"DBE COMPLIANCE REQUIREMENTS FOR BID/PROPOSAL SUBMISSIONS" VIRTUAL WORKSHOP

Presented By:

Amy Fischer - DBE Compliance Specialist II

Ayanna Walker - DBE Compliance Specialist II

Jonna Tate - DBE Compliance Specialist I





AGENDA



Contracting Opportunities



Vendor Registration



Locating Certified DBE Firms



DBE Utilization
Documents for
LIQ/RFP/IFB/SBE
Solicitations



DBE Regular
Dealer/Distributor
Affirmation Form



Q & A



CONTRACTING OPPORTUNITIES

METRA.COM



MAIN MENU



BUSINESS OPPORTUNITIES AND RESOURCES



PURCHASING & PROCUREMENT











Purchasing & Procurement

To current and potential vendors: Thank you for your interest in doing business with Metra as either a prime contractor or subcontractor.

Metra's New Procurement Portal

Metra is transitioning to a new Procurement portal called Bonfire where all solicitations are to be advertised and Contractor bids and proposals will be submitted electronically and received through the Bonfire portal.

Effective for all procurements advertised on or after October 1, 2022, Metra will transition to electronic posting and submission only through Bonfire for all bids and proposals. Vendor questions regarding a solicitation shall be submitted through the Bonfire portal only.

For procurements advertised prior to October 1, 2022, contractors will continue to download solicitations through Metra's Procurement page and submit bids and proposals as specified in the solicitation.

Vendors wishing to do business with Metra and submit bids or proposals must register with Bonfire and upload submissions through the Bonfire portal, available at:

follow the link to Bonfire vendor registration page to register your company. Vendors must register with Bonfire and Metra even if the vendor is currently registered with Metra. When registering with Bonfire, please be sure to select the same NAICS codes on Bonfire and Metra to ensure your firm is notified of solicitations matched to your NAICS codes.

Registration is free and easy to setup. Should you need assistance setting up your account in Bonfire, please contact Bonfire Interactive Support at support@gobonfire.com.

Due to the pandemic and in the interest of maintaining social distancing, virtual bid openings for Invitations for Bids (IFB's) will continue to be conducted via the live internet Webcast only at the location, date and time as specified in the individual solicitations. All interested parties wishing to view the public bid openings can go

https://metra.com/webcasts

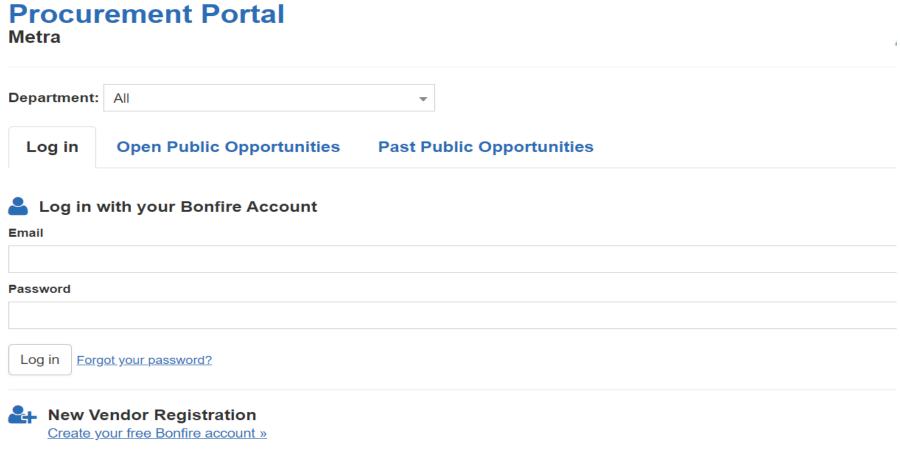
Click on "Metra Bid Opening Session XX/XX/20XX"

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 https://metra.bonfirehub.com/portal/?tab=login



HOW TO REGISTER AS A VENDOR WITH BONFIRE



Note: Please include the correct North American Industry Classification System **(NAICS)** codes relating to the business or services provided to ensure you will receive solicitation notifications from the Procurement Department.



BONFIRE PROCUREMENT PORTAL

Procurement Portal Metra Department: All Open Public Opportunities Past Public Opportunities Search Action Close Date Status Ref. # Project Department Days Left View Mimecast Renewal Professional Services IFB 153259 Aug 22nd 2024, 2:00 PM Opportunity View Metra Electric Van Buren Station Protective Overhead Canopy Construction & Facilities Aug 27th 2024, 2:00 PM CDT Opportunity Maintenance View IFB 151455 Private Bus Charter Services Professional Services Aug 28th 2024, 2:00 PM CDT Opportunity View IFB No. 149815 Signal Houses and Cases Purchasing Aug 28th 2024, 2:00 PM CDT Opportunity View IFB 146348A Nickel-Cadmium Batteries for Commuter Coaches Purchasing Aug 28th 2024, 2:00 PM CDT Opportunity 14 IFB No. 144533B Platform Hardware Purchasing Sep 4th 2024, 2:00 PM CDT Opportunity OPEN IFB No. 152372 Cable Trough Construction & Facilities Sep 4th 2024, 2:00 PM CDT Opportunity Maintenance View OPEN RFP No. 145192 Union Workforce Software Solution Professional Services Sep 4th 2024, 4:00 PM CDT 14 Opportunity View 15 Construction & Facilities Sep 5th 2024, 2:00 PM CDT Opportunity Maintenance View OPEN IFB No. 145600 Cash Fare Tickets Sep 6th 2024, 2:00 PM CDT Purchasing Opportunity



LOCATING CERTIFIED DBE FIRMS

Metra.com

Business
Opportunities and
Resources

Office of Diversity
& Business
Enterprise

DBE Program

ois Department of Transportation

DBE Directory

Office of Diversity & Business
Enterprise

SBE Program >

DBE Program >

Contract Compliance FAQs

On-Site Vist FAQs

Personal Net Worth FAQs

Prevailing Wage

Requirements FAQ

Outreach Calendar

DBE Certification

DBE FAQs

Contact DBE

Seal Usage

Affidavits/Forms

DBE Directory

DBE Objective/Policy

Statement

| w | Osman, Acting Secretary | | |
|------------------------------|---|---|--|
| Contra | actor Search | | |
| If more than and selecting | the Category of Architecture/Engineering, v | rch. theckbox is selected, the results will contain only records m will display all Companies in the Architecture/Engineering ca he desired work in any of the selected districts. | The second secon |
| Company Name Specialty | • | — 4 | |
| NAICS Code | | | |
| Category | ☐ Airport Concessionaire ☐ Architecture/Engineering | Select district(s) where the work will be performed | District 1 |



DBE Responsiveness Requirements for IFB/LIQ/RFP Solicitations



SCHEDULES A & C

(COMMITMENT AND CONFIRMATION TO DBE SUBCONTRACTOR PARTICIPATION)

SCHEDULE A

BIDDER/PROPOSER/CONTRACTOR COMMITMENT TO DBE SUBCONTRACT PARTICIPATION

NAME OF BIDDER/PROPOSER OR
CONTRACTOR: ABC Example Company, Inc.

NAME OF PROJECT: XYZ Project

NOTE:

- . Bidder/Proposer/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.

| NAME AND ADDRESS OF DBE FIRM | DBE SCOPE OF WORK (TO BE PERFORMED FOR THIS PROJECT)* AND NORTH AMERICAN INDUSTRY CLASSIFICATION SYSTEM (NAICS) CODE | AGREED AMOUNT |
|---|--|---------------|
| 345 Company, Inc 1234 Railroad Rd. Chicago II., 60661 | 237310-Highway, Street, & Bridge Construction | \$ 150,000.00 |
| | | \$ |
| | | \$ |
| | | \$ |
| If space is not sufficient provide detail on attached page. | TOTAL DBE COMMITMENT | \$150,000.00 |

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 almonace. If the award is an exposited amount, Metra expects any DBE listed on the Schedule A to perform the same or similar subcontractor work contained in the alternate. If the award is a negotiated amount, Metra expects any DBE listed on the Schedule A to perform the same or similar subcontractor work contained in the initial doir proposal. In addition, Metra expects any DBE listed on the Schedule A to perform the same or similar subcontractor work contained in the initial doir proposal. In addition, Metra expects any DBE listed on the Schedule A to perform the same or similar subcontractor work contained in the initial of proposal. In addition, Metra expects any DBE listed on the Schedule A to perform the same or similar subcontractor work contained in the initial of proposal. In addition, Metra expects any DBE listed on the Schedule A to perform the same or similar subcontractor work contained in the initial of proposal. In addition, Metra expects any DBE listed on the Schedule A to perform the same or similar subcontractor work contained in the initial of proposal.

