

PUBLIC BUILDING COMMISSION OF CHICAGO



AGREEMENT

CONTRACT NUMBER PS1494

WITH

GEOSYNTEC CONSULTANTS

TO PROVIDE

FORENSIC ANALYSIS

FOR

SOUTH SHORE REPLACEMENT HIGH SCHOOL

VICINITY OF 75TH & JEFFERY

CHICAGO, ILLINOIS

Project Number: 05130

Mayor Richard M. Daley

Chairman

Erin Lavin Cabonargi

Executive Director

Richard J. Daley Center, Room 200

50 West Washington Street

Chicago, Illinois 60602

www.pbcchicago.com

**FORENSIC ANALYSIS SERVICES
SOUTH SHORE REPLACEMENT HIGH SCHOOL – PS1494
PROJECT NUMBER: 05130**

This agreement, effective as of the 23RD day of January ("Agreement"), by and between the **Public Building Commission of Chicago**, a municipal corporation of the State of Illinois, having its principal office at Room 200, Richard J. Daley Center, 66 West Washington Street, Chicago, Illinois 60602 ("**Commission**"), and **Geosyntec Consultants** a Corporation, with offices at 134 North LaSalle Street, Suite 300, Chicago, Illinois 60602 ("**Consultant**").

WITNESSETH:

WHEREAS, the Commission requires certain professional services, described on Schedule A to this Agreement (the "Services"), and desires to contract with Consultant, on the terms and conditions set forth in this Agreement, to perform such Services; and

WHEREAS, the Consultant desires to contract with the Commission and has represented to the Commission that the Consultant has the knowledge, skill, experience and other resources necessary to perform the Services; and

WHEREAS, the Consultant has reviewed this Agreement and taken such other actions as the Consultant has deemed necessary or advisable to familiarize itself with the scope and requirements of the Services;

NOW, THEREFORE, for valuable consideration, the Commission and the Consultant agree as follows:

1. Incorporation of Recitals. The matters recited above are hereby incorporated in and made a part of this Agreement.

2. Definitions. The terms set forth below have the meaning indicated with respect to this Agreement:

- a. **Agreement** means this professional services Agreement, including all exhibits or documents attached hereto and/or incorporated by reference herein; and all amendments, modifications, or revisions made in accordance with the terms hereof.
- b. **Commission** means the Public Building Commission, and includes the Commission's Chairman, Secretary, Assistant Secretary, Executive Director, Director of Construction, Managing Architect, Project Manager, or designated consultant or consultants, acting on behalf thereof, as designated by the Commission in writing, for the purpose of giving authorizations, instructions, and/or approval pursuant to this Agreement.

- c. **Consultant** means the company or other entity identified in this Agreement, and such successors or assigns, if any, as may be authorized by the terms and conditions of this Agreement.
- d. **Key Personnel** means those job titles and persons as identified in those positions as identified in Schedule A of the Agreement or in the Consultant's proposal and accepted by the Commission.
- e. **Services** means collectively, the actions, deliverables, duties and responsibilities that are required by the Commission under this Agreement. The required Services are described in Schedule A of this Agreement.
- f. **Sub-consultant** means a firm hired by the Consultant to perform certain of the Services required by this Agreement.
- g. **Technical Personnel** as herein referred to include partners, officers and all other personnel of the Consultant, exclusive of general office employees.

3. Incorporation of Documents. The documents identified below in this paragraph are hereby incorporated in and made a part of this Agreement. By executing this Agreement, Consultant acknowledges and agrees that Consultant is familiar with the contents of each of such documents and will comply fully with all applicable portions thereof in performing the Services.

Policies Concerning MBE and WBE: the Commission's policies concerning utilization of minority business enterprises ("MBE") and women business enterprises ("WBE"), as the same may be revised from time to time.

4. Standard of Performance. Consultant represents and agrees that the Services performed under this Agreement will proceed with efficiency, promptness and diligence and will be executed in a competent and thorough manner, in accordance with reasonable professional standards of similarly situated professionals providing services of similar scope and magnitude to the Services required by this Agreement. Consultant further agrees that it will assign to the Services at all times during the term of this Agreement the number of experienced, appropriately trained employees necessary for the Consultant to perform the Services in the manner required hereunder.

5. Duties and Obligations of Consultant.

a. Nondiscrimination. The Consultant agrees that in performing the Services it shall not discriminate against any worker, employee or applicant for employment, or any member of the public, because of race, creed, gender, color, national origin or disability, or otherwise commit an unfair labor practice. Attention is called to applicable provisions of the Civil Rights Act of 1964, 88-352, July 2, 1964, 78 Stat. 241 et. Seq. the Americans with Disabilities Act of 1990, 42 U.S.C. 12010 et. Seq. the Illinois Human Rights Act 775 ILCS 5/1-101 et. Seq. and the Public Works Employment Discrimination Act 775 ILCS 10/0.01 through 10/20, inclusive and a Resolution passed by the Board of Commissioners of the Public Building Commission of Chicago on February 11, 1992, concerning participation of Minority Business Enterprises and Women Business Enterprises on contracts awarded by the Commission. The

Consultant will furnish such reports and information as requested by the Commission and the Illinois Department of Human Relations or any other administrative or governmental entity overseeing the enforcement, administration or compliance with the above referenced laws and regulations.

b. Employment Procedures, Preferences and Compliances. Salaries of employees of Consultant performing work under this Agreement shall be paid unconditionally and not less often than once a month without deduction or rebate on any account except only such payroll deductions as are mandatory or permitted by the applicable law or regulations. The Consultant shall comply with all applicable "Anti-Kickback" laws and regulations, including the "Anti-Kickback" Act of June 13, 1934 (48 Stat. 948; 62 Stat. 740; 63 Stat. 108; 18 U.S.C. § 874; 40 U.S.C. § 276c) and the Illinois Criminal Code of 1961 720 ILCS 5/33E-1 et. seq. If, in the performance of this Agreement, there is any direct or indirect kickback, the Commission shall withhold from the Consultant, out of payments due to it, an amount sufficient to pay employees underpaid the difference between the salaries required hereby to be paid and the salaries actually paid such employees for the total number of hours worked. The amounts withheld shall be disbursed by the Commission for and on account of the Consultant to the respective employees to whom they are due.

c. Compliance with Policies Concerning MBE and WBE. Without limiting the generality of the requirements of the policies of the Commission referred to in paragraph 2 above, the Consultant agrees to use its best efforts to utilize minority business enterprises for not less than twenty five percent (25%) for MBE and five percent (5%) for WBE of the total amount paid to Consultant for the performance of the Services, in accordance with the Resolution passed by the Board of Commissioners of the Commission on February 11, 1992, concerning participation of minority business enterprises and women business enterprises on contracts awarded by the Commission. Consultant will furnish to the Commission such reports and other information concerning compliance with such Resolution as may be requested by the Commission from time to time.

d. Delays. Consultant agrees that no charges for damages or claims for damages shall be asserted by it against the Commission for any delays or hindrances from any cause whatsoever during the progress of any portion of the Services. Such delays or hindrances, if any, shall be compensated for by an extension of time to complete the Services, for such reasonable period as may be mutually agreed upon between the parties, it being understood, however, that the agreement of the Commission to allow the Consultant to complete the Services or any part of them after the time provided for the completion thereof herein shall in no way operate as a waiver on the part of the Commission of any of its rights hereunder.

e. Records. The Consultant shall maintain accurate and complete records of expenditures, costs and time incurred by Consultant in connection with the Project and the Services. Such records shall be maintained in accordance with recognized commercial accounting practices. The Commission may examine such records at Consultant's offices upon reasonable notice during normal business hours. Consultant shall retain all such records for a period of not less than five calendar years after the termination or expiration of this agreement.

f. Time of Essence. The Consultant acknowledges and agrees that time is of the essence in the performance of this Agreement and that timely completion of the Services is vital to the work of the Commission. Consultant agrees to use all reasonable efforts to expedite performance of the Services and performance of all other obligations of the Consultant under this Agreement.

g. Compliance with Laws. In performing its engagement under this Agreement, the Consultant shall comply with all applicable federal, state and local laws.

h. Progress Meetings. Meetings to review the performance of the Consultant may be scheduled upon the Commission's request, at mutually agreeable times and locations, and the Consultant agrees to cause such meetings to be attended by appropriate personnel of the Consultant engaged in performing or knowledgeable of the Services.

i. Changes (Amendments). The Commission may, from time to time, request changes to the terms of the Agreement or in the Scope of Services of the Consultant to be performed hereunder. Such changes, including any increase or decrease in the amount of compensation and revisions to the duration of the Services, which are mutually agreed upon by and between the Commission and Consultant, shall be incorporated in a written amendment to this Agreement. The Commission shall not be liable for any changes absent such written amendment.

