



Public Building Commission of Chicago  
Richard J. Daley Center, Room 200  
50 W. Washington Street  
Chicago, Illinois 60602  
[www.pbcchicago.com](http://www.pbcchicago.com)

**PROFESSIONAL SERVICES  
AGREEMENT**

**SUPPLY, DELIVERY, AND  
INSTALLATION OF INSULATED  
PANELS/ACCESSORIES FOR  
WINDOW MOUNTED AIR  
CONDITIONING UNITS - PS2055A**

**PUBLIC BUILDING COMMISSION OF CHICAGO**

**AND**

**AUBURN CORPORATION**

**FOR**

**SUPPLY, DELIVERY, AND INSTALLATION OF INSULATED  
PANELS/ACCESSORIES FOR WINDOW MOUNTED AIR CONDITIONING UNITS**

**CONTRACT NUMBER PS2055A**

Public Building Commission of Chicago  
Richard J. Daley Center, Room 200  
50 W. Washington Street  
Chicago, Illinois 60602  
[www.pbcchicago.com](http://www.pbcchicago.com)

FIRM NAME:	Auburn Corporation
CONTACT NAME:	Richard Erickson
CONTACT TELEPHONE:	708-349-7676
CONTACT EMAIL:	Rerickson@auburncorp.com
ADDRESS:	10490 W. 164th Place Orland Park, IL 60467

Mayor Rahm Emanuel  
Chairman

Felicia S. Davis  
Executive Director

## TABLE OF CONTENTS

### Title

Execution Page

Schedule A, Terms and Conditions

Schedule B, Scope of Services

Schedule C, Compensation of Firm

Schedule D, Key Personnel

Schedule E, Insurance Requirements

Exhibit A-Legal Actions

Exhibit B-Disclosure Affidavit

Exhibit C-Disclosure of Retained Parties

Exhibit D-Special Conditions for M/WBE

Exhibit 1- Air Conditioner Types/Accessories with Delivery Locations Matrix

EXECUTION PAGE

**SUPPLY, DELIVERY, AND INSTALLATION OF INSULATED PANELS/ACCESSORIES FOR WINDOW  
MOUNTED AIR CONDITIONING UNITS – PS2055A**

**THIS AGREEMENT** effective as of April 14, 2015, but actually executed on the date witnessed, is entered into 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, 50 West Washington Street, Chicago, Illinois 60602, (the "**Commission**"), and **Auburn Corporation** with offices at 10490 W. 164<sup>th</sup> Place, Orland Park, IL 60467 (the "**Seller**").

**Recitals:**

**Whereas**, the Commission intends to undertake from time to time the acquisition, demolition, renovation, development, construction and/or improvement of buildings, facilities and other improvements ("Project") located in the City of Chicago ("City") at the request of various governmental and public agencies ("User Agency").

**WHEREAS**, the Commission requires certain professional services as described in Schedule B of the Agreement (the "Services") in connection with the Projects undertaken by the Commission for the use and benefit of a User Agency.

**WHEREAS**, the Seller desires to be retained by the Commission to perform the Services and has represented to the Commission that the Seller is qualified and competent, by education and training, and has the knowledge, skill, experience and other resources necessary to perform the Services required by the Agreement in accordance with terms and conditions of the Agreement.

**WHEREAS**, in reliance upon the Seller's representations, the Commission has selected the Seller to perform the Services on the terms and conditions set forth in this Agreement as modified from time to time by Task Order.

**NOW, THEREFORE**, the parties have executed this Agreement on the terms and conditions that follow:

EXECUTION PAGE

SUPPLY, DELIVERY, AND INSTALLATION OF INSULATED PANELS/ACCESSORIES FOR WINDOW  
MOUNTED AIR CONDITIONING UNITS - PS2055A

~~PUBLIC BUILDING COMMISSION OF CHICAGO~~

Rahm Emanuel

Mayor Rahm Emmanuel  
Chairman

Date: \_\_\_\_\_

ATTEST:

Lori Ann Lypson

Lori Ann Lypson  
Secretary

Date: 7/22/15

Approved as to form and legality:

Anne L. Zredd

Neal & Leroy, LLC

Date: 7-9-15

SELLER: AUBURN CORPORATION

Joe Va

President

Date: 7/8/15

AFFIX CORPORATE  
SEAL, IF ANY, HERE

County of: Cook

State of: IL

Subscribed and sworn to before me by \_\_\_\_\_ and \_\_\_\_\_

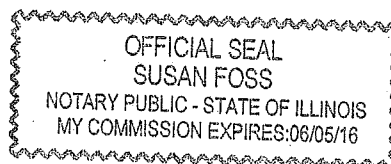
on behalf of Seller this 8th day of July 20 15

Susan Foss

Notary Public

My Commission expires: 6/5/16

(SEAL OF NOTARY)



## SCHEDULE A TERMS AND CONDITIONS

1. **Recitals.** The Recitals set forth on the Execution Page of this Agreement are hereby incorporated herein by reference.