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 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 debarment and/onprosecution under applicable State and Federal Laws.

John Johnson, President Johnson

June 30, 2020

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

Signature of Bidger/Proposer/Contractor Authorized Signee

Date

Exhibit 1-L

Office of Diversity & Business Enterprise

| | CONFI | RMATION | OF DBE COMMITMENT | | |
|--|--|--|---|---|--|
| NAME OF BIDDER/PROPOSER OR | | | METRA IFB/RFP/CONTRACT (TASK) | NO.: IFB 12345 | |
| CONTRACTOR: ABC Example Company, Inc | | | NAME OF PROJECT: XYZ Project | | |
| NOTE: Bidder/Proposer/Contractor Must SUBMIT THIS FO If the BIDDER/PROPOSER/CONTRACTOR is itself forces (independent of the work of any subcontract Any DBE listed on Schedule A and/or D must be or | a DBE, the D ctor) and the | BE BIDDER/PF dollar amount | the time of BidiProposal is due along with a Comple ROPOSERICONTRACTOR must indicate the sco of that work. | eted, Signed Schedule A. | |
| NAME OF DBE FIRM 345 Company, Inc | | | | | |
| 1254 Italioda Ita. Cilicag | o, IL 60661 | 1 | | | |
| ADDRESS OF DBE FIRM: hereby certifies that it is participating in the referenced M Highway, Street, & Bridge Construction - 2373 | etra project in | n the agreed a | amount of \$ 150,000.00 | performir | |
| Name of Prime | Bidder/Propo | ser/Contractor | 's_bid/proposal/contract. | | |
| Name of Prime | Bidder/Propo | ser/Contractor | i (Trucking Firms Complete Both Columns): TRUCKING FI | | |
| Name of Prime PLEASE The above DBE work will be further subcontracted: | Bidder/Propo | HE FOLLOWING | (Trucking Firms Complete Both Columns): TRUCKING FI The above DBE work will be supplemente | ed with leased trucks: | |
| Name of Prime PLEASE The above DBE work will be further subcontracted: Check One If Yes, indicate the % of the Schedule A and C Agreed Amount subcontracted to a DBE and/or Non-DBE I'm. Provide addition. | ECOMPLETE T Yes that is to be fi | No X | i (Trucking Firms Complete Both Columns): TRUCKING FI | ed with leased trucks: Yes No X Agreed Amount that will be expended for the | |
| Name of Prime PLEASE The above DBE work will be further subcontracted: Check One If Yes, indicate the % of the Schedule A and C Agreed Amount subcontracted to a DBE and/or Non-DBE I'm. Provide addition. | Yes that is to be fi | No X | (Trucking Firms Complete Both Columna): The above DBE work will be supplemente Check One If Yes, indicate the % of the Schedule A and C A lease of another DBE andor Non-DBE firm? | ed with leased trucks: Yes No X Agreed Amount that will be expended for the cks. Provide additional Schedule C(s) if | |
| Name of Prime PLEASE The above DBE work will be further subcontracted: Check One If Yes, indicate the % of the Schedule A and C Agreed Amount subcontracted to a DBE and/or Non-DBE frm. Provide addition subcontracted to a DBE. | Yes that is to be final Schedule C | No X | (Trucking Firms Complete Both Columna): The above DBE work will be supplemented the Schedule A and C A lease of another DBE and/or Non-DBE firm's trucleased from a DBE. | ed with leased trucks: Yes No X | |
| Name of Prime PLEASE The above DBE work will be further subcontracted: Check One If Yes, indicate the % of the Schedule A and C Agreed Amount subcontracted to a DBE and/or Non-DBE frm. Provide addition subcontracted to a DBE. 0 % of DBE's work will be further subcontracted to a noth- | Yes that is to be final Schedule C | No X | (Trucking Firms Complete Both Columns): TRUCKING FI The above DBE work will be supplemented to the Check One If Yes, indicate the % of the Schedule A and C A lease of another DBE and/or Non-DBE firm's tructeased from a DBE. | ed with leased trucks: Yes No X | |
| Name of Prime PLEASE The above DBE work will be further subcontracted: Check One If Yes, indicate the % of the Schedule A and C Agreed Amount subcontracted to a DBE and/or Non-DBE frm. Provide addition subcontracted to a DBE. 0 % of DBE's work will be further subcontracted to a noth- | Yes that is to be fi al Schedule Cer DBE. | No X | (Trucking Firms Complete Both Columns): TRUCKING FI The above DBE work will be supplement Check One If Yes, indicate the % of the Schedule A and C A lease of another DBE and/or Non-DBE firm's truc leased from a DBE. 0 % of DBE's work will be further subcontr. 0 % of DBE's work will be further subcontr. | ed with leased trucks: Yes No X spreed Amount that will be expended for the class. Provide additional Schedule C(s) if acted to another DBE. acted to another DBE. | |
| PLEASE The above DBE work will be further subcontracted: Check One If Yes, indicate the % of the Schedule A and C Agreed Amount subcontracted to a DBE and/or Non-DBE frm. Provide addition subcontracted to a DBE. % of DBE's work will be further subcontracted to anothen of the provide addition of the provide addition subcontracted to a DBE. % of DBE's work will be further subcontracted to a Non If No, enter "0%" on both lines below. | Yes that is to be fi al Schedule C er DBE. er DBE. | No X | (Trucking Firms Complete Both Columna): TRUCKING FI The above DBE work will be supplemented. The columns of the Schedule A and C A lease of another DBE and/or Non-DBE firm's tructlease of from a DBE. | ed with leased trucks: Yes No X Igneed Amount that will be expended for the cks. Provide additional Schedule C(s) if acted to another DBE. acted to another DBE. with leased trucks from another DBE. | |
| Name of Prime: PLEASE The above DBE work will be further subcontracted: Check One If Yes, indicate the % of the Schedule A and C Agreed Amount subcontracted to a DBE and/or Non-DBE frm. Provide addition subcontracted to a DBE. 0 % of DBE's work will be further subcontracted to a north of DBE's work will be further subcontracted to a Non If No, enter "O%" on both lines below. 0 % of DBE's work will be further subcontracted to anoth of DBE's work will be further subcontracted to a north of DBE's work will be further subcontracted to a Non If No, enter "O%" on DBE's work will be further subcontracted to a Non If William North of DBE's work will be further subcontracted to a Non If William North of DBE's work will be further subcontracted to a Non If William North of DBE's work will be further subcontracted to a Non If William North of DBE's work will be further subcontracted to a Non If William North of DBE's work will be further subcontracted to a Non If William North of DBE's work will be further subcontracted to a Non If William North of DBE's work will be further subcontracted to a Non If North of DBE's work will be further subcontracted to a Non If North of DBE's work will be further subcontracted to a Non If North of DBE's work will be further subcontracted to a Non If North of DBE's work will be further subcontracted to a Non If North of DBE's work will be further subcontracted to a Non If North of DBE's work will be further subcontracted to a Non If North of DBE's work will be further subcontracted to a Non If North of DBE's work will be further subcontracted to a Non If North of DBE's work will be further subcontracted to a Non If North of DBE's work will be further subcontracted to a Non If North of DBE's work will be further subcontracted to a Non If North of DBE's work will be further subcontracted to a Non If North of DBE's work will be further subcontracted to a Non If North of DBE's North o | Yes that is to be final Schedule Cer DBEDBEDBEDBE. | No X urther (s) if further | (Trucking Firms Complete Both Columna): TRUCKING FI The above DBE work will be supplemente Check One If Yes, indicate the % of the Schedule A and C A lease of another DBE and/or Non-DBE firm's true leased from a DBE: | ed with leased trucks: Yes No X spreed Amount that will be expended for the loss. Provide additional Schedule C(s) if sacted to another DBE. acted to another DBE. with leased trucks from another DBE. with leased trucks from a Non-DBE. | |
| Name of Prime: PLEASE The above DBE work will be further subcontracted: Check One If Yes, indicate the % of the Schedule A and C Agreed Amount subcontracted to a DBE and/or Non-DBE frm. Provide addition subcontracted to a DBE. 0 % of DBE's work will be further subcontracted to a north of DBE's work will be further subcontracted to a Non If No, enter "O%" on both lines below. 0 % of DBE's work will be further subcontracted to anoth of DBE's work will be further subcontracted to a Non If No, enter "O%" on both lines below. 0 % of DBE's work will be further subcontracted to a Non If No, enter "OBE's work will be further subcontracted to a Non If William III work will be further subcontracted to a Non If William III work will be further subcontracted to a Non If William III work will be further subcontracted to a Non If William III work will be further subcontracted to a Non III work will be further subcontracted to a Non III work will be further subcontracted to a Non III work will be further subcontracted to a Non III work will be further subcontracted to a Non III work will be further subcontracted to a Non III work will be further subcontracted to a Non III work will be further subcontracted to a Non III work will be further subcontracted to a Non III work will be further subcontracted to a Non III work will be further subcontracted to a Non II work will be further subcontracted to a Non II work will be further subcontracted to a Non II work will be further subcontracted to a Non II work will be further subcontracted to a Non II work will be further subcontracted to a Non II work will be further subcontracted to a Non II work will be further subcontracted to a Non II work will be further subcontracted to a Non II work will be further subcontracted to a Non II work will be further subcontracted to a Non II work will be further subcontracted to a Non II work will be further will will be further w | Yes that is to be final Schedule Cer DBEDBEDBEDBE. | No X urther (s) if further | (Trucking Firms Complete Both Columna): TRUCKING FI The above DBE work will be supplemente Check One If Yes, indicate the % of the Schedule A and C A lease of another DBE and/or Non-DBE firm's true leased from a DBE: | ed with leased trucks: Yes No X spreed Amount that will be expended for the class. Provide additional Schedule C(s) if a class another DBE. The control of the class of the | |
| Name of Prime: PLEASE The above DBE work will be further subcontracted: Check One If Yes, indicate the % of the Schedule A and C Agreed Amount subcontracted to a DBE and or Non-DBE firm. Provide addition subcontracted to a DBE. 0 % of DBE's work will be further subcontracted to anoth 0 % of DBE's work will be further subcontracted to a Non If No, enter '0%' on both lines below. 0 % of DBE's work will be further subcontracted to anoth 0 % of DBE's work will be further subcontracted to a Non further understand that any willful falsification, fraudulent statem applicable State and Federal Laws. | Yes that is to be final Schedule Complete To be all Schedule Complete Compl | No X urther (5) if further presentation will | (Trucking Firms Complete Both Columna): TRUCKING FI The above DBE work will be supplemente Check One If Yes, indicate the % of the Schedule A and C A lease of another DBE and/or Non-DBE firm's true leased from a DBE: | ed with leased trucks: Yes No X spreed Amount that will be expended for the loss. Provide additional Schedule C(s) if sacted to another DBE. acted to another DBE. with leased trucks from another DBE. with leased trucks from a Non-DBE. | |