6. Term.

a. The term of this Agreement shall begin on the effective date set forth above and, subject to the provisions of subparagraph (b) below, shall expire upon completion of the Services and acceptance thereof by the Commission. If the Services are of an ongoing nature, on the Completion Date shall be specified in such Schedule A. The Commission and the Consultant may, from time to time, by mutual agreement, extend the term of this Agreement by amending Schedule A hereto.

b. The Commission shall have the right, at any time, to terminate the term of this Agreement, with or without cause, by written notice given to the Consultant at least thirty (30) days prior to the effective date of termination. In addition, the Commission shall have the right, at any time and from time to time, with or without cause, to suspend the performance of the Consultant hereunder with respect to all or any part of the Services, by written notice given to the Consultant at least five (5) days prior to the effective date of suspension. Termination or suspension of this Agreement shall not relieve the Consultant from liability for the performance of any obligation of the Consultant under this Agreement performed or to have been performed by the Consultant on or before the effective date of termination or suspension. Provided the Consultant is not in default under this Agreement at the time of termination or suspension, the Commission agrees to pay to the Consultant, in accordance with the terms of this Agreement, all compensation and reimbursements due to the Consultant for periods up to the effective date of termination or suspension. In no event shall the Commission be liable to the Consultant for any loss, cost or damage which the Consultant or any other party may sustain by reason of the Commission terminating or suspending this Agreement as provided herein; provided, however, that the Commission may, in its sole discretion, reimburse the Consultant for actual expenses approved by the Commission.

7. Compensation of Consultant; Reimbursement for Expenses. The Commission shall compensate the Consultant for the Services in the manner set forth on Schedule C to this Agreement. In addition, the Commission shall, upon submission by the Consultant, which the Consultant may do no more frequently than once every 30 days, and approval by the Commission of detailed invoices therefor, reimburse the Consultant for all Reimbursable Expenses. "Reimbursable Expenses" means those expenses identified as such on Schedule C to this agreement.

8. Rights and Obligations of Commission. In connection with the administration of the Services by the Commission and the performance of the Services by the Consultant, the Commission shall have the following rights and obligations, in addition to those provided elsewhere in this agreement:

a. Information. The Commission shall provide the Consultant all reasonably requested information concerning the Commission's requirements for the Services.

b. Review of Documents. The Commission agrees to make a reasonable effort to examine documents submitted by the Consultant and render decisions pertaining thereto with reasonable promptness.

c. Designated Representatives. The Commission may designate, at its sole discretion, one or more representatives authorized to act in its behalf.

c. Ownership of Documents. All documents, data, studies and reports prepared by the Consultant or any party engaged by the Consultant, pertaining to the Services shall be the property of the Commission.

d. Audits. The Commission shall have the right to audit the books of the Consultant on all subjects relating to the Services.

9. Indemnification of Commission. The Consultant hereby agrees to indemnify, keep and save harmless the Commission, its Commissioners, board members, officers, agents, officials and employees from and against all claims, demands, suits, losses, costs and expenses, including but not limited to, the fees and expenses of attorneys, that may arise out of or be based on any injury to persons or property that is or is claimed to be the result of an error, omission or act of the Consultant or any person employed by the Consultant to the maximum extent permitted by applicable law.

10. Insurance to be Maintained by Consultant. The Consultant shall purchase and maintain at all times during the performance of Services hereunder, for the benefit of the Commission, the User Agency and the Consultant, insurance coverage which will adequately insure the Commission, the User Agency and the Consultant against claims and liabilities which could arise out of the performance of such Services, including but not limited to, the insurance coverages set forth on Schedule D to this agreement.

11. Default.

a. Events of Default. Any one or more of the following occurrences shall constitute an Event of Default under this agreement:

i. Failure or refusal on the part of the Consultant duly to observe or perform any obligation or agreement on the part of the Consultant contained in this Agreement, which failure or refusal continues for a period of ten (10) days (or such longer period as the Commission, in its sole discretion, may determine if such failure is not capable of being cured within such ten (10) day period) after the date on which written notice thereof shall have been give to the Consultant by the Commission;

ii. Any representation or warranty of the Consultant set forth herein or otherwise delivered pursuant to this Agreement shall have been false in any material respect when so made or furnished;

iii. The Consultant becomes insolvent or ceases doing business as a going concern, or makes an assignment for the benefit of creditors, or generally fails to pay, or admits in writing its inability to pay, its debts as they become due, or files a voluntary petition in bankruptcy, or is adjudicated a bankrupt or an insolvent, or files a petition seeking for itself any reorganization, arrangement, composition, readjustment, liquidation, dissolution, or similar arrangement under any present or future statute, law or regulation relating to bankruptcy or insolvency, or files an answer admitting the material allegations of a petition filed against it in any such proceeding, or applies for, consents to or acquiesces in the appointment of a trustee, receiver, liquidator or other custodian of it or of all or any substantial part of its assets or properties, or if it or its principals shall take any action in furtherance of any of the foregoing; or

iv. There shall be commenced any proceeding against the Consultant seeking reorganization, arrangement, readjustment, liquidation, dissolution or similar relief under any present or future statute, law or regulation relating to bankruptcy which is not vacated, stayed, discharged, bonded or dismissed within sixty (60) days thereof, or there shall be appointed, without the Consultant's consent or acquiescence, any trustee, receiver, liquidator or other custodian of Custodian or of all or any substantial part of the Consultant's assets and properties, and such appointment shall not have been vacated, stayed, discharged, bonded or otherwise dismissed within sixty (60) days thereof.

b. Remedies. If an Event of Default shall occur and be continuing, then the Commission may exercise any right, power or remedy permitted to it by law or in equity and shall have, in particular, without limiting the generality of the foregoing, the right to terminate this Agreement upon written notice to the Consultant, in which event the Commission shall have no further obligations hereunder or liability to the Consultant except as to payment for Services actually received and accepted by the Commission through the effective date of termination. No courses of dealing on the part of the Commission or delay or failure on the part of the Commission to exercise any right shall operate as a waiver of such right or otherwise prejudice the Commission's rights, powers or remedies.

c. Remedies not Exclusive. No right or remedy herein conferred upon or reserved to the Commission is exclusive of any right or remedy herein or by law or equity provided or permitted, but each shall be cumulative of every other right or remedy given hereunder or now or hereafter existing at law or in equity or by statute or otherwise, and may be enforced concurrently therewith or from time to time.

12. Disputes.

a. General. All disputes arising under, related to or in connection with the terms of this Agreement or its interpretation, whether involving law or fact or both, including without limitation questions concerning allowability of compensation, and all claims for alleged breach of contract, shall be presented in writing to the Executive Director for final determination.

b. Procedure. Requests for determination of disputes will be made by the Consultant in writing specifically referencing this Section, and will include: 1) the issue(s) presented for resolution; 2) a statement of the respective positions of the Consultant and the Commission's representative; 3) the facts underlying the dispute; 4) reference to the applicable provisions of the Agreement by page and section; 5) identify any other parties believed to be necessary to the resolution; and 6) all documentation which describes and relates to the dispute. Consultant will promptly provide the Executive Director with a copy of the request for determination of the dispute. The Commission's representative will have thirty (30) business days to respond in writing to the dispute by supplementing the submission or providing its own submission to the Executive Director. Failure by the Commission's representative to respond will not be deemed to be an admission of any allegations made in the request for dispute resolution, but will be deemed to constitute a waiver of the opportunity to respond to such allegation(s), if any. The Executive Director's decision may thereafter be reached in accordance with such other information or assistance as she or he may deem reasonable, necessary or desirable.

c. Effect. The Executive Director's final decision will be rendered in writing no more than forty-five (45) business days after receipt of the response by the Commission's representative was filed or was due unless the Executive Director notifies the Consultant that additional time for the decision is necessary. The Executive Director's decision will be conclusive, final, and binding on all parties. Consultant must follow the procedures set out in this Section and receive the Executive Director's final decision as a condition precedent to filing a complaint in the Circuit Court of Cook County or any other court.

The Consultant will not withhold performance of any Services required by the Commission under this Agreement during the dispute resolution period. The Executive Director's written determination will be complied with pending final resolution of the dispute.

13. Confidentiality. All of the reports, information, or data prepared or assembled by the Consultant under this Agreement are confidential, and the Consultant agrees that such reports, information or data shall not be made available to any party without the prior written approval of the Commission. In addition, the Consultant shall not, without the prior written consent of the Commission, prepare or distribute any news releases, articles, brochures, advertisements or other materials concerning this agreement, the Project or the Services.

14. Assignment. Consultant acknowledges that the Commission is induced to enter into this Agreement by the personal qualifications of the principals, staff and employees of the Consultant and agrees, therefore, that neither this Agreement nor any right or obligation hereunder may be assigned by the Consultant, in whole or in part, without the prior written approval of the Commission. The Consultant further acknowledges that the Consultant has represented to the Commission the availability of certain members of the Consultant's staff who will be assigned to the Project, and agrees, therefore, that in the event of the unavailability of such members due, the Consultant shall so notify the Commission in writing, and shall assign other qualified members of the Consultant's staff, as approved by the Commission, to the Project.

15. Relationship of Parties. The relationship of the Consultant to the Commission hereunder is that of an independent contractor, and the Consultant, except to the extent expressly provided to the contrary on Schedule A hereto, shall have no right or authority to make contracts or commitments for or on behalf of the Commission, to sign or endorse on behalf of the Commission any instruments of any nature or to enter into

any obligation binding upon the Commission. This Agreement shall not be construed as an agreement of partnership, joint venture, or agency.

