Street, & Bridge Construction - 237310

The above DBE work will be further subcontracted in accordance with the following:

<table>
<thead>
<tr>
<th>TRUCKING FIRMS ONLY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Check One</td>
</tr>
<tr>
<td>Yes</td>
</tr>
<tr>
<td>No</td>
</tr>
</tbody>
</table>

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(s) if leased from a DBE.

<table>
<thead>
<tr>
<th>% of DBE's work will be subcontracted to another DBE</th>
</tr>
</thead>
<tbody>
<tr>
<td>0%</td>
</tr>
<tr>
<td>10%</td>
</tr>
</tbody>
</table>

If No, enter "0%" on both lines below.

<table>
<thead>
<tr>
<th>% of DBE's work will be subcontracted to another DBE</th>
</tr>
</thead>
<tbody>
<tr>
<td>0%</td>
</tr>
<tr>
<td>10%</td>
</tr>
</tbody>
</table>

Additional Schedule C(s) if subcontracted from a DBE.

Further understand that any violations from applicable State and Federal Laws.

Jane Doe, President

Printed Name and Title of DBE Firm Authorized Signer:

Signature of DBE Firm Authorized Signer:

Page 14 of 16
Office of Diversity & Business Enterprise
```
**Bidders - Schedules A & C**
**DBE Responsiveness Requirements for IFB**

**Schedule C**  
(Confirmation to DBE Subcontractor Participation)

---

**SCHEDULE C**  
**CONFIRMATION OF DBE COMMITMENT**

**NAME OF BIDDER/PROPOSER OR CONTRACTOR:** ABC Example Company, Inc.  
**NAME OF PROJECT:** XYZ Project

**NOTE:**
- Bidders/Proposers/Contractors must SUBMIT THIS FORM from each listed DBE at the time of Bid Proposal.  
- The DBE RESPONSIVENESS REQUIREMENT for each DBE must include the scope of work it will perform with own forces (independent of the work of any subcontractor) and the dollar amount of that work.
- Any DBE listed on Schedule A and/or B must be certified by the IL DCP at the time of Bid Proposal submitted.

**NAME OF DBE FIRM:** 345 Company, Inc.  
**ADDRESS OF DBE FIRM:** 1254 Railroad Rd, Chicago, IL 60661

NAME OF DBE FIRM: 345 Company, Inc.
ADDRESS OF DBE FIRM: 1254 Railroad Rd, Chicago, IL 60661

Hereby certify that it is participating in the referenced Metra project in the agreed amount of $150,000.00 performing Highway, Street, & Bridge Construction - 237310

and as shown on Schedule A of ABC Example Company, Inc.

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

<table>
<thead>
<tr>
<th>TRUCKING FIRM ONLY</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>The above DBE work will be further subcontracted:</td>
<td></td>
</tr>
<tr>
<td>[ ] Yes</td>
<td>[ ] No</td>
</tr>
<tr>
<td>If Yes, indicate the % of the Schedule A and C Agreed Amount that is to be further subcontracted:</td>
<td></td>
</tr>
<tr>
<td>[ ] Yes</td>
<td>[ ] No</td>
</tr>
<tr>
<td>If Yes, indicate the % of the Schedule A and C Agreed Amount that will be expended for the purpose of another DBE and/or Non-DBE firm:</td>
<td></td>
</tr>
<tr>
<td>[ ] Yes</td>
<td>[ ] No</td>
</tr>
<tr>
<td>The above DBE work will be further subcontracted to another DBE:</td>
<td></td>
</tr>
<tr>
<td>[ ] Yes</td>
<td>[ ] No</td>
</tr>
<tr>
<td>The above DBE work will be further subcontracted to Non-DBE:</td>
<td></td>
</tr>
<tr>
<td>[ ] Yes</td>
<td>[ ] No</td>
</tr>
</tbody>
</table>

I further understand that any willful falsification, fraudulent statement, or misrepresentation will result in appropriate sanctions, which may applicable State and Federal Laws.