SCHEDULE A

(COMMITMENT TO DBE SUBCONTRACTOR PARTICIPATION)

| | HEDULE A | | |
|--|--|--|-------------------------------------|
| BIDDER/PROPOSER/CONTRACTOR COM | MITMENTTODBESU | | |
| NAME OF BIDDER/PROPOSER OR | METRA IFB/R | STATE OF THE CONTRACT OF THE STATE OF THE ST | |
| CONTRACTOR: ABC Example Company, Inc. | NAME OF PR | THIS FORM along with Completed, Signe | ed Schedule C(s |
| NOTE: | RM along with Complete | BIDDER/PROPOSER/CONTRACTOR must lar amount of that work. at the time of Bid/Proposal submittal. | st indicate the s |
| | PROPOSER/CONTRACT nt of that work. ne of Bid/Proposal subm | | |
| NAME AND ADDRESS OF DEEPINM | | DBE \$COPE OF WORK (TO BE PERFORME | D FOR THIS PRO |
| 345 Company, Inc | OPE OF WORK (TO BE PEI MERICAN INDUSTRY CLAS | | |
| 1234 Railroad Rd. Chicago IL, 60661 | Highway, Street, & B | 237310-Highway, Street, & Bridge (| Construction |
| | | | |
| *If s For t total any lister lister lister and the perform the same or similar subcontractor work authorized under meet the established contract DBE goal. | total dollar limitation. vork under the allowan ained in the alternate. tained in the initial bid | | expects ny DBE y DBE n the |
| Bidder/Proposer/Contractor cannot substitute any DBE without prior approval of DBE listed and then perform the work with its own forces without prior approva | of the Director. Bidder/ of the Director. | Proposer/Contractor cannot terminate for convenience | any |
| I hereby certify that arrangements have been made for the foregoing work with the statement, or misrepresentation will result in appropriate sanctions, which may incl | | | udulent |
| John Johnson, President | (John 1) | June 30, | 2020 |
| Printed Name and Title of Bidder/Proposer/Contractor Authorized Signee | Signature of Bidder | Proposer/Contractor Authorized Signee D | ate |

SCHEDULE A

(COMMITMENT TO DBE SUBCONTRACTOR PARTICIPATION)

SCHEDULE A BIDDER/PROPOSER/CONTRACTOR COMMITMENT TO DBE SUB METRA IFB/RF NAME OF PROJOE AGREED AMOUNT AGREED AMOUNT \$ TBD FORM along with Completed, s 150,000.00)ER/PROPOSER/CONTRACTOR nount of that work. time of Bid/Proposal submitt E SCOPE OF WORK (TO BE PERFO RTH AMERICAN INDUSTRY CLASSIFI ineering Services - 541330 \$ 25% MITMENT \$150,000.00 nitial proposal, bid total, or grand osal, bid total, or grand mmitment is measured solely against the base pig, initial proposal, big total, or grand ent 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 alternate, Metra expects any DBE listed on the Schedule A to perform the same or similar subcontractor work contained in the alternate. If the award is a negotiated amount, Metra expects any DBE listed on the Schedule A to perform the same or similar subcontractor work contained in the initial bid or proposal. In addition, 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 goal. oposery contractor cannot seasifiete any obe intrinatiprior approvior and onector, broadly reposery contractor connect commet 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 willfu statement, or misrepresentation will result in appropriate sanctions, which may include debarment and/on prosecution under applicable State and F John Johnson, President Printed Name and Title of Bidder/Proposer/Contractor Authorized Signee Signature of Bidder/Proposer/Contractor Authorized Signee Page 12 of 16 Office of Diversity & Busine Exhibit 1-L

SCHEDULE C (CONFIRMATION OF DBE COMMITMENT)