2. **Definitions.** The herein words and phrases have the following meanings for purposes of this Agreement.

a. **Agreement** means this Professional Services Agreement for the Services described herein, including all schedules, exhibits or documents attached hereto and/or incorporated by reference herein, and all amendments, supplements or Task Orders made in accordance with the terms hereof.

b. **Commission** means the Public Building Commission of Chicago, a municipal corporation organized under the Public Building Commission Act of the State of Illinois, as amended, or its duly authorized officers or employees.

c. **Seller** means the company or other entity identified in this Agreement, and such successors or assigns, if any, as may be authorized to perform the Services required by the terms and conditions of this Agreement.

d. **CW System** or **CW** means the on-line collaboration workspace and document management system established and maintained by the Commission for electronic submission and receipt of documents and reports.

e. **Deliverables** means the documents, in any format (electronic or hard copy) requested by the Commission, including without limitation drawings, plans, reports, forms, recommendations, and analyses, that the Seller is required under this Agreement to provide to the Commission.

f. **Equipment** means the articles or physical resources, tangible or intangible, including but not limited to, hardware, firmware or software enabling the Commission to implement the Projects and Seller to perform the Services under this Agreement.

g. **Executive Director** means the person employed by the Commission as its Executive Director or the duly authorized representative thereof.

h. **Key Personnel** means those job titles and persons as identified in such positions in Schedule E of this Agreement.

i. **Services** means collectively, the duties, responsibilities and tasks that are necessary in order for the Seller to provide the Scope of Services required by the Commission under Schedule B of this Agreement and the assigned Task Order.

j. **Sub-Seller or Subcontractor** means a partnership, firm, corporation or entity other than the Seller that furnishes labor, materials and/or equipment to the Seller related to the performance of the Services and/or improvement of the Project.

k. **Task Order** means a document issued by the Commission to the Seller pursuant to this Agreement that authorizes in writing Services and/or Deliverables to be provided by the Seller, together with any applicable exhibits or schedules, a timetable for any Deliverables and the applicable fees.

2. **Incorporation of Documents.** The Resolution passed by the Board of Commissioners of the Commission on October 1, 2009, concerning utilization of minority business enterprises ("MBE") and women business enterprises ("WBE"), as the same may be amended from time to time, is hereby incorporated in and made a part of this Agreement. By executing this Agreement, Seller acknowledges and agrees that Seller is familiar with the contents of such Resolution and will comply fully with all applicable portions thereof in performing the Services.

3. **Engagement and Standards for Performing Services.**

a. **Engagement.** The Commission hereby engages the Seller, and the Seller hereby accepts such engagement, to provide the Services described in this Agreement, as the same may be amended, in writing, from time to time by mutual agreement of the Commission and the Seller.

b. **Performance Standard.** The Seller 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 in the field consistent with that degree of skill and care ordinarily exercised by practicing consulting professionals performing services of a scope, purpose, and magnitude comparable with the Services to be provided under this Agreement and the assigned Task Order. If in the course of performing the Services, Seller identifies any condition, situation, issue or problem that may impact the performance of the Services or the Project, Seller shall promptly provide notice to the Commission.

c. **Seller's Personnel.** The Seller agrees that it will assign at all times during the term of the Agreement the number of experienced, appropriately trained employees necessary for the Seller to perform the Services under this Agreement and the assigned Task Order in the manner required by this Agreement. Seller must not reassign or replace Key Personnel without the written consent of the Commission. Seller must ensure that all Services and Deliverables that require the exercise of professional skills or judgment are accomplished by professionals qualified and competent in the applicable discipline and appropriately licensed, if required by law. Seller must maintain current copies of any such licenses and provide such copies, upon request, to the Commission. Seller remains responsible for the professional and technical accuracy of all Services and Deliverables furnished, whether by the Seller or others on its behalf. Seller must at all times use its best efforts on behalf of the Commission to assure timely and satisfactory rendering and completion of the Services. Seller must perform all Services in accordance with the terms and conditions of this Agreement, to the reasonable satisfaction of the Commission. All Deliverables must be prepared in a format satisfactory to the Commission and delivered in a timely manner consistent with the requirements of this Agreement and the assigned Task Order.