[Signature]
Jane Doe, President

[Printed Name and Title]
DBE Firm Authorized Signee

Office of Diversity & Business Enterprise
Page 10 of 16 Exhibit 14

---
DBE Responsiveness Requirements for LIQ & RFP Solicitations
## Schedule 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>NAME OF PROJECT</th>
<th>METRA IFP/RFQ/CONTRACT/TASK NO.</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>ABC Company, Inc.</td>
<td>XYZ Project</td>
<td>LIQ 12345</td>
<td>Engineering Services - 541330</td>
<td>$ TBD</td>
</tr>
</tbody>
</table>

<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.</td>
<td>Engineering Services - 541330</td>
<td>$ TBD</td>
</tr>
</tbody>
</table>

**TOTAL DBE COMMITMENT**

25%

**NOTE:**
- BIDDER/PROPOSER/CONTRACTOR MUST COMPLETE, SIGN AND RETURN THIS FORM ALONG WITH COMPLETED SCHEDULE C(S) FROM EACH LISTED DBE.
- If the BIDDER/PROPOSER/CONTRACTOR is in default, the DBE BIDDER/PROPOSER/CONTRACTOR MUST INDICATE THE SCOPE OF WORK IT WILL PERFORM WITH ITS OWN FORCES (INDEPENDENT OF THE WORK OF ANY SUBCONTRACTORS) 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.

**I hereby certify that arrangements have been made for the 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 debarment and/or prosecution under applicable State and Federal Laws.

John Johnson, President

June 30, 2020

**Printed Name and Title of Bidder/Proposer/Contractor Authorized Signee:**
Office of Diversity & Business Enterprise

[Signature]

Page 12 of 18
Debit 4 L

My Metra
**Proposers - Schedules A & C**  
DBE Responsiveness Requirements for LIQ & RFP

**Schedule A**  
(Commitment to DBE Subcontractor Participation)

---

**Schedule A**

<table>
<thead>
<tr>
<th>NAME OF BIDDER/PROPOSER/CONTRACTOR</th>
<th>COMMITMENT TO DBE SUBCONTRACTOR PARTICIPATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>ABC Company, Inc.</td>
<td></td>
</tr>
<tr>
<td>NAME OF PROJECT</td>
<td>XYZ Project</td>
</tr>
</tbody>
</table>

---

**NOTE**

- Bidders/Proposers/Contractors must complete, sign, and return this form along with completed, signed Schedule C(s) from each listed DBE.
- Bidders/Proposers/Contractors must indicate the scope of work they will perform with their own or at the time of DBE Proposal submittal.

---

**NAME AND ADDRESS OF DBE FIRM**

- 567, Inc.
- 1234 Roadway Rd. Chicago IL, 60661

---

**DBE WORK TO BE PERFORMED FOR THIS PROJECT AND NORTH AMERICAN INDUSTRY CLASSIFICATION SYSTEM (NAICS) CODE**

- **Engineering Services - 541330**
  - **AGREED AMOUNT**: $TBD
  - **% DBE COMMITMENT**: 25%

---

I, **John Johnson**, President, hereby certify that arrangements have been made for the foregoing work with the listed DBE subcontractor(s). I further understand that any written misrepresentation, fraudulent statement, or misrepresentation will result in appropriate sanctions, which may include, but not be limited to, suspension or disbarment from participation in any DBE contracts.  

**John Johnson**, President  
June 30, 2020
Proposers - Schedules A & C
DBE Responsiveness Requirements for LIQ & RFP

Schedule A
(Commitment to DBE Subcontractor Participation)

<table>
<thead>
<tr>
<th>NAME OF BIDDER/PROPOSER OR CONTRACTOR</th>
<th>NAME AND ADDRESS OF DBE FIRM</th>
<th>AGREED AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>ABC Company, Inc.</td>
<td>567, Inc. 1234 Readway Rd. Chicago IL, 60661</td>
<td>TBD</td>
</tr>
</tbody>
</table>

For self-proposals purposes only, DBE credit for Total total, not on allowable, alternative bid amounts or must be done. Any DBE listed on Schedule A to be performed by the same or similar subcontract listed on Schedule A to be performed by the same or similar subcontract. All DBE listed must meet the established contract DBE goal.

I hereby certify that arrangements have been made for the foregoing work with the listed DBE subcontractor(s). I further understand that any misrepresentation, misstatement, or misrepresentation will result in appropriate sanctions, which may include, but not be limited to, inclusion in a national directory of ineligible firms.

