

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

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Presented By:

Amy Fischer - DBE Compliance Specialist II

Ayanna Walker - DBE Compliance Specialist II

Jonna Tate - DBE Compliance Specialist I



# AGENDA

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**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



Find Next Departure

Maps & Schedules

Service Alerts

Contact Us

## 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:

[HTTPS://METRA.BONFIREHUB.COM/PORTAL/?TAB=LOGIN](https://metra.bonfirehub.com/portal/?tab=login)

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](mailto: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 to:

<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


## Procurement Portal Metra

Department:

Log in

[Open Public Opportunities](#)

[Past Public Opportunities](#)

 Log in with your Bonfire Account

Email

Password

Log in

[Forgot your password?](#)

 New Vendor Registration

[Create your free Bonfire account »](#)

**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:

**Open Public Opportunities** [Past Public Opportunities](#)

Status ▲	Ref. #	Project	Department	Close Date	Days Left	Action
OPEN	IFB 153259	Mimecast Renewal	Professional Services	Aug 22nd 2024, 2:00 PM CDT	< 1	<a href="#">View Opportunity</a>
OPEN	IFB No. 144000-A	Metra Electric Van Buren Station Protective Overhead Canopy	Construction & Facilities Maintenance	Aug 27th 2024, 2:00 PM CDT	6	<a href="#">View Opportunity</a>
OPEN	IFB 151455	Private Bus Charter Services	Professional Services	Aug 28th 2024, 2:00 PM CDT	7	<a href="#">View Opportunity</a>
OPEN	IFB No. 149815	Signal Houses and Cases	Purchasing	Aug 28th 2024, 2:00 PM CDT	7	<a href="#">View Opportunity</a>
OPEN	IFB 146348A	Nickel-Cadmium Batteries for Commuter Coaches	Purchasing	Aug 28th 2024, 2:00 PM CDT	7	<a href="#">View Opportunity</a>
OPEN	IFB No. 144533B	Platform Hardware	Purchasing	Sep 4th 2024, 2:00 PM CDT	14	<a href="#">View Opportunity</a>
OPEN	IFB No. 152372	Cable Trough	Construction & Facilities Maintenance	Sep 4th 2024, 2:00 PM CDT	14	<a href="#">View Opportunity</a>
OPEN	RFP No. 145192	Union Workforce Software Solution	Professional Services	Sep 4th 2024, 4:00 PM CDT	14	<a href="#">View Opportunity</a>
OPEN	IFB No. 150813	Dump Trucks and Hauling Services	Construction & Facilities Maintenance	Sep 5th 2024, 2:00 PM CDT	15	<a href="#">View Opportunity</a>
OPEN	IFB No. 145600	Cash Fare Tickets	Purchasing	Sep 6th 2024, 2:00 PM CDT	16	<a href="#">View Opportunity</a>



# LOCATING CERTIFIED DBE FIRMS



[Office of Diversity & Business Enterprise](#)

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[SBE Program](#) >

[DBE Program](#) >

[Contract Compliance FAQs](#)

[On-Site Visit FAQs](#)

[Personal Net Worth FAQs](#)

[Prevailing Wage](#)

[Requirements FAQ](#)

[Outreach Calendar](#)

2

[DBE Certification](#)

[DBE FAQs](#)

[Contact DBE](#)

[Seal Usage](#)

[Affidavits/Forms](#)

[DBE Directory](#)

[DBE Objective/Policy](#)

[Statement](#)

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Illinois Department of Transportation  
Omer Osman, Acting Secretary

### Contractor Search

Enter the Search criteria in the fields below and click Search.  
If more than one field has criteria entered or a Category checkbox is selected, the results will contain only records meeting ALL the criteria and selecting the Category of Architecture/Engineering, will display all Companies in the Architecture/Engineering category with a Specialization. If no Category is selected, the results will contain only companies who will perform the desired work in any of the selected districts.