SCHEDULE C

| CONFIRM | ATION C | F DBE COMMITMENT | |
|---|------------------------|--|--------|
| NAME OF BIDDER/PROPOSER OR | | METRA IFB/RFP/CONTRACT (TASK) NO.: IFB 12345 | |
| CONTRACTOR: ABC Example Company, Inc. | | NAME OF PROJECT: XYZ Project | |
| If the BIDDER/PROPOSER/CONTRACTOR is itself a DBE, the DBE is forces (independent of the work of any subcontractor) and the doll Any DBE listed on Schedule A and/or D must be certified by the IL. | BIDDER/PR ar amount | | |
| NAME OF DBE FIRM 345 Company, Inc | | | |
| | | | |
| ADDRESS OF DBE FIRM: | | 150,000.00 | - |
| hereby certifies that it is participating in the referenced Metra project in the Highway, Street, & Bridge Construction - 237310 | e agreed ar | mount of \$- | perfom |
| and as shown on Schedule A of ABC Example Company, Inc. Name of Prime Bidder/Proposer/ | Contractor | 's_bid/proposal/contract. | |
| PLEASE COMPLETE THE FI | OLLOWING | Trucking Firms Complete Both Columns): | |
| | | TRUCKING FIRMS ONLY | |
| The above DBE work will be further subcontracted: | | The above DBE work will be supplemented with leased trucks | |
| Charle Care | u X | Cheek One | Ma V |

| | | | TRUCKING FIRMS O | NLY | |
|---|--------|---|---|-----------------------|---------|
| The above DBE work will be further subcontracted: | | The above DBE work will be supplemented with leased trucks: | | | |
| Check One | Yes | No X | Check One | Yes | No X |
| If Yes, indicate the % of the Schedule A and C Agreed Amount subcontracted to a DBE and/or Non-DBE firm. Provide additional subcontracted to a DBE. | | | If Yes, indicate the % of the Schedule A and C Agreed lease of another DBE and/or Non-DBE firm's trucks. Pro leased from a DBE. | | |
| 0 % of DBE's work will be further subcontracted to anothe | r DBE. | | | o another DBE. | |
| % of DBE's work will be further subcontracted to a Non- | DBE. | | % of DBE's work will be further subcontracted to | o another DBE. | |
| If No, enter "0%" on both lines below. | | | If No, enter "0%" on both lines below. | | |
| | r DBE. | | % of DBE's work will be supplemented with lea | sed trucks from anoth | er DBE. |
| 0 % of DBE's work will be further subcontracted to a Non- | -DBE. | | | sed trucks from a Non | -DBE. |

Hurther 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.

July 16, 2020

July 16, 2020

Printed Name and Title of DBE Firm Authorized Signee

Signature of DBE Firm Authorized Signee

Date

Page 13 of 16 Exhibit 1-L Office of Diversity & Business Enterprise

SCHEDULE C CONFIRMATION OF DBE COMMITMENT

NAME OF BIDDER/PROPOSER OR

CONTRACTOR: ABC Company, Inc.

NAME OF PROJECT: XYZ Project

NAME OF PROJECT: XYZ Project

NAME OF PROJECT: XYZ Project

Bidder/Proposer/Contractor 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 567, Inc.

1234 Roadway Rd. Chicago, IL 60661

ADDRESS OF DBE FIRM.

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

| Summer of Prime Bidder/Proceser/Contractor | Summer of Prime Bidder/Bid

| | | | TRUCKING FIRMS (| ONLY |
|---|---------------------|------|---|------------------------------------|
| The above DBE work will be further subcontract | | | | th leased trucks: |
| Check One | Yes | No X | Check One | Yes No X |
| If Yes, indicate the % of the Schedule A and C Agreed A subcontracted to a DBE and/or Non-DBE firm. Provide a subcontracted to a DBE. | additional Schedule | | If Yes, indicate the % of the Schedule A and C Agreed lease of another DBE and/or Non-DBE firm's trucks. P leased from a DBE. | rovide additional Schedule C(s) if |
| 0 % of DBE's work will be further subcontracted to | | | | |
| 0 % of DBE's work will be further subcontracted to a Non-DBE. | | | | to another DBE. |
| | | | | |
| If No, enter "0%" on both lines below. | | | If No, enter "0%" on both lines below. | |
| If No, enter "0%" on both lines below. 0 % of DBE's work will be further subcontracted to | another DBE. | | () % of DBE's work will be supplemented with le | ased trucks from another 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

Jane Doc

July 16, 2020

Printed Name and Title of DBE Firm Authorized Signee

Signature of DBE Firm Authorized Signee

Date

Page 13 of 16 Exhibit 1-L Office of Diversity & Business Enterprise



SCHEDULE C

(CONFIRMATION OF DBE COMMITMENT)

| 2210.11.000 | TION OF DBE COMMITMENT |
|--|--|
| IAME OF DBE FIRM 345 Company, Inc | С |
| 1234 Railroad Rd. | Chicago, IL 60661 |
| ADDRESS OF DBE FIRM: | 150,000,00 |
| ereby certifies that it is participating in the refere Highway, Street, & Bridge Construction | enced Metra project in the agreed amount of \$ - 237310 |
| ereby certifies that it is participating in the referenced Metra project in the as Highway, Street, & Bridge Construction - 237310 | greed amount of \$ performing |
| F07 In- | |
| NAME OF DBE FIRM 567, Inc. | |
| 1234 Roadway | Rd. Chicago, IL 60661 |
| ADDRESS OF DBE FIRM: | |
| The state of the s | TRD |
| | eferenced Metra project in the agreed amount of \$ |
| hereby certifies that it is participating in the re | |
| hereby certifies that it is participating in the re | |
| hereby certifies that it is participating in the re Engineering Services - 541330 | eferenced Metra project in the agreed amount of \$ |
| hereby certifies that it is participating in the re Engineering Services - 541330 O % of DBE's work will be further subcontracted to another DBE. O % of DBE's work will be further subcontracted to a Non-DBE. No, enter "0%" on both lines below. | eferenced Metra project in the agreed amount of \$ |
| hereby certifies that it is participating in the re Engineering Services - 541330 O % of DBE's work will be further subcontracted to another DBE. O % of DBE's work will be further subcontracted to a Non-DBE. No, enter "0%" on both lines below. O % of DBE's work will be further subcontracted to another DBE. | % of DBE's work will be further subcontracted to another DBE % of DBE's work will be further subcontracted to another DBE f No, enter "0%" on both lines below % of DBE's work will be supplemented with leased trucks from another DBE. |
| hereby certifies that it is participating in the re Engineering Services - 541330 O % of DBE's work will be further subcontracted to another DBE. O % of DBE's work will be further subcontracted to a Non-DBE. No, enter "0%" on both lines below. | eferenced Metra project in the agreed amount of \$ |
| hereby certifies that it is participating in the re Engineering Services - 541330 O % of DBE's work will be further subcontracted to another DBE. O % of DBE's work will be further subcontracted to a Non-DBE. No, enter "0%" on both lines below. O % of DBE's work will be further subcontracted to another DBE. O % of DBE's work will be further subcontracted to a Non-DBE. | % of DBE's work will be further subcontracted to another DBE % of DBE's work will be further subcontracted to another DBE f No, enter "0%" on both lines below % of DBE's work will be supplemented with leased trucks from another DBE. |



Printed Name and Title of DBE Firm Authorized Signee

Signature of DBE Firm Authorized Signee

Date

SCHEDULE C

(CONFIRMATION OF DBE COMMITMENT)

SCHEDULE C CONFIRMATION OF DBE COMMITMENT

| NAME OF BIDDER/PROPOSER OR CONTRACTOR: ABC Company, In | | PLEASE | COMPLETE 1 | THE FOLLOWING | |
|---|--------------------------------|---|----------------------|----------------------|--|
| NOTE: | | | | | |
| Bidder/Proposer/Contractor Must If the BIDDER/PROPOSER/CONT | The above DBE work will | be further subcontracted: | | | |
| forces (independent of the work of Any DBE listed on Schedule A and | Che | eck One | Yes | No X | |
| NAME OF DBE FIRM 567, Inc. 1234 Road ADDRESS OF DBE FIRM: hereby certifies that it is participating in the | subcontracted to a DBE and/o | schedule A and C Agreed Amount or Non-DBE firm. <i>Provide additiona</i> | | | |
| Engineering Services - 541330 | | | | | |
| and as shown on Schedule A of ABC | % of DBE's work will | be further subcontracted to a Non- | DBE. | | |
| | If No, enter "0%" on both line | s below. | | | |
| | % of DBE's work will | be further subcontracted to anothe | r DBE. | | |
| The above DBE work will be further su Check One | | be further subcontracted to a Non- | DBE. | | |
| If Yes, indicate the % of the Schedule A and subcontracted to a DBE and/or Non-DBE firm subcontracted to a DBE. | | lease of another DBE and/or Non-DBE firm's truc leased from a DBE. | ks. Provide additio | nal Schedule C(s) if | |
| % of DBE's work will be further subc | ontracted to another DBE. | | acted to another DE | BE. | |
| % of DBE's work will be further subo | ontracted to a Non-DBE. | | acted to another DE | BE. | |
| If No, enter "0%" on both lines below. | | If No, enter "0%" on both lines below. | | | |
| | ontracted to another DBE. | () % of DBE's work will be supplemented w | ith leased trucks fr | om another DBE. | |
| | ontracted to a Non-DBE. | % of DBE's work will be supplemented w | ith leased trucks fr | om 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. July 16, 2020