16. Miscellaneous.

a. **Consultant's Authority.** Execution of this Agreement by the Consultant is authorized by a resolution of its Board of Directors, if a corporation, or similar governing document if a partnership or a joint venture, and the signature(s) of each person signing on behalf of the Consultant have been made with complete and full authority to commit the Consultant to all terms and conditions of this Agreement, including each and every representation, certification and warranty contained or incorporated by reference in it.

b. **Counterparts.** This Agreement may be executed in any number of counterparts, any of which shall be deemed an original.

c. **Entire Agreement.** This Agreement constitutes the entire understanding and Agreement between the parties hereto and supersedes any and all prior or contemporaneous oral or written representations or communications with respect to the subject matter hereof, all of which communications are merged herein. This Agreement shall not be modified, amended or in any way altered except by an instrument in writing signed by both of the parties hereto.

d. **Force Majeure.** Neither of the parties shall be liable to the other for any delay or failure in performance hereunder due to causes which are beyond the control of the party unable to perform. If a force majeure occurs, the party delayed or unable to perform shall give prompt notice to the other party, and the Commission may, at any time during the continuation of the force majeure event, elect to suspend the performance of the Consultant under this Agreement for the duration of the force majeure. The Commission shall not be obligated to pay for Services to the extent and for the duration that performance thereof is delayed or prevented by force majeure, but, provided the Consultant is not in default of any obligation of the Consultant hereunder, the Commission shall pay to the Consultant, according to the terms hereof, all compensation and reimbursements due to the Consultant for periods up to the effective date of suspension.

e. **Governing Law.** This Agreement has been negotiated and executed in the State of Illinois and shall be construed under and in accordance with the internal laws of the State of Illinois.

f. **No Waiver.** The waiver by either party of any breach of this Agreement shall not constitute a waiver as to any succeeding breach.

g. **Notices.** All notices required to be given hereunder shall be given in writing and shall be hand delivered or sent by United States certified or registered mail, postage prepaid, addressed to Commission and to the Consultant at their respective addresses set forth above. If given as herein provided, such notice shall be deemed to have been given on the date of delivery, if delivered by hand, and on the second business day after mailing, if given by mail. The Commission or the Consultant may, from time to time, change the address to which notices hereunder shall be sent by giving notice to the other party in the manner provided in this subparagraph.

h. **Severability.** In the event that any provisions of this Agreement shall be invalid, illegal or unenforceable, the validity, legality and enforceability of the remaining provisions shall not in any way be affected or impaired thereby.

i. **Successors and Assigns.** Except as otherwise provided herein, this Agreement shall be binding upon and inure to the benefit of each of the parties hereto and their respective successors and assigns.

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IN WITNESS WHEREOF, this Agreement has been duly executed by the parties hereto as of the 4th day of February, 2009.

SIGNED by:

PUBLIC BUILDING COMMISSION OF CHICAGO by:

[Signature]
Erin Lavin Cabonargi
Executive Director

Date: 2/3/09

Attest:

[Signature]
Edgwick Johnson
Secretary

Date: 2/4/09

Geosyntec Consultants

[Signature]
Susan K. Hill
Principal

Date: 1-29-09

County of: Cook

State of: Illinois

Subscribed and sworn to before me by Susan K. Hill on behalf of Architect this 29th day of Jan., 2009.

[Signature]
Notary Public



My Commission expires: 10/06/2010

Schedule A
PROJECT DESCRIPTION AND SCOPE OF SERVICES

FORENSIC ANALYSIS SERVICES
SOUTH SHORE REPLACEMENT HIGH SCHOOL – PS1494
PROJECT NUMBER: 05130

SCOPE ATTACHED

January 9, 2009

Mr. John Plezbert, First Deputy Commissioner
Public Building Commission of Chicago
50 West Washington St., Room 200
Chicago, IL 60602

Subject: Proposal for Review of South Shore School Construction Protocols

Dear Mr. Plezbert:

The Public Building Commission of Chicago (PBC) oversees the building and renovation of hundreds of Chicago facilities including schools, libraries and fire stations. PBC staff manage the process starting with land acquisition and continuing through planning, environmental assessment, architectural drawings, construction and interior design. PBC staff function as an important link between their city "clients" and the contractors who perform the work. One of the many projects that the PBC is overseeing is construction of the new South Shore High School at 75th and Jeffrey in Ward 8. This project implements the new Chicago Public Schools (CPS) Urban Model High School (UMHS) prototypical design to serve 1,200 students. This 200,000 SF, three floors plus lower level, steel frame and masonry construction building will include music, art, and athletic functions. LEED features include the sustainable design criteria required by the USGBC to achieve LEED "Silver" Certification. The Architect of Record (AOR) is John Ronan Architects/DeStefano + Partners JV and the General Contractors (GC) are Sollitt/Brown & Momen JV.

This project is on an accelerated schedule and recently experienced delays due in part to delays in contract initiation and dewatering of the excavation, among other things. Geosyntec Consultants (Geosyntec) was awarded a small task to help in resolving some of the dewatering-related delays and consulting relating to options for installation of a cut-off wall to reduce groundwater management impacts on a permanent basis in the building. Recently, the PBC met with Geosyntec staff involved in the project and requested a proposal to review the process utilized by the entire project team to identify means and methods to help prevent or minimize such delays in the future. Specifically, Geosyntec has been tasked with providing a forensic review of current project definitions, award, contracting, and administration procedures to identify what revised processes would allow for clearer communications and a more efficient project delivery in the future.

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Purpose

The purpose of the proposed work is to review and evaluate the processes followed on the South Shore High School construction including, but not limited to:

- contracting and subcontracting procedures, including preparation and review of construction schedules,
- performance of the contracted work,
- documenting and communicating the findings/results of each portion of the work performed, in a timely and complete manner,
- ensuring that previous findings are incorporated into the process, and
- managing responsibility and accountability for the work, including technical performance, budgets and schedule commitments.

This review and evaluation is in order to identify where the project either did not develop the appropriate project components or information, or did not adequately communicate, incorporate or utilize the information in subsequent steps of the project. This evaluation will apply to the entire project to date from property selection and acquisition to planning, design, site investigation, site preparation and construction.

Objective

The objective of this work is to identify potential refinements to project definition, award and implementation processes that might be utilized to allow for clearer communications in the future and to help assure smoother project performance. It is not the objective of this assignment to assign blame or to develop information to be used in resolving potential claims relating to this project.

Scope of Work

The scope of work will consist of four general tasks described below:

- Task 1: Data gathering, including data gap identification;
- Task 2: Review and assessment of the data provided, development of the project sequencing information, and development of project performance criteria;
- Task 3: Analysis of the project components against the performance criteria; and

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- Task 4: Summary, conclusions, and recommendations including presentation of the results in a written report.

Task 1 - Data Gathering: The data gathering task will include review of available background and project documents. Information requested will include RFPs, contracts and subcontracting documents, schedules, meeting notes, and other project files. This will include contracts between the PBC and contractors, as well as contracts between contractors and subcontractors. Contractor deliverables will be reviewed. Where available, meeting minutes and correspondence relating to project components will be reviewed. Interviews will be sought with appropriate project parties regarding their contracted responsibilities and accountabilities and understanding of scope of work components. As this task progresses, additional documents and records will be identified and requested to provide a comprehensive picture of the contractual framework, schedule and sequencing for the project.

Task 2 - Review and Assessment/Project Sequencing: Data gathered in Task 1 will be reviewed and assessed by the Geosyntec project team. This will result in a summary of the various key components in the performance of the project to facilitate identification of the critical tasks and schedule events relating to the project. The results of this task will be presented in the form of a process flow diagram, matrix of project responsibilities and communications, and/or generalized project schedule, developed from the interviews and document and contract reviews. This matrix, flow diagram and schedule will provide a general framework against which the performance on the project can be followed. It is anticipated that this task will be developed with input and, as appropriate, review from numerous project parties.

Task 3 - Project Analysis: The findings from Task 2 will be assessed. The analysis is meant to provide meaningful insight into the performance issues and delays experienced on the project and identify ways in which such issues and delays could have been avoided. For certain items the team may identify that changed conditions warranted/supported the change. The analysis may identify additional steps in terms of data generation, communications, and/or assumption of responsibility that could avoid or minimize similar issues in the future. This analysis will be performed in cooperation with the PBC to facilitate incorporation of the findings in other projects, as appropriate.

Task 4 - Summary, Conclusions and Recommendations: The findings of the project analysis step will be summarized in a draft report and presented to the PBC. As appropriate, specific aspects of the South Shore Project will be identified, as well as general project performance findings and recommendations. Recommendations for steps to be considered in future projects will be presented. We will respond with appropriate revisions to any review comments prior to finalizing the summary report deliverable.

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January 9, 2009
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Proposed Schedule

Upon receipt of the notice to proceed, Geosyntec will work with PBC staff to obtain copies of the necessary documents. Interviews will also be established. Once all information is obtained and the interviews are set up, Task 2 will be completed. We anticipate approximately two to three weeks to complete Tasks 2 and 3. The summary report (Task 4) will be provided as a draft for review and comment by PBC. The report will initially be presented in a meeting to communicate the findings and recommendations prior to submittal of the draft written report. Additionally, regular communications during the progress of the assessment will be maintained with the PBC as data are reviewed and preliminary findings developed. It is proposed to present the draft report within 5 weeks of receiving documents required for Task 1.