Search

Company Name

Specialty

NAICS Code

Category  Airport Concessionaire  Architecture/Engineering

Select district(s) where the work will be performed  District 1  District 2



# 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. METRA IFB/RFP/CONTRACT (TASK) NO.: IFB 12345  
 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 IL, 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 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 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/or prosecution under applicable State and Federal Laws.  
John Johnson, President June 30, 2020  
 Printed Name and Title of Bidder/Proposer/Contractor Authorized Signee Signature of Bidder/Proposer/Contractor Authorized Signee Date

### SCHEDULE C

#### CONFIRMATION OF DBE COMMITMENT

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

**NOTE:**

- 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: 345 Company, Inc.  
 ADDRESS OF DBE FIRM: 1234 Railroad Rd. Chicago, IL 60661  
 hereby certifies 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. 's bid/proposal/contract.  
 Name of Prime Bidder/Proposer/Contractor

PLEASE COMPLETE THE FOLLOWING (Trucking Firms Complete Both Columns):			
		TRUCKING FIRMS ONLY	
The above DBE work will be further subcontracted:	Check One	The above DBE work will be supplemented with leased trucks:	Check One
	Yes No <input checked="" type="checkbox"/>		Yes No <input checked="" type="checkbox"/>
<u>0</u> % of DBE's work will be further subcontracted to another DBE.		<u>0</u> % of DBE's work will be further subcontracted to another DBE.	
<u>0</u> % of DBE's work will be further subcontracted to a Non-DBE.		<u>0</u> % of DBE's work will be further subcontracted to another DBE.	
If No, enter "0%" on both lines below.		If No, enter "0%" on both lines below.	
<u>0</u> % of DBE's work will be further subcontracted to another DBE.		<u>0</u> % of DBE's work will be supplemented with leased trucks from another DBE.	
<u>0</u> % of DBE's work will be further subcontracted to a Non-DBE.		<u>0</u> % of DBE's work will be supplemented with leased trucks from 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.

Jane Doe, President July 16, 2020  
 Printed Name and Title of DBE Firm Authorized Signee Signature of DBE Firm Authorized Signee Date





# SCHEDULE A

## (COMMITMENT TO DBE SUBCONTRACTOR PARTICIPATION)

SCHEDULE A BIDDER/PROPOSER/CONTRACTOR COMMITMENT TO DBE SUBCONTRACTOR PARTICIPATION	
<p><b>NAME OF BIDDER/PROPOSER OR CONTRACTOR:</b> ABC Example Company, Inc.</p> <p><b>NOTE:</b></p>	<p><b>METRA IFB/RFI NUMBER:</b> _____</p> <p><b>NAME OF PROJECT:</b> _____</p>
<p style="text-align: center;"><b>NAME AND ADDRESS OF DBE FIRM</b></p> <p>345 Company, Inc 1234 Railroad Rd. Chicago IL, 60661</p>	<p><b>THIS FORM along with Completed, Signed Schedule C(s) must indicate the dollar amount of that work at the time of Bid/Proposal submittal.</b></p> <p><b>DBE SCOPE OF WORK (TO BE PERFORMED FOR THIS PROJECT) NORTH AMERICAN INDUSTRY CLASSIFICATION SYSTEM (NAICS)</b></p> <p>237310-Highway, Street, &amp; Bridge Construction</p>
<p><small>*If space is not sufficient provide detail on attachment</small></p>	<p><small>THIS FORM along with Completed, Signed Schedule C(s) must indicate the dollar amount of that work at the time of Bid/Proposal submittal.</small></p> <p><small>DBE SCOPE OF WORK (TO BE PERFORMED FOR THIS PROJECT) NORTH AMERICAN INDUSTRY CLASSIFICATION SYSTEM (NAICS)</small></p>
<p><small>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.</small></p>	

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.