d. **Independent Contractor.** In performing the Services under this Agreement, Seller shall at all times be an independent contractor, and does not and must not act or represent itself as an agent or employee of the Commission or the User Agency. As an independent contractor, Seller is solely and wholly responsible for determining the means and methods for performing the Services. The Agreement will not be construed as an agreement of partnership, joint venture, or agency.

e. **Limitations on Sub-Sellers and Subcontractors.** Seller must not use any business or individual who is disqualified by the Commission or debarred under any other governmental agency's procedures to provide the Services under the Agreement.

f. **Failure to Meet Performance Standard.** If the Seller fails to comply with its obligations under the standards of the Agreement, the Seller must perform again, at its own expense, all

Services required to be re-performed as a direct or indirect result of that failure. Any review, approval, acceptance or payment for any of the Services by the Commission does not relieve Seller of its responsibility to render the Services and Deliverables with the professional skill and care and technical accuracy required by the Agreement. This provision in no way limits the Commission's rights against the Seller, either under the Agreement, at law or in equity.

g. **Changes to the Services.** The Commission may from time to time, request changes to the terms of the Agreement, Task Order or the Services of the Seller to be performed hereunder. Such changes, including any increase or decrease in the amount of compensation and revisions to the duration of the Services or timetable for Deliverables, which are mutually agreed upon by and between the Commission and Seller, shall be incorporated in a written amendment to this Agreement or the Task Order. The Commission shall not be liable for any changes absent such written amendment.

4. **Representations and Warranties.** Seller represents, warrants and covenants that (a) it will comply with all laws and regulations in performing the Services; (b) it will perform the Services in accordance with the terms and conditions of the Agreement in a professional and workmanlike manner consistent with best industry standards and practice; (c) it possesses all right, power and authority to enter into this Agreement; (d) all Deliverables shall be original works of Seller or that Seller shall have all rights necessary to provide such Deliverables; and (e) neither the Services, Deliverables or any other materials or any part thereof, provided to the Commission shall infringe any patent, copyright, trademark, trade secret or other proprietary right of a third party. If any Services performed by Seller fail to meet the above warranties, then without limiting any other remedies at law or in equity, Seller shall promptly correct or re-perform any such affected Services at no cost to the Commission. Further, Seller acknowledges that the Commission has entered or will enter into agreements with third party vendors to provide a third party data hosting site and a disaster recovery site. Seller agrees to abide by all rules, regulations and other requirements prescribed by such third party vendors in order to gain access to the Equipment and perform the Services required by this Agreement.

5. **Duties and Obligations of Seller.**

a. **Nondiscrimination.** The Seller agrees that in performing this Agreement 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 Age Discrimination Act, 43 U.S.C. Sec. 6101-6106 (1981); Illinois Human Rights Act 775 ILCS 5/1-101 et. Seq. and the Public Works Employment Discrimination Act 775 ILCS 10/0.0 1 through 10/20, the Chicago Human Rights Ordinance, Chapter 2-160, Section 2-160-010 et seq. of the Municipal Code (1990), as amended, and a Resolution passed by the Board of Commissioners of the Public Building Commission of Chicago on October 1, 2009, concerning participation of Minority Business Enterprises and Women Business Enterprises on contracts awarded by the Commission. The Seller will furnish such reports and information as requested by the Commission or 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 Seller 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. Attention is called to [Illinois Compiled Statutes, 1992 relating to Wages and Hours including 820 ILCS 130/0.01 through 130/12 thereof (Prevailing Wage Act), 30 ILCS 570/1 through 570/7 (Employment of Illinois Workers on Public Works Act) and 30 ILCS 560/0.01 through 560/7 (Public Works Preference Act).] The Seller 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 Seller, 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 Seller to the respective employees to whom they are due.

c. **Ethics.** The Seller has read and agrees to comply with all provisions of the Code of Ethics Resolution passed by the Commission on October 3, 2011, which is available on the Commission's website at [www.pbcchicago.com/pdf/RES\\_PBC\\_eccr\\_CodeofEthicsConsolApril%202013\\_20130405.pdf](http://www.pbcchicago.com/pdf/RES_PBC_eccr_CodeofEthicsConsolApril%202013_20130405.pdf) and is incorporated into this Agreement by reference. Any contract negotiated, entered into, or performed in violation of any of the provisions of this Section will be voidable by the Commission.