Page 13 of 16

Exhibit 1-L

Jane Doe, President

Signature of DBE Firm Authorized Signee

Date

SCHEDULE D (COMMITMENT TO DBE JOINT VENTURE)

SCHEDULE D

COMMITMENT TO DBE JOINT VENTURE

| NAME OF BIDDER PROPOSER OR | METRA IFB/RFP/CONTRACT (TASK) NO.: |
|----------------------------|------------------------------------|
| CONTRACTOR | NAME OF PROJECT: |
| NOTE: | |

NOIE

- A signed Joint Venture Agreement, Metra's DBE Joint Venture Application and signed Schedules D and C must be submitted at the time of Bid/Proposal submittal. The DBE Joint Venture Application can be obtained from the Procurement Agent listed on the solicitation document.
- A Schedule D must be submitted for each DBE firm performing as a participant in a joint venture and must be signed by the Bidder/Proposer and the DBE firm's authorized
- Any DBE listed on Schedule D must be certified by the IL UCP at the time of Bid/Proposal submittal.
- When a DBE performs as a participant in a joint venture, Metra 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 the DBE goal.

| NAME AND ADDRESS OF DBE FIRM | DBE SCOPE OF WORK (TO BE PERFORMED FOR THIS PROJECT) * AND NORTH AMERICAN INDUSTRY CLASSIFICATION SYSTEM (NAICS) CODE | AGREED AMOUNT |
|------------------------------|---|---------------|
| | | \$ |
| | | |
| | TOTAL DRE COMMITMENT | \$ |

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 DBÉ listed on the Schedule A to perform the same or similar subcontractor work under the allowance. If the award includes an alternate, Metra expects any DBE listed on the Schedule A to perform the same or similar subcontractor work contained in the alternate. If the award is a negotiated amount, Metra expects any DBE listed on the Schedule A to perform the same or similar subcontractor work contained in the initial bid or proposal. In addition, 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 goal.

Bidder/Proposer/Contractor cannot substitute any DBE without prior approval of Metra's Office of Diversity & Business Enterprise. Bidder/Proposer/Contractor cannot terminate for convenience any DBE listed and then perform the work with its own forces without prior approval of Metra's Office of Diversity & Business Enterprise.

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 debarment and/or prosecution under applicable State and Federal Laws.

| Signature of Non-DBE Joint Venture Authorized Signee | Date |
|--|--|
| | |
| Signature of DRE Joint Venture Authorized Signee | Date |
| | Signature of Non-DBE Joint Venture Authorized Signee Signature of DBE Joint Venture Authorized Signee |

Office of Diversity & Business Enterprise June 2024

Page 15 of 17 Exhibit 1-L



SCHEDULE D (COMMITMENT TO DBE JOINT VENTURE)

SCHEDULE D

COMMITMENT TO DBE JOINT VENTURE

| | GOWINI TWENT TO BE CONT. VENTONE |
|----------------------------|------------------------------------|
| NAME OF BIDDER PROPOSER OR | METRA IFB/RFP/CONTRACT (TASK) NO.: |
| CONTRACTOR | NAME OF PROJECT: |
| NOTE: | |

- A signed Joint Venture Agreement, Metra's DBE Joint Venture Application and signed Schedules D and C must be submitted at the time of Bid/Proposal submittal. The DBE Joint Venture Application can be obtained from the Procurement Agent listed on the solicitation document.
- A Schedule D must be submitted for each DBE firm performing as a participant in a joint venture and must be signed by the Bidder/Proposer and the DBE firm's authorized

| | DBE SCOPE OF WORK (TO BE PERFORMED FOR THIS PROJECT) * AND NORTH AMERICAN INDUSTRY CLASSIFICATION SYSTEM (NAICS) CODE | AGREED AMOUNT |
|--|---|---------------|
| | | \$ |
| | | |
| | TOTAL DBE COMMITMENT | \$ |

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 alternate, Metra expects any DBE listed on the Schedule A to perform the same or similar subcontractor work contained in the alternate. If the award is a negotiated amount, Metra expects any DBE listed on the Schedule A to perform the same or similar subcontractor work contained in the initial bid or proposal. In addition, 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 goal.

Bidder/Proposer/Contractor cannot substitute any DBE without prior approval of Metra's Office of Diversity & Business Enterprise. Bidder/Proposer/Contractor cannot terminate for convenience any DBE listed and then perform the work with its own forces without prior approval of Metra's Office of Diversity & Business Enterprise.

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 debarment and/or prosecution under applicable State and Federal Laws.

| Printed Name and Title of Non-DBE Joint Venture Authorized Signee | Signature of Non-DBE Joint Venture Authorized Signee | Date |
|---|--|------|
| 3 | - - | |
| Printed Name and Title of DBE Joint Venture Authorized Signee | Signature of DBE Joint Venture Authorized Signee | Date |

Page 15 of 17 Exhibit 1-L Office of Diversity & Business Enterprise June 2024



SCHEDULE D (COMMITMENT TO DBE JOINT VENTURE)

| COMMI | TMENT TO DBE JOINT VENTURE | |
|---|---|---------------------------------|
| NAME OF BIDDER PROPOSER OR | METRA IFB/RFP/CONTRACT (TASK) NO.: | |
| CONTRACTOR | NAME OF PROJECT | |
| NOTE: | | |
| Joint Venture Application can be obtained from the Procurement A Schedule D must be submitted for each DBE firm performing as signee. Any DBE listed on Schedule D must be certified by the IL UCP at | s a participant in a joint venture and must be signed by the Bidder/Propose the time of Bid/Proposal submittal. ounts a portion of the total dollar value of the contract equal to the distinct | r and the DBE firm's authorized |
| NAME AND ADDRESS OF DBE FIRM | DBE SCOPE OF WORK (TO BE PERFORMED FOR THIS PROJECT) * AND NORTH AMERICAN INDUSTRY CLASSIFICATION SYSTEM (NAICS) CODE | AGREED AMOUNT |
| | | \$ |
| | TOTAL DBE COMMITMENT | \$ |

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 debarment and/or prosecution under applicable State and Federal Laws.

| Printed Name and Title of Non-DBE Joint Venture Authorized Signee | Signature of Non-DBE Joint Venture Authorized Signee | Date |
|---|--|------|
| | • | |
| | | |
| Printed Name and Title of DBE Joint Venture Authorized Signee | Signature of DBE Joint Venture Authorized Signee | Date |

| Printed Name and Title of Non-DBE | Soint Venture Authorized Signee | Signature of Non-DBE Joint | t Venture Authorized Signee | Date |
|-------------------------------------|---------------------------------|------------------------------|---|--------------|
| Printed Name and Title of DBE Joint | Venture Authorized Signee | Signature of DBE Joint Vent | ture Authorized Signee | Date |
| | | Page 15 of 17 Exhibit 1-L | Office of Diversity & Business Enterpri | se June 2024 |



DBE Regular Dealer/Distributor Affirmation Form

NEW FORM



(DBE REGULAR DEALER/DISTRIBUTOR AFFIRMATION FORM)

Printed Name of DBE Owner or Authorized Agent

Any shortfall caused by errors in counting are the responsibility of the Bidder

BIDDER ACKNOWLEDGEMENT

Printed Name of Bidder's Authorized Agent

Schedule C-1

DBE Regular Dealer/Distributor Affirmation Form (Supplier)