John Johnson, President

*John Johnson*

June 30, 2020

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

Signature of Bidder/Proposer/Contractor Authorized Signee

Date



# SCHEDULE A

## (COMMITMENT TO DBE SUBCONTRACTOR PARTICIPATION)

**SCHEDULE A**  
BIDDER/PROPOSER/CONTRACTOR COMMITMENT TO DBE SUBCONTRACTOR PARTICIPATION

AGREED AMOUNT	METRA IFB/RFP NUMBER AND NAME OF PROJECT	DBE COMMITMENT	AGREED AMOUNT	
\$ 150,000.00	FORM along with Completed, SIGNED BY BIDDER/PROPOSER/CONTRACTOR and amount of that work. Due at the time of Bid/Proposal submission.  DBE SCOPE OF WORK (TO BE PERFORMED) NORTH AMERICAN INDUSTRY CLASSIFICATION Engineering Services - 541330		\$ TBD	
\$			\$	
\$				\$
\$				\$
\$ 150,000.00			<b>COMMITMENT</b>	<b>\$ 25%</b>
<b>Initial proposal, bid total, or grand total of contract. Metra expects</b>			<b>Initial proposal, bid total, or grand total of contract. Metra expects</b>	

Commitment is measured solely against the base bid, initial proposal, bid total, or grand 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 the Director. Bidder/Proposer/Contractor cannot terminate 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 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
Signature of Bidder/Proposer/Contractor Authorized Signee

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Office of Diversity & Business Development

Exhibit 1-L



# SCHEDULE C

## (CONFIRMATION OF DBE COMMITMENT)

### SCHEDULE C CONFIRMATION OF DBE COMMITMENT

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

- NOTE:**
- 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: 345 Company, Inc  
 ADDRESS OF DBE FIRM: 1234 Railroad Rd. Chicago, IL 60661  
 hereby certifies 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. 's bid/proposal/contract.  
 Name of Prime Bidder/Proposer/Contractor

PLEASE COMPLETE THE FOLLOWING (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:
Check One	Yes	No <input checked="" type="checkbox"/>
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(s) 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.	

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 July 16, 2020

Printed Name and Title of DBE Firm Authorized Signee

*Jane Doe*  
Signature of DBE Firm Authorized Signee

Date

### 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:**
- 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.  
 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 \$ TBD performing  
Engineering Services - 541330

and as shown on Schedule A of ABC Company, Inc. 's bid/proposal/contract.  
 Name of Prime Bidder/Proposer/Contractor

PLEASE COMPLETE THE FOLLOWING (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:
Check One	Yes	No <input checked="" type="checkbox"/>
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(s) 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.	

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 July 16, 2020

Printed Name and Title of DBE Firm Authorized Signee

*Jane Doe*  
Signature of DBE Firm Authorized Signee

Date



# SCHEDULE C

## (CONFIRMATION OF DBE COMMITMENT)

SCHEDULE C  
CONFIRMATION OF DBE COMMITMENT

NAME OF DBE FIRM 345 Company, Inc

ADDRESS OF DBE FIRM: 1234 Railroad Rd. Chicago, IL 60661

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

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

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 \$ TBD  
Engineering Services - 541330

<u>0</u> % of DBE's work will be further subcontracted to another DBE.	<u>0</u> % of DBE's work will be further subcontracted to another DBE.
<u>0</u> % of DBE's work will be further subcontracted to a Non-DBE.	<u>0</u> % of DBE's work will be further subcontracted to another DBE.
If No, enter "0%" on both lines below.	If No, enter "0%" on both lines below.
<u>0</u> % of DBE's work will be further subcontracted to another DBE.	<u>0</u> % of DBE's work will be supplemented with leased trucks from another DBE.
<u>0</u> % of DBE's work will be further subcontracted to a Non-DBE.	<u>0</u> % of DBE's work will be supplemented with leased trucks from a Non-DBE.