John Johnson, President
June 30, 2020

Engineering Services - 541330

25%
Schedule A
(Commitment to DBE Subcontractor Participation)
## Proposal - Schedules A & C

### DBE Responsiveness Requirements for LIQ & RFP

### Schedule A

(Commitment to DBE Subcontractor Participation)

<table>
<thead>
<tr>
<th>NAME OF DBE FIRM</th>
<th>DBE SCOPE OF WORK</th>
<th>AGREED AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td>567, Inc.</td>
<td>Engineering Services - 541330</td>
<td>TBD</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*If space is not sufficient provide detail on attached page.*

**TOTAL DBE COMMITMENT** $25%

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

John Johnson, President

Printed Name and Title of Bidder/Proposer/Contractor Authorized Signee

John Johnson, Office of Diversity & Business
**Proposers - Schedules A & C**

**DBE Responsiveness Requirements for LIQ & RFP**

## Schedule C

(Confirmation to DBE Subcontractor Participation)

<table>
<thead>
<tr>
<th>NAME OF BIDDER/PROPOSER OR CONTRACTOR</th>
<th>ABC Company, Inc.</th>
</tr>
</thead>
<tbody>
<tr>
<td>NAME OF DBE FIRM</td>
<td>567, Inc.</td>
</tr>
<tr>
<td>ADDRESS OF DBE FIRM</td>
<td>1234 Roadway Rd, Chicago, IL 60661</td>
</tr>
<tr>
<td>METRA RFP/RFQ/CONTRACT (TASK) NO.</td>
<td>LIQ 12345</td>
</tr>
<tr>
<td>NAME OF PROJECT</td>
<td>XYZ Project</td>
</tr>
</tbody>
</table>

**NOTE**

- Bidder/Proposer/Contractor MUST submit this form from each listed DBE at the time of Bid Proposal in due along with a Completed, Signed Schedule A.
- If the BIDDER/PROPOSER/CONTRACTOR is in 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 S USO at the time of Bid Proposal submitted.

—

**SCHEDULE C**

**CONFIRMATION OF DBE COMMITMENT**

| Name of Prime Bidder/Proposer/Contractor | ABC Company, Inc. |
| Check One | Yes | No |

- The above DBE work will be further subcontracted to:

| TRUCKING FIRM ONLY | Yes | No |

- The above DBE work will be supplemented with leased trucks:

- Further understood that any intimidation, fraudulent statement, or misrepresentation will result in appropriate sanctions, which include disqualification and prosecution under applicable State and Federal Laws.

Jane Doe, President
July 16, 2020

Printed Name and Title of DBE Firm Authorized Signee
Signature of DBE Firm Authorized Signee
Date

Office of Diversity & Business Enterprise
Proposers - Schedules A & C
DBE Responsiveness Requirements for LIQ & RFP

Schedule C
(Confirmation to DBE Subcontractor Participation)

**SCHEDULE C**
**CONFIRMATION OF DBE COMMITMENT**

| NAME OF BIDDER/PROPOSER OR CONTRACTOR | ABC Company, Inc. |
| METRA IFB/RFP/CONTRACT (TASK NO.) | LIQ 12345 |
| NAME OF PROJECT | XYZ Project |

**NOTE:** Redundant or non-essential text has been removed for clarity.

| NAME OF DBE FIRM | 567, Inc. |
| ADDRESS OF DBE FIRM | 1234 Roadway Rd. Chicago, IL 60661 |

hereby certifies that it is participating in the referenced Metra project in the agreed amount of $541330

and as shown on Schedule A of ABC Company, Inc. Proposal.