Proposed Personnel

Geosyntec proposes Mr. Richard Berggreen, PG, as the project manager for this work. Mr. Berggreen has over 30 years of experience as a practicing geologist (most of which has been in Illinois and the Chicago area) and is recognized as an authority on the geology of glacial till soils, environmental assessment and remediation, low-level radioactive waste site investigation and remediation, and Brownfields development. His project experience ranges from Phase I/II site assessments of urban properties, performing construction storm water audits on residential and commercial projects nationwide, Project Management on remediation of Superfund and Brownfield sites in several cases involving coordination with construction as part of the site remediation and development, to safety inspections of dams for the U.S. Army Corps of Engineers. His contribution to the state-of-the-practice is documented in published papers on site characterization, Brownfields development, and site remediation.

Ms. Susan Hill, P.E., Principal, will serve as the Principal-in-Charge on this project. Ms. Hill has over 25 years of program and project management experience. Her experience includes all project phases from site investigations, design and construction to long term operations and monitoring. Ms. Hill is an Illinois P.E. and has practiced within the Chicagoland area for over 12 years. She has an extensive background in the environmental aspects of construction.

Mr. Dan Bodine, P.E., oversees Geosyntec's Chicago area Construction Services Group and will provide additional project support. Mr. Bodine has over 30 years of experience in all aspects of engineering and holds a masters degree in Geotechnical Engineering. Mr. Bodine has led numerous construction related projects for municipal, state, federal and private clients including numerous slurry wall design and construction projects and dewatering projects.

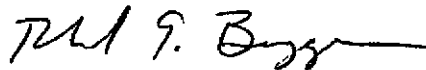
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Anticipated Budget


Geosyntec will complete the scope of work outlined above within a budget of \$23,750, in accordance with the attached rate schedule (Attachment I). This assumes approximately 150 hours of staff effort. If additional work is required, we will submit a written change order and will not proceed with such work without prior written approval from PBC.

Thank you for the opportunity to present this proposal. We look forward to working with the PBC on this very interesting and challenging project. Please contact us with any questions you may have regarding this proposal.

Sincerely,
Geosyntec Consultants



Richard G. Berggreen, PG
Senior Consultant



Susan K. Hill, P.E.
Principal

Attachment: 2009 Rate Schedule

**GEOSYNTEC CONSULTANTS
2009 RATE SCHEDULE**

<u>Engineer/Scientist</u>	<u>Rate/Hour</u>
Staff Professional	\$ 94
Senior Staff Professional	\$106
Professional	\$122
Project Professional	\$142
Senior Professional	\$160
Associate	\$176
Principal	\$188

Construction Services

Engineering Technician I	\$ 46
Engineering Technician II	\$ 52
Senior Engineering Technician I	\$ 58
Senior Engineering Technician II	\$ 62
Site Manager I	\$ 68
Site Manager II	\$ 78
Construction Manager	\$ 88

Design, Graphical, and Administrative Services

Designer	\$102
Senior Drafter/Senior CADD Operator	\$ 90
Drafter/CADD Operator/Artist	\$ 78
Admin Assistant/Tech Word Processor	\$ 50
Clerical	\$ 40

General

Direct Expenses	Cost plus 10%
Subcontract Services	Cost plus 12%
Communications Fee	3% of Professional Fees
Specialized Computer Applications (per hour)	\$ 12
Personal Automobile (per mile)	Current IRS Rate
Photocopies (per page)	\$.08

Rates will be adjusted annually based on the US Department of Labor, Bureau of Labor Statistics,
Consumer Price Index for All Urban Consumers
Rates for field equipment, health and safety equipment, and graphical supplies presented upon request

**SCHEDULE B
PROJECT DOCUMENTS**

**FORENSIC ANALYSIS SERVICES
SOUTH SHORE REPLACEMENT HIGH SCHOOL - PS1494
PROJECT NUMBER: 05130**

NO ATTACHMENTS

**SCHEDULE C
COMPENSATION OF THE CONSULTANT**

**FORENSIC ANALYSIS SERVICES
SOUTH SHORE REPLACEMENT HIGH SCHOOL ~ PS1494
PROJECT NUMBER: 05130**

C.1 CONSULTANT'S FEE

- C.1.1 The Commission shall pay the Consultant for the satisfactory performance of the Services a Not to Exceed Fee ("Fee") of **\$23,750.00** for all work included in Schedule A. The Fee will, in the absence of a change in scope of the Project by the Commission or the issuance of Commission-originated additive change orders constitutes the Consultant's full fee for Basic Services.
- C.1.2 Consultant's Fee will include profit, overhead, general conditions, materials, equipment, computers, vehicles, office labor, field labor, insurance, deliverables, and any other costs incurred in preparation and submittal of deliverables.

C.2 HOURLY RATES FOR CONSULTANT AND SUBCONSULTANT PERSONNEL

- C.2.1 **Hourly Rates** for Consultant and Subconsultant personnel are provided in Consultant's proposal, which follows Schedule C. The hourly rates provided by the Consultant will be used to determine the costs for any work related to the Project.
- C.2.2 **Hourly Rates for Consultant and Subconsultant Personnel.** All Consultant and Subconsultant personnel and the hourly rate billable for each are subject to the prior approval of the Commission.

C.3 METHOD OF PAYMENT

- C.3.1 **Invoices.** Once each month, the Consultant will submit an invoice to the Commission for Services performed during the preceding month.

Each invoice must clearly indicate the Contract Number and be supported with such reasonable detail and data as the Commission may require, including detail and data related to Subconsultant costs. In accordance with the terms of the Agreement, the Architect must maintain complete documentation of all costs incurred for review and audit by the Commission or its designated audit representative(s). Each invoice must be submitted in the format directed by the Commission. Invoices must be accompanied by a progress report in a format acceptable to the Commission. Such progress report must identify any variances from budget or schedule and explain and the reasons for such variances.

- C.3.2 **Payment.** Payment will be processed within 30 days after Commission receives an acceptable invoice from the Consultant.
- C.3.3 **Invoice Disputes.** If the Commission disputes certain items in the Consultant's invoices, the amount not disputed will be paid in full. The amount in question must be resolved in accordance with the Disputes provisions of this Agreement

January 9, 2009

Mr. John Plezbert, First Deputy Commissioner
Public Building Commission of Chicago
50 West Washington St., Room 200
Chicago, IL 60602

Subject: Proposal for Review of South Shore School Construction Protocols

Dear Mr. Plezbert:

The Public Building Commission of Chicago (PBC) oversees the building and renovation of hundreds of Chicago facilities including schools, libraries and fire stations. PBC staff manage the process starting with land acquisition and continuing through planning, environmental assessment, architectural drawings, construction and interior design. PBC staff function as an important link between their city "clients" and the contractors who perform the work. One of the many projects that the PBC is overseeing is construction of the new South Shore High School at 75th and Jeffrey in Ward 8. This project implements the new Chicago Public Schools (CPS) Urban Model High School (UMHS) prototypical design to serve 1,200 students. This 200,000 SF, three floors plus lower level, steel frame and masonry construction building will include music, art, and athletic functions. LEED features include the sustainable design criteria required by the USGBC to achieve LEED "Silver" Certification. The Architect of Record (AOR) is John Ronan Architects/DeStefano + Partners JV and the General Contractors (GC) are Sollitt/Brown & Momen JV.

This project is on an accelerated schedule and recently experienced delays due in part to delays in contract initiation and dewatering of the excavation, among other things. Geosyntec Consultants (Geosyntec) was awarded a small task to help in resolving some of the dewatering-related delays and consulting relating to options for installation of a cut-off wall to reduce groundwater management impacts on a permanent basis in the building. Recently, the PBC met with Geosyntec staff involved in the project and requested a proposal to review the process utilized by the entire project team to identify means and methods to help prevent or minimize such delays in the future. Specifically, Geosyntec has been tasked with providing a forensic review of current project definitions, award, contracting, and administration procedures to identify what revised processes would allow for clearer communications and a more efficient project delivery in the future.

Mr. John Plezbert
January 9, 2009
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Purpose

The purpose of the proposed work is to review and evaluate the processes followed on the South Shore High School construction including, but not limited to:

- contracting and subcontracting procedures, including preparation and review of construction schedules,
- performance of the contracted work,
- documenting and communicating the findings/results of each portion of the work performed, in a timely and complete manner,
- ensuring that previous findings are incorporated into the process, and
- managing responsibility and accountability for the work, including technical performance, budgets and schedule commitments.

This review and evaluation is in order to identify where the project either did not develop the appropriate project components or information, or did not adequately communicate, incorporate or utilize the information in subsequent steps of the project. This evaluation will apply to the entire project to date from property selection and acquisition to planning, design, site investigation, site preparation and construction.

Objective

The objective of this work is to identify potential refinements to project definition, award and implementation processes that might be utilized to allow for clearer communications in the future and to help assure smoother project performance. It is not the objective of this assignment to assign blame or to develop information to be used in resolving potential claims relating to this project.