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

Jane Doe, President July 16, 2020

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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: <u>ABC Company, Inc.</u>  <b>NOTE:</b> <ul style="list-style-type: none"> <li>• Bidder/Proposer/Contractor Must</li> <li>• If the BIDDER/PROPOSER/CONTRACTOR is a DBE, the work must be performed by the DBE (independent of the work of any other DBE)</li> <li>• Any DBE listed on Schedule A and C</li> </ul> NAME OF DBE FIRM: <u>567, Inc.</u> ADDRESS OF DBE FIRM: <u>1234 Road</u>  hereby certifies that it is participating in the project as a <u>DBE</u> in the <u>Engineering Services - 541330</u> NAICS code.  and as shown on Schedule A of <u>ABC Company, Inc.</u>	<b>PLEASE COMPLETE THE FOLLOWING</b>  <b>The above DBE work will be further subcontracted:</b> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 60%; text-align: center;">Check One</td> <td style="width: 20%; text-align: center;">Yes</td> <td style="width: 20%; text-align: center;">No <input checked="" type="checkbox"/></td> </tr> </table> 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(s) if further subcontracted to a DBE. <u>0</u> % of DBE's work will be further subcontracted to another DBE. <u>0</u> % of DBE's work will be further subcontracted to a Non-DBE.  If No, enter "0%" on both lines below. <u>0</u> % of DBE's work will be further subcontracted to another DBE. <u>0</u> % of DBE's work will be further subcontracted to a Non-DBE.	Check One	Yes	No <input checked="" type="checkbox"/>
Check One	Yes	No <input checked="" type="checkbox"/>		

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		July 16, 2020
Printed Name and Title of DBE Firm Authorized Signee	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 CONTRACTOR: \_\_\_\_\_ METRA IFB/RFP/CONTRACT (TASK) NO.: \_\_\_\_\_  
 \_\_\_\_\_ 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 signee.
- 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
		\$
<b>TOTAL DBE COMMITMENT</b>		<b>\$</b>

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

<b>Printed Name and Title</b> of Non-DBE Joint Venture Authorized Signee	<b>Signature</b> of Non-DBE Joint Venture Authorized Signee	<b>Date</b>
<b>Printed Name and Title</b> of DBE Joint Venture Authorized Signee	<b>Signature</b> of DBE Joint Venture Authorized Signee	<b>Date</b>



# SCHEDULE D

## (COMMITMENT TO DBE JOINT VENTURE)

### SCHEDULE D

#### COMMITMENT TO DBE JOINT VENTURE

NAME OF BIDDER PROPOSER OR CONTRACTOR: \_\_\_\_\_ METRA IFB/RFP/CONTRACT (TASK) NO.: \_\_\_\_\_  
 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

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
		\$
<b>TOTAL DBE COMMITMENT</b>		<b>\$</b>

*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.

<b>Printed Name and Title</b> of Non-DBE Joint Venture Authorized Signee	<b>Signature</b> of Non-DBE Joint Venture Authorized Signee	<b>Date</b>
<b>Printed Name and Title</b> of DBE Joint Venture Authorized Signee	<b>Signature</b> of DBE Joint Venture Authorized Signee	<b>Date</b>



# SCHEDULE D

## (COMMITMENT TO DBE JOINT VENTURE)

**SCHEDULE D**  
**COMMITMENT TO DBE JOINT VENTURE**

NAME OF BIDDER PROPOSER OR CONTRACTOR \_\_\_\_\_ METRA IFB/RFP/CONTRACT (TASK) NO.: \_\_\_\_\_  
 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 signee.
- 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
		\$
<b>TOTAL DBE COMMITMENT</b>		\$

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 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**





# DBE Regular Dealer/Distributor Affirmation Form

**NEW FORM**



# SCHEDULE C-1 & SCHEDULE S-3

## (DBE REGULAR DEALER/DISTRIBUTOR AFFIRMATION FORM)

### Schedule C-1 DBE Regular Dealer/Distributor Affirmation Form (Supplier)

49 C.F.R. § 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 **all** items sold or leased be provided from the on-hand inventory at your establishment?  Yes  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 products, gravel, stone, asphalt) or items not typically stocked due to their unique characteristics (a/k/a specialty items)?  Yes  No

**If Yes, proceed to Question 2.**

**If No, proceed to Question 1(b).**

b. Will at least 51% of the items you are selling be provided from the inventory maintained at your establishment and will the minor quantities of items delivered from and by other sources be of the general character as those provided from your inventory?  Yes  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, 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.**

2. Will you deliver all bulk or specialty items using distribution equipment you own (or under a long-term lease) and operate?  Yes  No

**If Yes, you have indicated that your performance will satisfy the requirements for a regular dealer of bulk items and may be counted at 60%. Stop here. Read and sign the DBE affirmation below.**