49 C.R.F. § 26.53(c)(1) requires recipients to make a preliminary counting determination for each DBE listed as a regular dealer or distributor to assess its eligibility for 60 or 40 percent credit, respectively, of the cost of materials and supplies based on its demonstrated capacity and intent to perform as a regular dealer or distributor, as defined in 49 C.F.R. § 26.55(e)(2)(iv)(A),(B),(C), and (3) under the contract at issue. The regulation requires the recipient's preliminary determination to be made based on the DBE's written responses to relevant questions and its affirmation that its subsequent performance of a commercially useful function will be consistent with the preliminary counting of such participation. The form may be used by each DBE supplier whose participation is submitted by a bidder for regular dealer or distributor credit on a federally-assisted contract

| with a DBE participation goal. | | |
|---|--|--|
| DBE NAME: | BIDDER NAME: | |
| | | |
| AUTHORIZED DBE NAME AND TITLE: | METRA SOLICITATION NUMBER: | |
| | | |
| TOTAL SUBCONTRACT/PURCHASE ORDER DOLLAR AMOUNT: | NAICS Code(s) Related to the Items to be Sold/Leased: | |
| | | |
| 1. Will $\underline{\mathbf{all}}$ items sold or leased be provided from the on-hand inventory at your establishm | ent? | s 🔲 No |
| If Yes, you have indicated that your performance will satisfy the regular dealer requirements and may be counted at 60%. Stop here. Read and sign the DBE affirmation below. | If No, proceed to Question 1(a). | |
| a. Are you selling bulk items (e.g., petroleum products, steel, concrete or concrete produ (a/k/a specialty items)? | cts, gravel, stone, asphalt) or items not typically stocked due Ye | |
| If Yes, proceed to Question 2. | If No, proceed to Question 1(b). | |
| 1 11111 41 4 510/ 64 3 | . 1 | 65 . 115 . 16 . 11 |
| b. Will at least 51% of the items you are selling be provided from the inventory mainted other sources be of the general character as those provided from your inventory? | amed at your establishment and will the minor quantities o | |
| | | |
| If Yes, you have indicated that your performance will satisfy the regular dealer requirements and may be counted at 60%. Stop here. Read and sign the DBE | If No, your performance on the whole will not satisfy requirements: therefore, only the value of items to b | |
| affirmation below. | inventory can be counted at 60%. Proceed to Questi items delivered from and by other sources are eligib | on 3 to determine if the |
| | nems denvered from and by other sources are engin | le for distributor credit. |
| Will you deliver all bulk or specialty items using distribution equipment you own (or ur | der a long-term lease) and operate? | s No |
| If Yes, you have indicated that your performance will satisfy the requirements | If No, your performance will not satisfy the requirem | |
| for a regular dealer of bulk items and may be counted at 60%. Stop here. Read and sign the DBE affirmation below. | bulk items; the value of items to be sold or leased can Proceed to Ouestion 3. | not be counted at 60%. |
| | • | |
| 3. Will the written terms of your purchase order or bill of lading from a third-party transfe (e.g., a manufacture's facility)? | r responsibility, including risk for loss or damage, to your o | |
| (e.g., a manufacture's facility): | <u> </u> | S 110 |
| a. Will you be using sources $\underline{\text{other than}}$ the manufacturer (or other seller) to deliver or | arrange delivery of the items sold or leased? | es 🔲 No |
| If Yes to both Question 3 and Question 3(a), you have indicated that your performance will statisfy the requirements of a distributor; therefore, the value of items sold or leased may be counted at 40%. Read and sign the DBE affirmation below. | If No to either Question 3 or Question 3(a), counting limited to the reasonable cost of fees or commissions transportation charges for the delivery of materials materials or supplies may not be counted. Read and affirmation below. | charged, including or supplies; the cost of |
| I affirm that the information that I provided above is true and correct and that my company's subsequen affirm that my company will independently negotiate price, order specified quantities, and pay for the i such items in terms of necessary repairs, exchanges, or processing of any warranty claims for damaged. | tems listed in the Bidder's commitment. This includes my company | |
| and a company repairs, enchanges, or processing or any warding country to uningen- | mod Mildy. | |
| Printed Name of DBE Owner or Authorized Agent | Signature of DBE Owner or Authorized Agent | Date |
| BIDDER ACKNOWLEDGEMENT | | |
| The Bidder acknowledges its responsibility for verifying the information provided by the | DBE named above and ensuring that the counting of the D | BE's participation is accurate. |
| Any shortfull caused by errors in counting are the remonsibility of the Ridder | | |

| Printed Name of Bidder's Authorized Agent | Signature of Bidder's Authorized Agent | Date | |
|---|--|------|--|

SCHEDULE S-3

DBE REGULAR DEALER/DISTRIBUTOR AFFIRMATION FORM (SUPPLIER)

49 C.R.F. § 26.53(c)(1) requires recipients to make a preliminary counting determination for each DBE listed as a regular dealer or distributor to assess its eligibility for 60 or 40 percent credit, respectively, of the cost of materials and supplies based on its demonstrated capacity and intent to perform as a regular dealer or distributor, as defined in 49 C.F.R. § 26.55(e)(2)(iv)(A), (B),(C), and (3) under the contract at issue. The regulation requires the recipient's preliminary determination to be made based on the DBE's written

| BIDDER NAME: |
|---|
| DIDDER NAME. |
| METRA SOLICITATION NUMBER: |
| |
| NAICS Code(s) Related to the Items to be Sold/Leased: |
| ent? Yes No |
| mt? □ Yes □ No |
| If No, proceed to Question 1(a). |
| acts, gravel, stone, asphalt) or items not typically stocked due to their unique characterist $\ \square$ Yes $\ \square$ No |
| If No, proceed to Question 1(b). |
| If No, your performance on the whole will not satisfy the regular dealer requirements: therefore, only the value of items to be sold or leased from inventory can be counted at 60%. Proceed to Question 3 to determine if the items delivered from and by other sources are eligible for distributor credit. |
| der a long-term lease) and operate? $\hfill 	ext{\square Yes} 	hfill 	ext{\square No}$ |
| If No, your performance will not satisfy the requirements for a regular dealer bulk items; the value of items to be sold or leased cannot be counted at 60%. |
| Proceed to Question 3. |
| |
| er responsibility, including risk for loss or damage, to your company at the point of orig |
| er responsibility, including risk for loss or damage, to your company at the point of orig |
| |

The Bidder acknowledges its responsibility for verifying the information provided by the DBE named above and ensuring that the counting of the DBE's participation is accurate.

Signature of DBE Owner or Authorized Agent

Signature of Bidder's Authorized Agent

(DBE REGULAR DEALER/DISTRIBUTOR AFFIRMATION FORM)