Scope of Work

The scope of work will consist of four general tasks described below:

- Task 1: Data gathering, including data gap identification;
- Task 2: Review and assessment of the data provided, development of the project sequencing information, and development of project performance criteria;
- Task 3: Analysis of the project components against the performance criteria; and

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- Task 4: Summary, conclusions, and recommendations including presentation of the results in a written report.

Task 1 - Data Gathering: The data gathering task will include review of available background and project documents. Information requested will include RFPs, contracts and subcontracting documents, schedules, meeting notes, and other project files. This will include contracts between the PBC and contractors, as well as contracts between contractors and subcontractors. Contractor deliverables will be reviewed. Where available, meeting minutes and correspondence relating to project components will be reviewed. Interviews will be sought with appropriate project parties regarding their contracted responsibilities and accountabilities and understanding of scope of work components. As this task progresses, additional documents and records will be identified and requested to provide a comprehensive picture of the contractual framework, schedule and sequencing for the project.

Task 2 - Review and Assessment/Project Sequencing: Data gathered in Task 1 will be reviewed and assessed by the Geosyntec project team. This will result in a summary of the various key components in the performance of the project to facilitate identification of the critical tasks and schedule events relating to the project. The results of this task will be presented in the form of a process flow diagram, matrix of project responsibilities and communications, and/or generalized project schedule, developed from the interviews and document and contract reviews. This matrix, flow diagram and schedule will provide a general framework against which the performance on the project can be followed. It is anticipated that this task will be developed with input and, as appropriate, review from numerous project parties.

Task 3 - Project Analysis: The findings from Task 2 will be assessed. The analysis is meant to provide meaningful insight into the performance issues and delays experienced on the project and identify ways in which such issues and delays could have been avoided. For certain items the team may identify that changed conditions warranted/supported the change. The analysis may identify additional steps in terms of data generation, communications, and/or assumption of responsibility that could avoid or minimize similar issues in the future. This analysis will be performed in cooperation with the PBC to facilitate incorporation of the findings in other projects, as appropriate.

Task 4 - Summary, Conclusions and Recommendations: The findings of the project analysis step will be summarized in a draft report and presented to the PBC. As appropriate, specific aspects of the South Shore Project will be identified, as well as general project performance findings and recommendations. Recommendations for steps to be considered in future projects will be presented. We will respond with appropriate revisions to any review comments prior to finalizing the summary report deliverable.

Mr. John Plezbert
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Proposed Schedule

Upon receipt of the notice to proceed, Geosyntec will work with PBC staff to obtain copies of the necessary documents. Interviews will also be established. Once all information is obtained and the interviews are set up, Task 2 will be completed. We anticipate approximately two to three weeks to complete Tasks 2 and 3. The summary report (Task 4) will be provided as a draft for review and comment by PBC. The report will initially be presented in a meeting to communicate the findings and recommendations prior to submittal of the draft written report. Additionally, regular communications during the progress of the assessment will be maintained with the PBC as data are reviewed and preliminary findings developed. It is proposed to present the draft report within 5 weeks of receiving documents required for Task 1.

Proposed Personnel

Geosyntec proposes Mr. Richard Berggreen, PG, as the project manager for this work. Mr. Berggreen has over 30 years of experience as a practicing geologist (most of which has been in Illinois and the Chicago area) and is recognized as an authority on the geology of glacial till soils, environmental assessment and remediation, low-level radioactive waste site investigation and remediation, and Brownfields development. His project experience ranges from Phase I/II site assessments of urban properties, performing construction storm water audits on residential and commercial projects nationwide, Project Management on remediation of Superfund and Brownfield sites in several cases involving coordination with construction as part of the site remediation and development, to safety inspections of dams for the U.S. Army Corps of Engineers. His contribution to the state-of-the-practice is documented in published papers on site characterization, Brownfields development, and site remediation.

Ms. Susan Hill, P.E., Principal, will serve as the Principal-in-Charge on this project. Ms. Hill has over 25 years of program and project management experience. Her experience includes all project phases from site investigations, design and construction to long term operations and monitoring. Ms. Hill is an Illinois P.E. and has practiced within the Chicagoland area for over 12 years. She has an extensive background in the environmental aspects of construction.

Mr. Dan Bodine, P.E., oversees Geosyntec's Chicago area Construction Services Group and will provide additional project support. Mr. Bodine has over 30 years of experience in all aspects of engineering and holds a masters degree in Geotechnical Engineering. Mr. Bodine has led numerous construction related projects for municipal, state, federal and private clients including numerous slurry wall design and construction projects and dewatering projects.

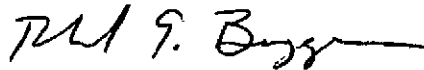
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Anticipated Budget


Geosyntec will complete the scope of work outlined above within a budget of \$23,750, in accordance with the attached rate schedule (Attachment I). This assumes approximately 150 hours of staff effort. If additional work is required, we will submit a written change order and will not proceed with such work without prior written approval from PBC.

Thank you for the opportunity to present this proposal. We look forward to working with the PBC on this very interesting and challenging project. Please contact us with any questions you may have regarding this proposal.

Sincerely,
Geosyntec Consultants



Richard G. Berggreen, PG
Senior Consultant



Susan K. Hill, P.E.
Principal

Attachment: 2009 Rate Schedule

GEOSYNTEC CONSULTANTS 2009 RATE SCHEDULE

<u>Engineer/Scientist</u>	<u>Rate/Hour</u>
Staff Professional	\$ 94
Senior Staff Professional	\$106
Professional	\$122
Project Professional	\$142
Senior Professional	\$160
Associate	\$176
Principal	\$188

Construction Services

Engineering Technician I	\$ 46
Engineering Technician II	\$ 52
Senior Engineering Technician I	\$ 58
Senior Engineering Technician II	\$ 62
Site Manager I	\$ 68
Site Manager II	\$ 78
Construction Manager	\$ 88

Design, Graphical, and Administrative Services

Designer	\$102
Senior Drafter/Senior CADD Operator	\$ 90
Drafter/CADD Operator/Artist	\$ 78
Admin Assistant/Tech Word Processor	\$ 50
Clerical	\$ 40

General

Direct Expenses	Cost plus 10%
Subcontract Services	Cost plus 12%
Communications Fee	3% of Professional Fees
Specialized Computer Applications (per hour)	\$ 12
Personal Automobile (per mile)	Current IRS Rate
Photocopies (per page)	\$.08

Rates will be adjusted annually based on the US Department of Labor, Bureau of Labor Statistics,
Consumer Price Index for All Urban Consumers

Rates for field equipment, health and safety equipment, and graphical supplies presented upon request

**SCHEDULE D
INSURANCE REQUIREMENTS**

**FORENSIC ANALYSIS SERVICES
SOUTH SHORE REPLACEMENT HIGH SCHOOL – PS1494
PROJECT NUMBER: 05130**

The Consultant must provide and maintain at Consultant's own expense, until expiration or termination of the Agreement and during the time period following expiration if Consultant is required to return and perform any additional work, the minimum insurance coverage and requirements specified below, insuring all operations related to the Agreement.

D.1. INSURANCE TO BE PROVIDED

D.1.1. Workers' Compensation and Employers Liability

Workers' Compensation Insurance, as prescribed by applicable law covering all employees who are to provide a service under the Agreement and Employers Liability coverage with limits of not less than \$500,000 each accident, illness or disease.

D.1.2. Commercial General Liability (Primary and Umbrella)

Commercial General Liability Insurance or equivalent with limits of not less than \$1,000,000 per occurrence for bodily injury, personal injury, and property damage liability. Coverage must include the following: All premises and operations, products/completed operations, separation of insureds, defense, and contractual liability (with no limitation endorsement). The Public Building Commission, Board of Education and City of Chicago must be named as additional insureds on a primary, non-contributory basis for any liability arising directly or indirectly from the work.

D.1.3. Automobile Liability (Primary and Umbrella)

When any motor vehicles (owned, non-owned and hired) are used in connection with work to be performed, the Consultant must provide Automobile Liability Insurance, with limits of not less than \$1,000,000 per occurrence for bodily injury and property damage. The Public Building Commission, Board of Education, and City of Chicago must be named as additional insureds on a primary, non-contributory basis.

D.1.4. Professional Liability

When any professional Consultant performs work in connection with the Agreement, Professional Liability Insurance will be maintained with limits of not less than \$1,000,000 covering acts, errors, or omissions. When policies are renewed or replaced, the policy retroactive date must coincide with, or precede the, start of work on the Agreement. A claims-made policy, which is not renewed or replaced, must have an extended reporting period of two (2) years.

D.1.5 Property

The Consultant is responsible for all loss or damage to Commission, Board of Education and/or City of Chicago property at full replacement or repair cost. The Consultant is responsible for all loss or damage to personal property (including but not limited to materials, equipment, tools, and supplies) owned, rented, or used by Consultant.

D.1.6 Valuable Papers

When any plans, designs, drawings, specifications, data, media, and documents are produced or used under this Agreement, Valuable Papers Insurance shall be maintained in an amount to insure against any loss whatsoever, and shall have limits sufficient to pay for the re-creation and reconstruction of such records.