**If No, your performance will not satisfy the requirements for a regular dealer of bulk items; the value of items to be sold or leased cannot be counted at 60%. Proceed to Question 3.**

3. Will the written terms of your purchase order or bill of lading from a third-party transfer responsibility, including risk for loss or damage, to your company at the point of origin (e.g., a manufacturer's facility)?  Yes  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

**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 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 \_\_\_\_\_

### SCHEDULE S-3

#### DBE REGULAR DEALER/DISTRIBUTOR AFFIRMATION FORM (SUPPLIER)

49 C.F.R. § 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 **all** items sold or leased be provided from the on-hand inventory at your establishment?  Yes  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 products, gravel, stone, asphalt) or items not typically stocked due to their unique characteristics (a/k/a specialty items)?  Yes  No

**If Yes, proceed to Question 2.**

**If No, proceed to Question 1(b).**

b. Will at least 51% of the items you are selling be provided from the inventory maintained at your establishment and will the minor quantities of items delivered from and by other sources be of the general character as those provided from your inventory?  Yes  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, 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.**

2. Will you deliver all bulk or specialty items using distribution equipment you own (or under a long-term lease) and operate?  Yes  No

**If Yes, you have indicated that your performance will satisfy the requirements for a regular dealer of bulk items and may be counted at 60%. Stop here. Read and sign the DBE affirmation below.**

**If No, your performance will not satisfy the requirements for a regular dealer of bulk items; the value of items to be sold or leased cannot be counted at 60%. Proceed to Question 3.**

3. Will the written terms of your purchase order or bill of lading from a third-party transfer responsibility, including risk for loss or damage, to your company at the point of origin (e.g., a manufacturer's facility)?  Yes  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

**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 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 \_\_\_\_\_



# SCHEDULE C-1 & SCHEDULE S-3

## (DBE REGULAR DEALER/DISTRIBUTOR AFFIRMATION FORM)

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:

a. Are you selling bulk items (e.g., petroleum products, steel, concrete or concrete products, gravel, stone, asphalt) or items not typically stocked due to their unique characteristics (a.k.a specialty items)?  Yes  No

If Yes, proceed to Question 2. If No, proceed to Question 1(b).

b. Will at least 51% of the items you are selling be provided from the inventory maintained at your establishment and will the minor quantities of items delivered from and by other sources be of the general character as those provided from your inventory?  Yes  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, 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.
------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

2. Will you deliver all bulk or specialty items using distribution equipment you own (or under a long-term lease) and operate?  Yes  No

If Yes, you have indicated that your performance will satisfy the requirements for a regular dealer of bulk items and may be counted at 60%. Stop here. Read and sign the DBE affirmation below.	If No, your performance will not satisfy the requirements for a regular dealer of bulk items; the value of items to be sold or leased cannot be counted at 60%. Proceed to Question 3.
--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

3. Will the written terms of your purchase order or bill of lading from a third-party transfer responsibility, including risk for loss or damage, to your company at the point of origin (e.g., a manufacturer's facility)?  Yes  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

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 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 <span style="float: right;">Date</span>

**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 <span style="float: right;">Date</span>



# SCHEDULE C-1 & SCHEDULE S-3

## (DBE REGULAR DEALER/DISTRIBUTOR AFFIRMATION FORM)

1. Will all items sold or leased be provided from the on-hand inventory at your establishment?  Yes  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 products, gravel, stone, asphalt) or items not typically stocked due to their unique characteristics (a/k/a specialty items)?  Yes  No

**If Yes, proceed to Question 2.**

**If No, proceed to Question 1(b).**

b. Will at least 51% of the items you are selling be provided from the inventory maintained at your establishment and will the minor quantities of items delivered from and by other sources be of the general character as those provided from your inventory?  Yes  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, 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.**

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 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



# SCHEDULE C-1 & SCHEDULE S-3

## (DBE REGULAR DEALER/DISTRIBUTOR AFFIRMATION FORM)

2. Will you deliver all bulk or specialty items using distribution equipment you own (or under a long-term lease) and operate?  Yes  No