| DBE NAME: | | BIDDER NAME: | | |
|------------------------------|---|---|------------------------------------|--|
| AUTHORIZED DBE NAME AND TITL | E: | METRA SOLICITATION | ION NUMBER: | |
| TOTAL SUBCONTRACT/PURCHASE | ORDER DOLLAR AMOUNT: | NAICS Code(s) Related | ed to the Items to be Sold/Leased: | |
| | | | | |
| | a. Are you selling bulk items ($e.g.$, petroleum products, steel, concrete or concrete products, gravel, stone, asp (a/k /a specialty items)? | phalt) or items not typically stocked due to their unique characteristics \square Yes \square No | | |
| | If Yes, proceed to Question 2. If No, proceed to | to Question 1(b). | 1 | |
| | b. Will at least 51% of the items you are selling be provided from the inventory maintained at your establis other sources be of the general character as those provided from your inventory? | ishment and will the minor quantities of items delivered from and by $\ \ \ \ \ \ \ \ \ \ \ \ \ $ | | |
| | affirmation below. inventory can be | formance on the whole will not satisfy the regular dealer therefore, only the value of items to be sold or leased from be counted at 690%. Proceed to Question 15 to determine if the I from and by other sources are eligible for distributor credit. | | |
| | 2. Will you deliver all bulk or specialty items using distribution equipment you own (or under a long-term lease | se) and operate? | | |
| | | ormance will not satisfy the requirements for a regular dealer of calue of items to be sold or leased cannot be counted at 60%. | | |
| | Will the written terms of your purchase order or bill of lading from a third-party transfer responsibility, include, g., a manufacture's facility? | huding risk for loss or damage, to your company at the point of origin Yes No | | |
| | a. Will you be using sources other than the manufacturer (or other seller) to deliver or arrange delivery of the | the items sold or leased? | | |
| | performance will satisfy the requirements of a distributor; therefore, the value limited to the re- of items sold or leased may be counted at 40%. Read and sign the DBE transportation c | Question 3 or Question 3(a), counting of your participation is easonable cost of fees or commissions charged, including charges for the delivery of materials or supplies; the cost of pplies may not be counted. Read and sign the DBE low. | | |
| | I affirm that the information that I provided above is true and correct and that my company's subsequent performance of a com- affirm that my company will independently negotiate price, order specified quantities, and pay for the items listed in the Bidde such items in terms of necessary repairs, exchanges, or processing of any warranty claims for damaged or defective materials. | unercially useful function will be consistent with the above responses. I further er's commutament. This includes my company's responsibility for the quality of | | |
| | Printed Name of DBE Owner or Authorized Agent Signature of DB | BE Owner or Authorized Agent Date | | |
| | BIDDER ACKNOWLEDGEMENT The Bidder acknowledges its responsibility for verifying the information provided by the DBE named above as | and ensuring that the counting of the DBE's participation is accurate. | | |

Signature of Bidder's Authorized Agent

Any shortfall caused by errors in counting are the responsibility of the Bidder.

Printed Name of Bidder's Authorized Agent



(DBE REGULAR DEALER/DISTRIBUTOR AFFIRMATION FORM)

| Will <u>all</u> items sold or leased be provided from | the on-hand inventory at your establishmen | t? | | ☐ Yes | □ No |
|--|--|---|--|---|---|
| If Yes, you have indicated that your perfo dealer requirements and may be counted the DBE affirmation below. | | If No, proceed to 0 | Question 1(a). | | |
| a. Are you selling bulk items (e.g., petroleum (a/k/a specialty items)? | products, steel, concrete or concrete product | ts, gravel, stone, asph | alt) or items not typically | y stocked due to th | eir unique characteristics |
| If Yes, proceed to Question 2. | | If No, proceed to | Question 1(b). | | |
| Will at least 51% of the items you are selli- other sources be of the general character as | | ect at your establish | iem and win the million (| ☐ Yes | □ No |
| | rformance will satisfy the regular dealer 0%. Stop here. Read and sign the DBE | requirements: th inventory can be | rmance on the whole werefore, only the value counted at 60%. Processon and by other source | of items to be sol eed to Question 3 | d or leased from to determine if the |
| | Washington and Company to the Company of the Compan | | | | |
| | performance will satisfy the requirements of a distributor; therefore, the value of items sold or leased may be counted at 40%. Read and sign the DBE affirmation below. | | charged, including r supplies; the cost of ign the DBE | | |
| | such items in terms of necessary repairs, exchanges, or processing of any warranty claims for damaged or defect | ive materials. | | | Met |
| | Printed Name of DBE Owner or Authorized Agent Sig | mature of DBE Owner or Authorized Agent | Date | | |

The Bidder acknowledges its responsibility for verifying the information provided by the DBE named above and ensuring that the counting of the DBE's participation is accurate

Signature of Bidder's Authorized Agent

Any shortfall caused by errors in counting are the responsibility of the Bidder.

Printed Name of Bidder's Authorized Agent

(DBE REGULAR DEALER/DISTRIBUTOR AFFIRMATION FORM)

| 2. Will you deliver all bulk or specialt | ty items using distribution equipment you own (or | under a long-term lease) and operate? | ☐ Yes | □ No |
|--|--|--|-----------------------|--|
| | your performance will satisfy the requirements and may be counted at 60%. Stop here. Readelow. | | | |
| 3. Will the written terms of your purel | hase order or bill of lading from a third-party tran | asfer responsibility, including risk for loss or dama | nage, to your company | at the point of origin |
| (e.g., a manufacture's facility)? | and order or our or many near party and | are responses, menual grant for response and | | □ No |
| a. Will you be using sources other | than the manufacturer (or other seller) to deliver | or arrange delivery of the items sold or leased? | ☐ Yes | □ No |
| | b. Will at least 51% of the items you are selling be provided from the inventory maintained at you other sources be of the general character as those provided from your inventory? | r establishment and will the minor quantities of items delivered from and by | | |
| | requirements and may be counted at 60%. Stop here. Read and sign the DBE affirmation below. | our performance on the whole will not satisfy the regular dealer ments: therefore, only the value of items to be sold or leased from ry can be counted at 60%. Proceed to Question 3 to determine if the elivered from and by other sources are eligible for distributor credit. | | |
| | 2. Will you deliver all bulk or specialty items using distribution equipment you own (or under a long- | <u> </u> | | |
| | for a regular dealer of bulk items and may be counted at 60%. Stop here. Read bulk item | ur performance will not satisfy the requirements for a regular dealer of 1s; the value of items to be sold or leased cannot be counted at 60%. to Question 3. | | |
| | Will the written terms of your purchase order or bill of lading from a third-party transfer responsibi (e.g., a manufacture's facility)? | lity, including risk for loss or damage, to your company at the point of origin | | |
| | a. Will you be using sources other than the manufacturer (or other seller) to deliver or arrange deli | very of the items sold or leased? | | |
| | performance will satisfy the requirements of a distributor; therefore, the value of items sold or leased may be counted at 40%. Read and sign the DBE affirmation below. | either Question 3 or Question 3(a), counting of your participation is to the reasonable cost of fees or commissions charged, including rtation charges for the delivery of materials or supplies; the cost of to or supplies may not be counted. Read and sign the DBE tion below. | | The state of the s |
| | I affirm that the information that I provided above is true and correct and that my company's subsequent performance affirm that my company will independently negotiate price, order specified quantities, and pay for the items listed in such items in terms of necessary repairs, exchanges, or processing of any warranty claims for damaged or defective n | the Bidder's commitment. This includes my company's responsibility for the quality of | | EST 1984 |
| | Printed Name of DRE Owner or Authorized Agent | ure of DDE Owner or Authorized Agent Date | | |

Signature of Bidder's Authorized Agent

The Bidder acknowledges its responsibility for verifying the information provided by the DBE named above and ensuring that the counting of the DBE's participation is accurate.

BIDDER ACKNOWLEDGEMENT

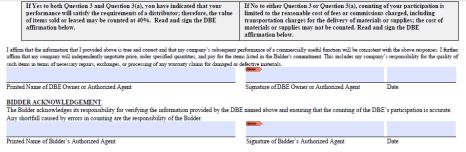
Printed Name of Bidder's Authorized Agent

Any shortfall caused by errors in counting are the responsibility of the Bidder.