**Name of Prime Bidders/Proposers/Contractor:**

| Check One | Yes | No |
| Check One | Yes | No |

| The above DBE work will be further subcontracted to another DBE | 0% |
| The above DBE work will be further subcontracted to a Non-DBE | 0% |

| If Yes, indicate the % of the Schedule A and C Agreed Amount that will be further subcontracted to a DBE and/or Non-DBE firm. Provide additional Schedule C(s) if necessary. If less than a DBE, indicate the % of the Schedule A and C Agreed Amount that will be further subcontracted to a DBE and/or Non-DBE firm. Provide additional Schedule C(s) if necessary. |
| 0% |

| If Yes, indicate the % of the Schedule A and C Agreed Amount that will be further subcontracted to a DBE and/or Non-DBE firm. Provide additional Schedule C(s) if necessary. |
| 0% |

| If No, check “X” on both lines below. |
| 0% |

| If No, check “X” on both lines below. |
| 0% |

**Jane Doe, President**

| Printed Name and Title of DBE Firm Authorized Signee | Signature of DBE Firm Authorized Signee |
| Office of Diversity & Business Enterprise | Date |
| Jane Doe | July 16, 2020 |

**my Metra**
### Schedule C
(Confirmation to DBE Subcontractor Participation)

<table>
<thead>
<tr>
<th>DBE Firm Name</th>
<th>Address</th>
<th>DBE Firm Signature</th>
</tr>
</thead>
<tbody>
<tr>
<td>XYZ Company, Inc.</td>
<td>1234 Roadway Rd, Chicago, IL 60661</td>
<td>Jane Doe, President</td>
</tr>
</tbody>
</table>

**Completing Schedule C**

- The above DBE work will be further subcontracted:
  - [ ] Yes
  - [x] 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.

If No, enter “0%” on both lines below.

- [ ] 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.

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.

Signed: Jane Doe, President

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

Page 9 of 10

Office of Diversity & Business Enterprise
**Schedule C**  
(Confirmation to DBE Subcontractor Participation)

![Schedule C Form Image]

- **Name of Bidder/Proposer or Contractor**: ABC Company, Inc.  
- **Contractor**: XYZ Project  
- **Name of Project**: ABC Company, Inc.

**Address of DBE Firm**: 1234 Roadway Rd. Chicago, IL 60661

**TBD**

**Metra IFB/RFQ/CONTRACT (TASK) NO.**: LIQ 12345

<table>
<thead>
<tr>
<th>NAME OF BIDDER/PROPOSER OR CONTRACTOR</th>
<th>NAME OF PROJECT</th>
<th>NO.</th>
<th>NAME OF DBE FIRM</th>
<th>ADDRESS OF DBE FIRM</th>
</tr>
</thead>
<tbody>
<tr>
<td>ABC Company, Inc.</td>
<td>XYZ Project</td>
<td>LIQ</td>
<td>ABC Company, Inc.</td>
<td>1234 Roadway Rd. Chicago, IL 60661</td>
</tr>
</tbody>
</table>

**Note**
- If the bidder/proposer/contractor is itself a DBE, the 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 S.U.R.O. at the time of Bid Proposal submitted.
- Bidders/Proposers/Contractors must submit this form for each listed DBE at the time of Bid Proposal in due course with a signed Schedule A.

**TBD**

<table>
<thead>
<tr>
<th>Name of Prime Bidder/Proposer/Contractor</th>
<th>Name of DBE Firm Authorized Signee</th>
</tr>
</thead>
<tbody>
<tr>
<td>ABC Company, Inc.</td>
<td>Jane Doe</td>
</tr>
</tbody>
</table>

**Printed Name and Title of DBE Firm Authorized Signee**

**Page 13 of 16**

**Exhibit 1-L**
Helpful Reminders

- Schedules A & C completed and signed appropriately
- Total DBE commitment amount on Schedules A must indicate the required DBE goal
- DBE scope of work & NAICS code(s) must match IL UCP Directory
- Agreed amount and scope of work on Schedules A & C must match and be provided
- DBE work to be further subcontracted indicated on Schedule C in checkbox
- Commitment to meet the required DBE goal included in Letter of Interest for LIQ Solicitations
- Committed amount on Schedules A & C indicated as a % of work to be performed by the DBE firm or as TBD for LIQ/RFP
- Firms certified as MBE/WBE do not count towards the required DBE goal, Metra only counts the utilization of a firm certified as DBE
Self-Performing DBE Firms

Firms utilizing their own forces must be certified in the scope of work related to the solicitation and submit:

• Schedule A (DBE goal commitment)

• Schedule C (Confirmation of DBE commitment)
Small Business Set-Aside (SBE) Responsiveness Requirements
## Small Business Set-Aside (SBE) Responsiveness Requirements

### Schedule S-1
(Confirmation of SBE Participation)

<table>
<thead>
<tr>
<th>METRA IFS NO.</th>
<th>NAME OF PROJECT</th>
<th>NAME OF BIDDER</th>
<th>ADDRESS OF FIRM</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Please select DBE or SBE Host Agency:
- [ ] Metra
- [ ] Chicago Transit Authority (CTA)
- [ ] Pace
- [ ] City of Chicago
- [ ] IL Department of Transportation (IDOT)

**Note:** Only firms who are certified as a DBE or verified as a SBE with one of the Illinois Unified Certification Program (IUCP) members indicated above at the time of bid submission will be considered.