D.1.7 Contractors Pollution Liability

When any work is performed which may cause a pollution exposure, Contractors Pollution Liability must be provided covering bodily injury, property damage and other losses caused by pollution conditions that arise from the Contract scope of services with limits of not less than \$1,000,000 per occurrence. Coverage must include completed operations, contractual liability, defense, excavation, environmental cleanup, remediation and disposal. When policies are renewed or replaced, the policy retroactive date must coincide with or precede, start of work on the Contract. A claims-made policy, which is not renewed or replaced, must have an extended reporting period of two (2) years. The Public Building Commission, Board of Education, and City of Chicago are to be named as additional insureds on a primary, non-contributory basis.

D.1.8 Railroad Protective Liability

When any work is to be done adjacent to or on railroad or transit property, Contractor must provide, with respect to the operations that Contractor or subcontractors perform, Railroad Protective Liability Insurance in the name of railroad or transit entity. The policy must have limits of not less than the requirement of the operating railroad/transit entity for losses arising out of injuries to or death of all persons, and for damage to or destruction of property, including the loss of use thereof.

E.2. ADDITIONAL REQUIREMENTS

The Consultant must furnish the Public Building Commission Procurement Department, Richard J. Daley Center, Room 200, Chicago, IL 60602, original Certificates of Insurance, or such similar evidence, to be in force on the date of this Agreement, and Renewal Certificates of Insurance, or such similar evidence, if any insurance coverage has an expiration or renewal date occurring during the term of this Agreement. The Consultant must submit evidence of insurance to the Commission before award of Agreement. The receipt of any certificate does not constitute agreement by the Commission that the insurance requirements in the Agreement have been fully met or that the insurance policies indicated on the certificate are in compliance with all Agreement requirements. The failure of the Commission to obtain certificates or other insurance evidence from Consultant is not a waiver by the Commission of any requirements for the Consultant to obtain and maintain the specified coverage. The Consultant will advise all insurers of the Agreement provisions regarding insurance. Non-conforming insurance does not relieve Consultant of the obligation to provide insurance as specified in this Agreement. Nonfulfillment of the insurance conditions may constitute a breach of the Agreement, and the Commission retains the right to stop work until proper evidence of insurance is provided, or the Agreement may be terminated.

The Commission reserves the right to obtain copies of insurance policies and records from the Consultant and/or its subcontractors at any time upon written request.

The insurance must provide for 60 days prior written notice to be given to the Commission if any policies are canceled, substantially changed, or non-renewed.

Any deductibles or self-insured retentions on referenced insurance must be borne by Consultant.

The Consultant hereby waives and agrees to require their insurers to waive their rights of subrogation against the Commission, Board of Education and City of Chicago, their respective Board members, employees, elected and appointed officials, and representatives.

The insurance coverage and limits furnished by Consultant in no way limit the Consultant's liabilities and responsibilities specified within the Agreement or by law.

Any insurance or self-insurance programs maintained by the Commission, Board of Education and/or City of Chicago do not contribute with insurance provided by the Consultant under the Agreement.

The required insurance to be carried is not limited by any limitations expressed in the indemnification language in this Agreement or any limitation placed on the indemnity in the Agreement given as a matter of law.

If Consultant is a joint venture or limited liability company, the insurance policies must name the joint venture or limited liability company as a named insured.

The Consultant must require all its subcontractors to provide the insurance required in this Agreement, or Consultant may provide the coverage for its subcontractors. All subcontractors are subject to the same insurance requirements of Consultant unless otherwise specified in this Agreement.

If Consultant or its subcontractors desire additional coverage, the party desiring the additional coverage is responsible for the acquisition and cost.

The Commission's Risk Management Department maintains the rights to modify, delete, alter or change these requirements.

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SCHEDULE E
KEY PERSONNEL

**FORENSIC ANALYSIS SERVICES
SOUTH SHORE REPLACEMENT HIGH SCHOOL - PS1494
PROJECT NUMBER: 05130**

NAME	FIRM	TITLE
Richard Berggreen	Geosyntec Consultants	Senior Consultant
Daniel Bodine	Geosyntec Consultants	Senior Consultant
John Seymour	Geosyntec Consultants	Associate
Greg Gibbons	Geosyntec Consultants	Associate
Paul Sabatini	Geosyntec Consultants	Associate

EXHIBIT A
DISCLOSURE OF RETAINED PARTIES

A. Definitions and Disclosure Requirements

1. As used herein, "Consultant" means a person or entity who has any contract or lease with the Public Building Commission of Chicago ("Commission").
2. Commission bids, leases, contracts, and/or qualification submittals must be accompanied by a disclosure statement providing certain information about lobbyists whom the Consultant has retained or expects to retain with respect to the contract or lease. In particular, the Consultant must disclose the name of each such person, his or her business address, the name of the relationship, and the amount of fees paid or estimated to be paid. The Consultant is not required to disclose employees who are paid solely through the Consultant's regular payroll.
3. "Lobbyists" means any person (a) who for compensation or on behalf of any person other than himself undertake to influence any legislative or administrative action, or (b) any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

B. Certification

Consultant hereby certifies as follows:

1. This Disclosure relates to the following transaction: PS1494

Description of goods or services to be provided under Contract: South Shore Replacement
High School Vicinity of 75th & Jeffery, Chicago, Illinois

2. Name of Consultant: Geosyntec Consultants

2. **EACH AND EVERY** lobbyist retained or anticipated to be retained by the Consultant with respect to or in connection with the contract or lease is listed below. Attach additional pages if necessary.

Retained Parties:

Name	Business Address	Relationship (Attorney, Lobbyist, etc.)	Fees (indicate whether paid or estimated)

Check Here if No Such Persons Have been Retained or Are Anticipated To Be Retained:

4. The Consultant understands and agrees as follows:
- a. The information provided herein is a material inducement to the Commission execution of the contract or other action with respect to which this Disclosure of Retained Parties form is being executed, and the Commission may rely on the information provided herein. Furthermore, if the Commission determines that any information provided herein is false, incomplete, or inaccurate, the Commission may terminate the contract or other transaction, terminate the Consultant's participation in the contract or other transactions with the Commission.
 - b. If the Consultant is uncertain whether a disclosure is required, the Consultant must either ask the Commission's Representative or his or her manager whether disclosure is required or make the disclosure.
 - c. This Disclosure of Retained Parties form, some or all of the information provided herein, and any attachments may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. The Consultant waives and releases any possible rights or claims it may have against the Commission in connection with the public release of information contained in the completed Disclosure of Retained Parties form and any attachments.

Under penalty of perjury. I certify that I am authorized to execute this Disclosure of Retained Parties on behalf of the Consultant and that the information disclosed herein is true and complete.

Susan K. Hill, P.E.
Signature

1-29-09
Date

Susan K. Hill, P.E.
Name (Type or Print)

Vice President
Title

Subscribed and sworn to before me

this 29th day of Jan. 2009

Sara Hendon
Notary Public



**EXHIBIT B
DISCLOSURE AFFIDAVIT**

Name: Geosyntec Consultants

Address: 134 N. La Salle Street, Suite 300, Chicago, Illinois 60602

Telephone No.: (312) 658-0500

Federal Employer I.D. #: 59-2355134 Social Security #: _____

Nature of Transaction:

- Sale or purchase of land
- Construction Contract
- Professional Services Agreement
- Other

Instructions: FOR USE WITH ANY OF THE ABOVE TRANSACTIONS. Any firm proposing one of the above transactions with the Public Building Commission of Chicago must complete this Disclosure Affidavit. Please note that in the event the Contractor is a joint venture, the joint venture and each of the joint venture partners must submit a completed Disclosure Affidavit.

The undersigned Susan K. Hill, P.E., as Vice President
(Name) (Title)

and on behalf of Geosyntec Consultants, Inc.
("Bidder/ Proposer" or "Contractor") having been duly sworn under oath certifies that:

I. DISCLOSURE OF OWNERSHIP INTERESTS

Pursuant to Resolution No. 5371 of the Board of Commissioners of the Public Building Commission of Chicago, all bidders/proposers shall provide the following information with their bid/proposal. If the question is not applicable, answer "NA". If the answer is none, please answer "none".

Bidder/Proposer/Contractor is a: Corporation LLC
 Partnership LLP
 Joint Venture Not-for-Profit Corporation
 Sole Proprietorship Other

SECTION 1. FOR PROFIT CORPORATION OR LIMITED LIABILITY COMPANY (LLC)

a. State of Incorporation or organization Florida

b. Authorized to do business in the State of Illinois: Yes No

c. Names of all officers of corporation or LLC (or attach list):
 Names of all directors of corporation or LLC (or attach list):

Name (Print or Type)	Title (Print or Type)	Name (Print or Type)	Title (Print or Type)
See attached.			

d. Indicate here or attach a list of names and addresses of all shareholders owning shares equal to or in excess of seven and one-half percent (7.5%) of the proportionate ownership of the corporation and indicate the percentage interest of each.

Name (Print or Type)	Address	Ownership Interest
Rudy Bonaparte	Geosyntec Consultants	8.0 %
	2002 Summit Boulevard, NE, Suite 885	%
	Atlanta, Georgia 30319	%

e. For LLC's, state whether member-managed or identify managing member:

f. Is the corporation or LLC owned partially or completely by one or more other corporations or legal entities?
 Yes No

If "yes" provide the above information, as applicable, for each such corporation or entity such that any person with a beneficial ownership interest of 7.5% or more in the corporation contracting in the PBC is disclosed. For example, if Corporation B owns 15% of Corporation A, and Corporation A is contracting with the PBC, then Corporation B must complete a Disclosure Affidavit. If Corporation B is owned by Corporations C and D, each of which owns 50% of Corporation B, then both Corporations C and D must complete Disclosure Affidavits.