(DBE REGULAR DEALER/DISTRIBUTOR AFFIRMATION FORM)

| If Yes to both Question 3 and Question 3(a), you have indicated that your performance will satisfy the requirements of a distributor; therefore, the value of items sold or leased may be counted at 40%. Read and sign the DBE affirmation below. | If No to either Question 3 or Question 3(a), counting of your participation is limited to the reasonable cost of fees or commissions charged, including transportation charges for the delivery of materials or supplies; the cost of materials or supplies; the cost of materials or supplies; the cost of materials or supplies may not be counted. Read and sign the DBE affirmation below. | | | | | | |
|--|--|--|--|--|--|--|--|
| I affirm that the information that I provided above is true and correct and that my company's subsequent performance of a commercially useful function will be consistent with the above responses. I further affirm that my company will independently negotiate price, order specified quantities, and pay for the items listed in the Bidder's commitment. This includes my company's responsibility for the quality of such items in terms of necessary repairs, exchanges, or processing of any warranty claims for damaged or defective materials. | | | | | | | |
| Printed Name of DBE Owner or Authorized Agent | Signature of DBE Owner or Authorized Agent Date | | | | | | |
| BIDDER ACKNOWLEDGEMENT The Bidder acknowledges its responsibility for verifying the information provided by the DBE named above and ensuring that the counting of the DBE's participation is accurate. Any shortfall caused by errors in counting are the responsibility of the Bidder. | | | | | | | |
| Printed Name of Bidder's Authorized Agent | Signature of Bidder's Authorized Agent Date | | | | | | |





SBE Responsiveness Requirements



SCHEDULES S-1 & S-2

(COMMITMENT AND CONFIRMATION OF SBE SUBCONTRACTOR PARTICIPATION)

SCHEDULE S-1 BIDDER CONFIRMATION OF SBE PARTICIPATION METRA IFB NO.: NAME OF PROJECT: NAME OF BIDDER: ADDRESS OF FIRM: PLEASE SELECT DBE OR SBE HOST AGENCY: Metra Chicago Transit Authority (CTA) Pace City of Chicago II Department of Transportation (IDOT) 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 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 it will perform with its own forces, the NAICS code and the dollar amount of that work (contract amount). o Bidders must be certified or verified in the scope of work listed to be performed for this project. DBE/SBE SCOPE OF WORK (TO BE PERFORMED FOR THIS PROJECT) and NORTH AMERICAN INDUSTRY CLASSIFICATION SYSTEM (NAICS) CODE 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.) Yes 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 a DBE or Non-DBE. 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

Office of Diversity & Business Enterprise May 2020

SCHEDULE S-2

| SBE/DBE PARTICIPATION | ON SUBCONTRACT CONFIRMATION |
|--|---|
| | METRA IFB/RFP NO.: |
| NAME OF PROJECT: | |
| NOTE: | |
| BIDDERS WHO ARE CERTIFIED AS A DBE OR VERIFIED AS A SBE WI IDOT, CTA, PACE AND CITY OF CHICAGO, MUST SUBMIT THIS FORM F INDICATED ON SCHEDULE S-1. | ITH ONE OF THE ILLINOIS UNIFIED CERTIFICATION PROGRAM (IL UCP) MEMBERS; METR. FROM EACH FIRM THAT WORK WILL BE FURTHER SUBCONTRACTED TO ON THIS PROJECT A |
| DBE or SBE firms listed on Schedule S-2 must be DBE certifie submittal. | ed or SBE verified with one of the IL UCP members indicated above at the time of bid |
| o DBE or SBE firms must indicate on this form the scope of work it | t 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: | |
| ereby certifies that it is participating in the referenced Metra project in the ag | greed amount of \$ |
| performing | |
| and as shown on Schedule S-1 of | 's bid. |
| Name of Prime Bidder | |
| further understand that any willful falsification, fraudulent statement, or misre prosecution under applicable State and Federal Laws. | representation will result in appropriate sanctions, which may include debarment and/or |
| | |
| | |
| Printed Name and Title of DBE/SBE Firm Authorized Signee | Signature of DBE/SBE Firm Authorized Signee Date |
| | Page 3 of 3 Office of Diversity & Business Enterprise_May 2020 Exhibit 1-L |



SCHEDULE S-1

(COMMITMENT TO SBE SUBCONTRACTOR PARTICIPATION)

SCHEDULE S-1

| | | IDDER CONFIRMATION OF SBE | PARTICIPATION | | |
|---|---------------|---|----------------------------|---------------------|--|
| | | | | METRA IFB NO |).: |
| NAME OF PROJECT: | | | | | |
| NAME OF BIDDER: | | | | | |
| ADDRESS OF FIRM: | | | | | |
| PLEASE SELECT DBE OR SBE HOST AG | ENCY: | etra Chicago Transit Authority (CTA) | Pace City of C | hicago 🔲 IL Departi | ment of Transportation (IDOT) |
| NOTE: | | | | | |
| Only firms who are certified as a DBI submittal will be considered. | E or verified | a SBE with one of the Illinois Unified C | ertification Program (IL U | CP) members indicat | ed above at the time of bid |
| Bidders must indicate on this f | orm the sco | rm along with proof of DBE certification or of work it will perform with its own forces, the pe of work listed to be performed for this p | ne NAICS code and the dol | | |
| DBE/SBE SCOPE OF WORK (TO BE PERFORM | ED FOR THIS | OJECT) and NORTH AMERICAN INDUSTRY C | LASSIFICATION SYSTEM (NA | ICS) CODE | CONTRACT AMOUNT |
| | | ASE COMPLETE THE FOLLOWING: | | | ¢ |
| bove work will be further subcontracted: (If Ye | s, Please C | olete Schedule S-2 For Each Firm Work W | ill——— | CONTRA | CT AMOUNT |
| Check One | Yes | lo | /ING: | 001111111 | 01711100111 |
| , indicate the % of the Contract Amount that is to be fu | irther subcon | ted to a SBE, DBE and/or Non-DBE firm. |) Firm Work Will | | |
| % of DBE/SBE's work will be further subcontracted to | another SBE | | n-DBE firm. | | |
| % of DBE/SBE's work will be further subcontracted to | a DBE or No | BE. | | | |
| 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 No | BE. | tractor(s) indicated ab | | stand that any willful under applicable State and |
| reuerai Laws. | | | | , | |
| | | | | | |
| Printed Name and Title of Bidder Authorized Si | gnee | Signature of Bidder Au | uthorized Signee | Date | |



SCHEDULE S-2

(CONFIRMATION OF SBE SUBCONTRACTOR PARTICIPATION)

SCHEDULE S-2

SBE/DBE PARTICIPATION SUBCONTRACT CONFIRMATION

| | METRA IFB/RFP NO.: | | | | | | |
|-----------------|--|----------------|---------------------------------|------------------------|------------------------------|-------------------|-----------------|
| NAME OF | F PROJECT: | | | | | | |
| IOTE: | | | | | | | |
| ID | BIDDERS WHO ARE CERTIFIED : DOT, CTA, PACE AND CITY OF (NDICATED ON SCHEDULE S-1. | | | | | | |
| | DBE or SBE firms listed submittal. | on Schedule \$ | 3-2 must be DBE certified or SE | BE verified with one | e of the IL UCP members indi | cated above at th | e time of bid |
| IAME (| hereby certifies that it is | participating | g in the referenced Metra | project in the ag | greed amount of \$ | | |
| IAME | performing | | | | | | |
| DDRE | and as shown on Sched | ule S-1 of _ | | | | <u>'s</u> bid. | |
| erform nd as | | | Name of Prime Bidd | er | | | |
| further ur | understand that any willful falsifi | cation, fraudu | lent statement, or misrepreser | ntation will result in | appropriate sanctions, which | ch may include d | ebarment and/or |
| | | | | | | | |
| Prin | | | | | | | |
| Pri | rinted Name and Title of (| OBE/SBE Fi | rm Authorized Signee | | Signature of DBE/SBE | Firm Authoriz | zed Signee |



HELPFUL REMINDERS

All Schedules must be properly completed and signed

DBE Regular
Dealer/Distributor
Affirmation Form must be signed by the DBE firm and the Bidder

DBE work to be further subcontracted must be indicated on Schedules

Committed amount on Schedules A & C indicated as a dollar amount or percentage of work to be performed by the DBE firm or as TBD for LIQ/RFP solicitations

Commitment to meet the required DBE goal must be included in Letter of Interest for LIQ Solicitations

Firms certified as MBE/WBE do not count towards the required DBE goal, Metra only counts the utilization of a firm certified as DBE

Provide Proof of SBE verification from host agency for SBE solicitations

DBE scope of work & NAICS code(s) must match IL UCP Directory



QUESTIONS?



Type your questions in the Q&A dialogue box



Thank you!

Please contact the DBE Compliance Team if you need further information.

Amy Fischer <u>afischer@metrarr.com</u>
Ayanna Walker <u>awalker@metrarr.com</u>
Jonna Tate <u>jtate@metrarr.com</u>