- [ ] Bidders must complete, sign, and return this form along with proof of DBE certification or SBE verification from one of the IL UCP members indicated above.
- [ ] Bidders must indicate on this form the scope of work they will perform with their own funds, the NAICS code and the dollar amount of that work (contract amount).
- [ ] Bidders must be certified or verified in the scope of work listed to be performed for this project.

<table>
<thead>
<tr>
<th>DBE/SBE SCOPE OF WORK (TO BE PERFORMED FOR THIS PROJECT)</th>
<th>NORTH AMERICAN INDUSTRY CLASSIFICATION SYSTEM (NAICS) CODE</th>
<th>CONTRACT AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Please Complete the Following:**

The above work will be further subcontracted: (If Yes, Please Complete Schedule S-2 For Each Firm Work Will Be Further Subcontracted to on This Project.)

<table>
<thead>
<tr>
<th>Check</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>If Yes, indicate the % of the Contract Amount that is to be further subcontracted to a DBE, DBE, and/or Non-DBE firm.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>% of DBE/SBE's work will be further subcontracted to another SBE.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>% of DBE/SBE's work will be further subcontracted to a DBE or Non-DBE.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If No, enter % below.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>% of DBE/SBE's work will be further subcontracted to another SBE.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>% of DBE/SBE's work will be further subcontracted to a DBE or Non-DBE.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

I hereby certify that arrangements have been made for the foregoing work with the DBE/SBE subcontractor(s) indicated above. 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.

<table>
<thead>
<tr>
<th>Printed Name and Title of Bider Authorized Signee</th>
<th>Signature of Bider Authorized Signee</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Page 2 of 3

Office of Diversity & Business Enterprise May 2023
SBE – Schedule S-1
Small Business Set-Aside (SBE) Responsiveness Requirements

Schedule S-1
(Confirmation of SBE Participation)
SBE – Schedule S-1
Small Business Set-Aside (SBE) Responsiveness Requirements

Schedule S-1
(Confirmation of SBE Participation)

Please complete the following:

The above work will be further subcontracted: (If Yes, Please Complete Schedule S-2 For Each Firm Work Will Be Further Subcontracted to on This Project.)

Check One
Yes  No

If Yes, indicate the % of the Contract Amount that is to be further subcontracted to a SBE, DBE and/or Non-DBE firm.

% of DBE/SBE’s work will be further subcontracted to another SBE.
% of DBE/SBE’s work will be further subcontracted to another DBE.
% of DBE/SBE’s work will be further subcontracted to a DBE or Non-DBE.

If No, enter “0%” on both lines below.

% of DBE/SBE’s work will be further subcontracted to another SBE.
% of DBE/SBE’s work will be further subcontracted to a DBE or Non-DBE.

I hereby certify that arrangements have been made for the foregoing work with the DBE/SBE subcontractor(s) indicated above. 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.

Printed Name and Title of Bidder Authorized Signee

Signature of Bidder Authorized Signee

Date

Page 2 of 1
Details C
Office of Diversity & Business Enterprise_May 2020
SBE – Schedule S-1
Small Business Set-Aside (SBE) Responsiveness Requirements

Schedule S-1
(Confirmation of SBE Participation)

Please complete the following:

If Yes, indicate the % of the contract amount that is to be further subcontracted to a SBE, DBE and/or Non-DBE firm.