**SECTION 1 c - EXECUTIVE OFFICERS
GEOSYNTEC CONSULTANTS, INC.**

Name	Title
Jay Beech	VP & Secretary
Rudy Bonaparte	President & CEO
Terry Check	VP
Neil Davies	VP & Treasurer
Jon Dickinson	VP & CFO
Mark Grivetti	VP
Susan Hill	VP
Mike Houlihan	VP & Secretary
Pat Lucia	Chairman
Dave Major	VP
Bert Palmer	VP
Tom Peel	VP
Theiry Sanglerat	Executive VP
Paul Sanner	VP & Gen Counsel
Eric Strecker	VP
Billy Villet	Senior VP
Sam Williams	VP
Peter Zeeb	VP

SECTION 2. PARTNERSHIPS

- a. If the bidder/proposer or Contractor is a partnership, indicate the name of each partner and the percentage of interest of each therein. Also indicate, if applicable, whether general partner (GP) or limited partner (LP)

Name of Partners (Print or Type)	Percentage Interest
_____	_____ %
_____	_____ %
_____	_____ %

SECTION 3. SOLE PROPRIETORSHIP

- a. The bidder/proposer or Contractor is a sole proprietorship and is not acting in any representative capacity on behalf of any beneficiary: Yes [] No []
If NO, complete items b. and c. of this Section 3.

- b. If the sole proprietorship is held by an agent(s) or a nominee(s), indicate the principal(s) for whom the agent or nominee holds such interest.

Name(s) of Principal(s). (Print or Type)

- c. If the interest of a spouse or any other party is constructively controlled by another person or legal entity, state the name and address of such person or entity possessing such control and the relationship under which such control is being or may exercised.

Name(s)	Address(es)
_____	_____
_____	_____
_____	_____

SECTION 4. LAND TRUSTS, BUSINESS TRUSTS, ESTATES & OTHER ENTITIES

If the bidder/proposer or Contractor is a land trust, business trust, estate or other similar commercial or legal entity, identify any representative, person or entity holding legal title as well as each beneficiary in whose behalf title is held including the name, address and percentage of interest of each beneficiary.

Name(s)

Address(es)

_____	_____
_____	_____
_____	_____

SECTION 5. NOT-FOR-PROFIT CORPORATIONS

a. State of incorporation _____

b. Name of all officers and directors of corporation (or attach list):

Name (Print or Type)	Title (Print or Type)	Name (Print or Type)	Title (Print or Type)
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

NOTE: The Public Building Commission of Chicago may require additional information from any entity or individual to achieve full disclosure relevant to the transaction. Further, any material change in the information required above must be provided by supplementing this statement at any time up to the time the Public Building Commission of Chicago takes action on the contract or other action requested of the Public Building Commission.

II. CONTRACTOR CERTIFICATION

A. CONTRACTOR

1. The Contractor, or any affiliated entities of the Contractor, or any responsible official thereof, or any other official, agent or employee of the Contractor, any such affiliated entity, acting pursuant to the direction or authorization of a responsible official thereof has not, during a period of three years prior to the date of execution of this certification:
 - a. Bribe or attempted to bribe, or been convicted of bribery or attempting to bribe a public officer or employee of the City of Chicago, the State of Illinois, any agency of the federal government or any state or local government in the United States (if an officer or employee, in that officer's or employee's official capacity); or

- b. Agreed or colluded, or been convicted of agreement or collusion among bidders or prospective bidders in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
 - c. Made an admission of such conduct described in 1(a) or (b) above which is a matter of record but has not been prosecuted for such conduct.
2. The Contractor or agent, partner, employee or officer of the Contractor is not barred from contracting with any unit of state or local government as a result of engaging in or being convicted of bid-rigging² in violation of Section 3 of Article 33E of the Illinois Criminal Code of 1961, as amended (720 ILCS 5/33E-3), or any similar offense of any state or the United States which contains the same elements as the offense of bid-rigging during a period of five years prior to the date of submittal of this bid, proposal or response.³
 3. The Contractor or any agent, partner, employee, or officer of the Contractor is not barred from contracting with any unit of state or local government as a result of engaging in or being convicted of bid-rotating⁴ in violation of Section 4 of Article 33E of the Illinois Criminal Code of 1961, as amended (720 ILCS 5/33E-4), or any similar offense of any state or the United States which contains the same elements as the offense of bid-rotating.
 4. The Contractor understands and will abide by all provisions of Chapter 2-56 of the Municipal Code entitled "Office of the Inspector General" and all provisions of the Public Building Commission Code of Ethics Resolution No.5339, as amended by Resolution No. 5371.
 5. The Contractor certifies to the best of its knowledge and belief, that it and its principals:
 - a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal, state or local department or agency.
 - b. Have not within a three-year period preceding this bid or proposal been convicted of or had a civil judgement rendered against them for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; violation of federal or state antitrust statutes; commission of embezzlement, theft, forgery, bribery, falsification or destruction of records; making false statements; or receiving stolen property;
 - c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (5)(b) above; and
 - d. Have not within a three-year period preceding this bid or proposal had one or more public transactions (federal, state or local) terminated for cause or default.

B. SUBCONTRACTORS

1. The Contractor has obtained from all subcontractors being used in the performance of this contract or agreement, known by the Contractor at this time, disclosures substantially in the form of Section 1, and certifications substantially in the form of Section 2, of this Disclosure Affidavit. Based on such disclosures and certification(s), and any other information known or obtained by the Contractor, is not aware of any such subcontractor or subcontractor's affiliated entity or any agent, partner, employee or officer of such subcontractor or subcontractor's affiliated entity having engaged in or been convicted of (a) any of the conduct describe in Section II(A) (1)(a) or (b) of this certification; (b) bid-rigging, bid-

rotating, or any similar offense of any state or the United States which contains the same elements as bid-rigging or bid-rotating, or having made an admission of guilt of the conduct described in Section II(A)(1)(a) or (b) which is matter of record but has/have not been prosecuted for such conduct.

2. The Contractor will, prior to using them as subcontractors, obtain from all subcontractors to be used in the performance of this contract or agreement, but not yet known by the Contractor at this time, certifications substantially in the form of this certification. The Contractor shall not, without the prior written permission of the Commission, use any of such subcontractors in the performance of this contract if the Contractor, based on such certifications or any other information known or obtained by Contractor, became aware of such subcontractor, subcontractor's affiliated entity or any agent, employee or officer of such subcontractor or subcontractor's affiliated entity having engaged in or been convicted of (a) any of the conduct describe in Section II(A)(1)(a) or (b) of this certification or (b) bid-rigging, bid-rotating or any similar offenses of any state or the United States which contains the same elements as bid-rigging or bid-rotating or having made an admission of guilt of the conduct described in Section II(A)(1)(a) or (b) which is a matter of record but has/have not been prosecuted for such conduct. The Contractor shall cause such subcontractors to certify as to Section II(A)(5). In the event any subcontractor is unable to certify to Section II(A)(5), such subcontractor shall attach an explanation to the certification.
3. For all subcontractors to be used in the performance of this contract or agreement, the Contractor shall maintain for the duration of the contract all subcontractors' certifications required by Section II(B)(1) and (2) above, and Contractor shall make such certifications promptly available to the Public Building Commission of Chicago upon request.
4. The Contractor will not, without the prior written consent of the Public Building Commission of Chicago, use as subcontractors any individual, firm, partnership, corporation, joint venture or other entity from whom the Contractor is unable to obtain a certification substantially in the form of this certification.
5. The Contractor hereby agrees, if the Public Building Commission of Chicago so demands, to terminate its subcontractor with any subcontract if such subcontractor was ineligible at the time that the subcontract was entered into for award of such subcontract. The Contractor shall insert adequate provisions in all subcontracts to allow it to terminate such subcontract as required by this certification.

C. STATE TAX DELINQUENCIES

1. The Contractor is not delinquent in the payment of any tax administered by the Illinois Department of Revenue or, if delinquent, the Contractor is contesting, in accordance with the procedures established by the appropriate Revenue Act, its liability for the tax or amount of the tax.
2. Alternatively, the Contractor has entered into an agreement with the Illinois Department of Revenue for the payment of all such taxes that are due and is in compliance with such agreement.
3. If the Contractor is unable to certify to any of the above statements [(Section II (C))], the Contractor shall explain below. Attach additional pages if necessary.

If the letters "NA", the word "None" or no response appears on the lines above, it will be conclusively presumed that the Undersigned certified to the above statements.

4. If any subcontractors are to be used in the performance of this contract or agreement, the Contractor shall cause such subcontractors to certify as to paragraph (C)(1) or (C)(2) of this certification. In the event that any subcontractor is unable to certify to any of the statements in this certification, such subcontractor shall attach an explanation to this certification.