**If Yes, you have indicated that your performance will satisfy the requirements for a regular dealer of bulk items and may be counted at 60%. Stop here. Read and sign the DBE affirmation below.**

**If No, your performance will not satisfy the requirements for a regular dealer of bulk items; the value of items to be sold or leased cannot be counted at 60%. Proceed to Question 3.**

3. Will the written terms of your purchase order or bill of lading from a third-party transfer responsibility, including risk for loss or damage, to your company at the point of origin (e.g., a manufacture's facility)?  Yes  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 your establishment and will the minor quantities of items delivered from and by other sources be of the general character as those provided from your inventory?  Yes  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, 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.**

2. Will you deliver all bulk or specialty items using distribution equipment you own (or under a long-term lease) and operate?  Yes  No

**If Yes, you have indicated that your performance will satisfy the requirements for a regular dealer of bulk items and may be counted at 60%. Stop here. Read and sign the DBE affirmation below.**

**If No, your performance will not satisfy the requirements for a regular dealer of bulk items; the value of items to be sold or leased cannot be counted at 60%. Proceed to Question 3.**

3. Will the written terms of your purchase order or bill of lading from a third-party transfer responsibility, including risk for loss or damage, to your company at the point of origin (e.g., a manufacture's facility)?  Yes  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

**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 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



# SCHEDULE C-1 & SCHEDULE S-3

## (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 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

**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 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



**\*Small Business Enterprise**

# 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  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 submittal 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 it will perform with its 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.

DBE/SBE SCOPE OF WORK (TO BE PERFORMED FOR THIS PROJECT) and NORTH AMERICAN INDUSTRY CLASSIFICATION SYSTEM (NAICS) CODE	CONTRACT AMOUNT
	\$

PLEASE COMPLETE THE FOLLOWING:		
<b>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)</b>		
<b>Check One</b>	<b>Yes</b>	<b>No</b>
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.		
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

### SCHEDULE S-2 SBE/DBE PARTICIPATION SUBCONTRACT CONFIRMATION

METRA IFB/RFP NO.: \_\_\_\_\_

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.
  - 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.
  - 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





# SCHEDULE S-1

## (COMMITMENT TO 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  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 submittal 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 it will perform with its 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.

DBE/SBE SCOPE OF WORK (TO BE PERFORMED FOR THIS PROJECT) and NORTH AMERICAN INDUSTRY CLASSIFICATION SYSTEM (NAICS) CODE	CONTRACT AMOUNT			
<b>PLEASE COMPLETE THE FOLLOWING:</b>				
<b>The above work will be further subcontracted: (If Yes, Please Complete Schedule S-2 For Each Firm Work Will</b>				
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 30%;">Check One</th> <th style="width: 10%;">Yes</th> <th style="width: 10%;">No</th> </tr> </table>	Check One	Yes	No	<b>CONTRACT AMOUNT</b>
Check One	Yes	No		
<b>If Yes, indicate the % of the Contract Amount that is to be further subcontracted to a SBE, DBE and/or Non-DBE firm.</b>	\$ _____			
_____ % 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.				
<b>If No, enter "0%" on both lines below.</b>				
_____ % 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.				

\_\_\_\_\_  
 Printed Name and Title of Bidder Authorized Signee      Signature of Bidder Authorized Signee      Date



# SCHEDULE S-2

## (CONFIRMATION OF SBE SUBCONTRACTOR PARTICIPATION)

### SCHEDULE S-2

#### SBE/DBE PARTICIPATION SUBCONTRACT CONFIRMATION

METRA IFB/RFP NO.: \_\_\_\_\_

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.
  - 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.

NAME ( ) hereby certifies that it is participating in the referenced Metra project in the agreed amount of \$ \_\_\_\_\_

NAME ( ) performing \_\_\_\_\_

ADDRESS ( ) \_\_\_\_\_

hereby and as shown on Schedule S-1 of \_\_\_\_\_ 's bid.

perform \_\_\_\_\_

and as \_\_\_\_\_

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 \_\_\_\_\_



# HELPFUL REMINDERS

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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?

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Type your  
questions in  
the Q&A  
dialogue box



# Thank you!

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

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