<table>
<thead>
<tr>
<th>% of DBE/SBE's work will be further subcontracted to another SBE.</th>
<th>% of DBE/SBE's work will be further subcontracted to a DBE or Non-DBE.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>If Yes, indicate the % of the contract amount that is to be further subcontracted to a SBE, DBE and/or Non-DBE firm.</td>
<td></td>
</tr>
</tbody>
</table>

If No, enter 0% on both lines below.

<table>
<thead>
<tr>
<th>% of DBE/SBE's work will be further subcontracted to another SBE.</th>
<th>% of DBE/SBE's work will be further subcontracted to a DBE or Non-DBE.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>
# SBE – Schedule S-1

Small Business Set-Aside (SBE) Responsiveness Requirements

## Schedule S-1

(Confirmation of SBE Participation)

![Image of Schedule S-1 form]

### SCHEDULE S-1
**BIDDER CONFIRMATION OF SBE PARTICIPATION**

<table>
<thead>
<tr>
<th>NAME OF PROJECT</th>
<th>METRA IFB NO.:</th>
</tr>
</thead>
<tbody>
<tr>
<td>NAME OF BIDDER</td>
<td></td>
</tr>
<tr>
<td>ADDRESS OF FIRM</td>
<td></td>
</tr>
</tbody>
</table>

**PLEASE SELECT DBE OR SBE HOST AGENCY:**
- [ ] Metra
- [ ] Chicago Transit Authority (CTA)
- [ ] Pace
- [ ] City of Chicago
- [ ] IL Department of Transportation (IDOT)

**NOTE:**
- Only firms who are certified as a DBE or verified as a SBE with one of the Illinois Unified Certification Program (IL UCP) members indicated above at the time of bid submission will be considered.
- Bidders must complete, sign, and return this form along with proof of DBE certification or SBE verification from one of the IL UCP members indicated above.
- Bidders must indicate on the form that the scope of work they will perform with their own forces, the NAICS code and the dollar amount of that work (contract amount).
- Bidders must be certified or verified in the scope of work listed to be performed for this project.

<table>
<thead>
<tr>
<th>DBE/DBE SCOPE OF WORK (TO BE PERFORMED FOR THIS PROJECT) and NORTH AMERICAN INDUSTRY CLASSIFICATION SYSTEM (NAICS) CODE</th>
<th>CONTRACT AMOUNT</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**PLEASE COMPLETE THE FOLLOWING:**

The above work will be further subcontracted: (If Yes, Please Complete Schedule S-2 For Each Firm Work Will Be Further Subcontracted to on This Project.)

<table>
<thead>
<tr>
<th>Check</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>If Yes, indicate the % of the Contract Amount that is to be further subcontracted to a SBE, DBE and/or Non-DBE firm.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>% of DEB/SBE’s work will be further subcontracted to another SBE</td>
<td></td>
<td></td>
</tr>
<tr>
<td>% of DEB/SBE’s work will be further subcontracted to another DBE</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If No, enter N/A on both lines below:

% of DEB/SBE’s work will be further subcontracted to another DBE

% of DEB/SBE’s work will be further subcontracted to another SBE

I hereby certify that the arrangements have been made for the foregoing work with the DBE/SBE subcontractor(s) in accordance with all applicable laws, regulations, and guidelines, and that any false statements, misrepresentations, or misrepresentations will result in appropriate sanctions, which may include debarment from Federal Laws.

Printed Name and Title of Bidder Authorized Signee: __________________________

Signature of Bidder Authorized Signee: __________________________

Page 2 of 3

[My Metra logo]
SBE – Schedule S-2
Small Business Set-Aside (SBE) Responsiveness Requirements

Schedule S-2
(SBE/DBE Subcontractor Confirmation)

SCHEDULE S-2
SBE/DBE PARTICIPATION SUBCONTRACT CONFIRMATION

NAME OF PROJECT:

NOTE:
- Bidders who are certified as a DBE or verified as an SBE with one of the Illinois Unified Certification Program (IL UCIP) Members: Metra, IDOT, CTA, Pace and City of Chicago, must submit this form from each firm that work will be further subcontracted to on this project as indicated on Schedule S-1.