D. OTHER TAXES/FEEES

1. The Contractor is not delinquent in paying any fine, fee, tax or other charge owed to the City of Chicago.
2. If Contractor is unable to certify to the above statement, Contractor shall explain below and attach additional sheets if necessary.

If the letters "NA", the word "None" or no response appears on the lines above, it will be conclusively presumed that the Undersigned certified to the above statements.

E. PUNISHMENT

A Contractor who makes a false statement material to Section II(A)(2) of this certification commits a Class 3 felony. 720 ILCS 5/33E-11(b).

F. JUDICIAL OR ADMINISTRATIVE PROCEEDINGS

1. The Contractor is not a party to any pending lawsuits against the City of Chicago or the Public Building Commission of Chicago nor has Contractor been sued by the City of Chicago or the Public Building Commission of Chicago in any judicial or administrative proceeding.
2. If the Contractor cannot certify to the above, provide the (1) case name; (2) docket number; (3) court in which the action is or was pending; and (4) a brief description of each such judicial or administrative proceeding. Attach additional sheets if necessary.

If the letters "NA", the word "None" or no response appears on the lines above, it will be conclusively presumed that the Undersigned certified to the above statements.

III. CERTIFICATION OF ENVIRONMENTAL COMPLIANCE

- A. Neither the Contractor nor any affiliated entity of the Contractor has, during a period of five years prior to the date of execution of this Affidavit: (1) violated or engaged in any conduct which violated federal, state or local Environmental Restriction⁵; (2) received notice of any claim, demand or action, including but not limited to citations and warrants, from any federal, state or local agency exercising executive, legislative, judicial, regulatory or administrative functions relating to a violation or alleged violation of any federal, state or local statute, regulation or other Environmental Restriction; or (3) been subject to any fine or penalty of any nature for failure to comply with any federal, state or local statute, regulation or other Environmental Restriction.

If the Contractor cannot make the certification contained in Paragraph A of Section III, identify any exceptions:

(Attach additional pages of explanation to this Disclosure Affidavit, if necessary.)

If the letters "NA", the word "None" or no response appears on the lines above, it will be conclusively presumed that the Undersigned certified to the above statements.

- B. Without the prior written consent of the Public Building Commission of Chicago, Contractor will not employ any subcontractor in connection with the contract or proposal to which this Affidavit pertains without obtaining from such subcontractor a certification similar in form and substance to the certification contained in Paragraph A of this Section III prior to such subcontractor's performance of any work or services or furnishing any goods, supplies or materials of any kind under the proposal or the contract to which this Affidavit pertains.
- C. Until completion of the Contract's performance under the proposal or contract to which this Affidavit pertains, the Contractor will not violate any federal, state or local statute, regulation or other Environmental Restriction, whether in the performance of such contract or otherwise.

IV. INCORPORATION INTO CONTRACT AND COMPLIANCE

The above certification shall become part of any contract awarded to the Contractor set forth on page 1 of this Disclosure Affidavit and are a material inducement to the Public Building Commission of Chicago's execution of the contract, contract modification or contract amendment with respect to which this Disclosure Affidavit is being executed and delivered on behalf of the Contractor. Furthermore, Contractor shall comply with these certifications during the term and/or performance of the contract.

V. VERIFICATION

Under penalty or perjury, I certify that I am authorized to execute this Disclosure Affidavit on behalf of the Contractor set forth on page 1, that I have personal knowledge of all the certifications made herein and that the same are true.

The Contractor must report any change in any of the facts stated in this Affidavit to the Public Building Commission of Chicago within 14 days of the effective date of such change by completing and submitting a new Disclosure Affidavit. Failure to comply with this requirement is grounds for your firm to be deemed non-qualified to do business with the PBCC. Deliver any such new Disclosure Affidavit to: Public Building Commission of Chicago, Director of Procurement, 50 W. Washington, Room 200, Chicago, IL 60602.

Susan K. Hill, P.E.
Signature of Authorized Officer

Susan K. Hill, P.E.

Name of Authorized Officer (Print or Type)

Vice President

Title

(312) 658-0500

Telephone Number

State of Illinois

County of Cook

Signed and sworn to before me on this 29th day of January, 2009 by

Susan K. Hill, P.E. (Name) as Vice President (Title) of

Geosyntec Consultants (Bidder/Proposer or Contractor)

Sara Hendron
Notary Public Signature and Seal



Notes 1-5 Disclosure Affidavit

1. Business entities are affiliated if, directly or indirectly, one controls or has the power to control the other, or if a third person controls or has the power to control both entities. Indicia of control include without limitation: interlocking management or ownership; identity of interests among family members; shared facilities and equipment; common use of employees; or organization of another business entity using substantially the same management, ownership or principals as the first entity.
2. For purposes of Section II (A) (2) of this certification, a person commits the offense of and engages in bid-rigging when he knowingly agrees with any person who is, or but for such agreement should be, a competitor of such person concerning any bid submitted or not submitted by such person or another to a unit of state or local government when with the intent that the bid submitted or not submitted will result in the award of a contract to such person or another and he either (1) provides such person or receives from another information concerning the price or other material term or terms of the bid which would otherwise not be disclosed to a competitor in an independent non-collusive submission of bids or (2) submits a bid that is of such a price or other material term or terms that he does not intend the bid to be accepted. see 720 ILCS 5/33-E-3.
3. No corporation shall be barred from contracting with any unit of state or local government as a result of a conviction, under either Section 33E-3 or Section 33E-4 of Article 33 of the State of Illinois Criminal Code of 1961, as amended, of any employee or agent of such corporation if the employee so convicted is no longer employed by the corporation and: (1) it has been finally adjudicated not guilty or (2) it demonstrates to the governmental entity with which it seeks to contract and that entity finds that the commission of the offense was neither authorized, requested, commanded, nor performed by a director, officer or a high managerial agent on behalf of the corporation as provided in paragraph (2) of subsection (a) of Section 5-4 of the State of Illinois Criminal Code.
4. For purposes of Section II(A) of this certification, a person commits the offense of and engages in bid rotating when, pursuant to any collusive scheme or agreement with another, he engages in a pattern over time (which, for the purposes hereof, shall include at least three contract bids within a period of ten years, the most recent of which occurs after January 1, 1989) of submitting sealed bids to units of state or local government with the intent that the award of such bids rotates, or is distributed among, persons or business entities which submit bids on a substantial number of the same contracts. See 720 ILCS 5/33E-4.
5. "Environmental Restriction" means any statute, ordinance, rule, regulation, permit, permit condition, order or directive relating to or imposing liability or standards of conduct concerning the release or threatened release of hazardous materials, special wastes or other contaminants into the environment, and to the generation, use, storage, transportation, or disposal of construction debris, bulk waste, refuse, garbage, solid wastes, hazardous materials, special wastes or other contaminants including but not limited to (1) Section 7-28-440 or 11-4-1500 or Article XIV of Chapter 11-4 or Chapter 7-28 or 11-4 of the Municipal Code of Chicago; (2) Comprehensive Environment Response and Compensation and Liability Act (42 U.S.C. § 9601 *et seq.*) the Hazardous Material Transportation Act (49 U.S.C. § 1801 *et seq.*); (4) the Resource Conversation and Recovery Act of 1976 (42 U.S.C. § 7401 *et seq.*); (5) the Clean Water Act (33 U.S.C. § 1251 *et seq.*); (6) the Clean Air Act (42 U.S.C. § 7401 *et seq.*); (7) the Toxic Substances Control Act of 1976 (15 U.S.C. § 2601 *et seq.*); (8) the Safe Drinking Water Act (42 U.S.C. § 300f); (9) the Occupational Health and Safety Act of 1970 (29 U.S.C. § 651 *et seq.*); (10) the Emergency Planning and Community Right to Know Act (42 U.S.C. § 11001 *et seq.*); and (10) the Illinois Environmental Protection Act (415-ILCS 5/1 through 5/56.6).

EXHIBIT C

W-9 FORM

**FORENSIC ANALYSIS SERVICES
SOUTH SHORE REPLACEMENT HIGH SCHOOL – PS1494
PROJECT NUMBER: 05130**

(COMMISSION'S W-9 FORM FOLLOWS THIS PAGE.)

Request for Taxpayer Identification Number and Certification

**Give form to the
requester. Do not
send to the IRS.**

Print or type
See Specific Instructions on page 2.

Name (as shown on your income tax return) Geosyntec Consultants, Inc.	
Business name, if different from above	
Check appropriate box: <input type="checkbox"/> Individual/Sole proprietor <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Limited liability company. Enter the tax classification (D=disregarded entity, C=corporation, P=partnership) ▶ <input type="checkbox"/> Exempt payee <input type="checkbox"/> Other (see instructions) ▶	
Address (number, street, and apt. or suite no.) 5901 Broken Sound Parkway NW	Requester's name and address (optional)
City, state, and ZIP code Boca Raton, FL 33487	
List account number(s) here (optional)	

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on Line 1 to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Social security number
or
Employer identification number
59 2355134

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below).

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN. See the instructions on page 4.

Sign Here	Signature of U.S. person ▶ <i>Susan K. Hill</i>	Date ▶ <i>1-29-09</i>
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General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income.

Note. If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.

The person who gives Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States is in the following cases:

- The U.S. owner of a disregarded entity and not the entity,