  - DBE or SBE firms listed on Schedule S-2 must be DBE certified or SBE verified with one of the IL UCIP members indicated above at the time of bid submittal.
  - DBE or SBE firms must indicate on this form the scope of work it will perform with its own forces and the dollar amount of that work.

NAME OF BIDDER:

NAME OF DBE/SBE FIRM:

ADDRESS OF DBE/SBE FIRM:

hereby certifies that it is participating in the referenced Metra project in the agreed amount of $________

performing _________

and as shown on Schedule S-1 of _________'s bid.

Name of Prime Bidder

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.

Printed Name and Title of DBE/SBE Firm Authorized Signee

Signature of DBE/SBE Firm Authorized Signee

Date

Page 3 of 3
Exhibit 1-L
Office of Diversity & Business Enterprise_May 2020

myMetra
SBE – Schedule S-2
Small Business Set-Aside (SBE) Responsiveness Requirements

Schedule S-2
(SBE/DBE Subcontractor Confirmation)

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.
SBE – Schedule S-2
Small Business Set-Aside (SBE) Responsiveness Requirements

Schedule S-2
(SBE/DBE Subcontractor Confirmation)

SCHEDULE S-2
SBE/DBE PARTICIPATION SUBCONTRACT CONFIRMATION

NAME OF PROJECT:

NOTE:

• BIDDERS WHO ARE CERTIFIED AS A DBE OR VERIFIED AS A SBE WITH ONE OF THE ILLINOIS UNIFIED CERTIFICATION PROGRAM (IL UCP) MEMBERS; METRA, IDOT, CTA, PACE AND CITY OF CHICAGO, MUST SUBMIT THIS FORM FROM EACH FIRM THAT WORK WILL BE FURTHER SUBCONTRACTED TO ON THIS PROJECT AS INDICATED ON SCHEDULE S-1.
  o DBE or SBE firms listed on Schedule S-2 must be DBE certified or SBE verified with one of the IL UCP members indicated above at the time of bid submittal.
  o DBE or SBE firms must indicate on this form the scope of work it will perform with its own forces and the dollar amount of that work.

NAME OF BIDDER:

NAME OF DBE/SBE FIRM:

ADDRESS OF DBE/SBE FIRM:

hereby certifies that it is participating in the referenced Metra project in the agreed amount of $,
performing ____________________________________________________________________________
and as shown on Schedule S-1 of ____________________________________________________________________________.

Name of Prime Bidder

I, ____________________________________________________________________________, do hereby

Printed Name and Title of DBE/SBE Firm Authorized Signee

Signature of DBE/SBE Firm Authorized Signee
Helpful Reminders for Small Business Set-Aside (SBE) Responsiveness Requirements

Schedule S-1 and Schedule S-2 completed, signed and dated

DBE/SBE is certified in the scope of work to be performed

Scope of work to be further subcontracted, indicated on S-1

Proof of SBE verification from host agency
Questions?

Type your questions in the chat box
FAQs

Q. I am a DBE firm, can I commit to the DBE goal requirement by utilizing my own forces?
   o Yes, only if your firm is certified under the IL UCP in the area of specialty directly related to the solicitation.

Q. If my company indicates on Schedule A the utilization of 6 DBE firms to meet the DBE goal requirement for a proposal and I only submit Schedule C for 5 of the DBE firms, will my company’s proposal be deemed responsive?
   o No, for each firm listed on the Schedule A, a Schedule C must be provided to ensure the DBE firm is committed to be utilized to meet the DBE goal requirement.

Q. Where can I find information regarding counting DBE participation?
   o Metra’s DBE Compliance Requirements Exhibit (Section IV)
   o Solicitation Documents and Contract Documents
   o U.S. Department of Transportation Regulations

Q. If the DBE I want to use is certified in Wisconsin and MBE/WBE with the City of Chicago, can the firm be utilized to meet the DBE goal?
   o No, Metra will only count the utilization of a firm certified as DBE under the IL UCP at the time of bid/proposal submission.
Thank You!

Scan the QR Code Below with your Cell Phone Camera

Liliana Reyes lreyes@metrarr.com
Ayanna Walker awalker@metrarr.com
Amy Fischer afischer@metrarr.com