d. **Inspector General.** The Seller and its subSellers, including all officers, directors, agents, partners and employees of such entities shall cooperate with the Inspector General of the Public Building Commission in any investigation or hearing undertaken pursuant to Public Building Commission Resolution 7576 adopted by the Board of Commissioners of the Public Building Commission of Chicago on October 1, 2010. On projects funded by the City of Chicago, the Seller and its subSellers, including all officers, directors, agents, partners and employees of any such entities, shall cooperate with the Inspector General of the City in any investigation or hearing undertaken pursuant to Chapter 2-56 of the Chicago Municipal Code. Each Seller understands and will abide by all provisions of Chapter 2-56 of the Municipal Code of Chicago. All Sellers will inform their respective subSellers of this provision and require compliance herewith. Seller shall cooperate and comply with the Inspector General of the User Agency in any investigation or hearing undertaken pursuant to the enabling ordinance or resolution pertaining to the authority of such Inspector General that has been promulgated by such User Agency.

e. **Delays.** The Seller 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 Seller 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.

f. **Records.** The Seller shall maintain accurate and complete records of expenditures, costs and time incurred by Seller 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 Seller's offices upon reasonable notice during normal business hours. Seller shall retain all such records for a period of not less than five calendar years after the termination of this Agreement.



g. **CW System.** The Commission may require the Seller to use the Commission's electronic document management system in performing the Services and the assigned Task Order. At the direction of the Commission, the Seller must follow the CW procedures and submit progress reports and other Deliverables through the CW System. The Seller must attend courses and receive training on the CW System provided by or on behalf of the Commission. Any costs incurred by Seller as a result of the attendance of Seller's personnel at CW System courses are not compensable by the Commission.

h. **Time of Essence.** The Seller 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 completion of the Project by the Commission. Seller agrees to use its best efforts to expedite performance of the Services and the assigned Task Order and performance of all other obligations of the Seller under this Agreement and any other agreement entered into by the Commission which are managed or administered by the Seller as a result of the Seller's engagement hereunder.

i. **Compliance with Laws.** In performing its engagement under this Agreement, the Seller shall comply with all applicable federal, state and local laws, rules and regulations including but not limited to, those referenced in subparagraphs (a) and (b) above.

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

## **6. Term.**

a. a. The term of this Agreement shall begin upon the final execution of this Agreement, and, subject to the provisions of subparagraph (b) below, shall expire upon completion of the Services and acceptance thereof by the Commission or, if the Services are of an ongoing nature, on the completion date specified in such Request for Services. The Commission and the Seller may, from time to time, by mutual agreement, extend the term of this Agreement by amending this Agreement.

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 Seller 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 Seller hereunder with respect to all or any part of the Services, by written notice given to the Seller at least five (5) days prior to the effective date of suspension. Termination or suspension of this Agreement shall not relieve the Seller from liability for the performance of any obligation of the Seller under this Agreement performed or to have been performed by the Seller on or before the effective date of termination or suspension. Provided the Seller is not in default under this Agreement at the time of termination or suspension, the Commission agrees to pay to the Seller, in accordance with the terms of this Agreement, all compensation due to the Seller for periods up to the effective date of termination or suspension. In no event shall the Commission be liable to the Seller for any loss, cost or damage which the Seller 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 Seller for actual expenses approved by the Commission.

c. If the Project, in whole or substantial part, is stopped for a period longer than thirty (30) days under an order of any court or other governmental authority having jurisdiction of the Project, or as a result of an act of government, such as a declaration of national emergency making materials unavailable, through no act or fault of the Seller, or if the Commission fails to make any payment or

perform any other obligation hereunder, the Seller shall have the right to terminate this agreement, by written notice given to the Commission at least seven (7) days prior to the effective date of termination, and shall have the right to recover from the Commission all compensation and reimbursements due to the Seller for periods up to the effective date of termination.

7. **Compensation of Seller; Submission of Invoices through CW.** The total amount of all fees to be paid by the Commission during the term of this Agreement shall not exceed the sum of \$1,500,000.00. The Commission shall compensate the Seller for the Services in the manner set forth in Schedule C of this Agreement, or as modified by written authorization. The Seller shall submit all invoices, no more frequently than once every thirty (30) days, in electronic format using the CW System. All submitted invoices shall include a cover page as provided by the Commission and the assigned Task Order number (if applicable). Failure to submit invoices through CW will result in delayed or non-payment to the Seller.

8. **Rights and Obligations of Commission.** In connection with the administration of the Project by the Commission and the performance of this Agreement by the Seller, 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 Seller all reasonably requested information concerning the Commission's requirements for the Project and the Services.

b. **Review of Documents.** Subject to the provisions of subparagraph 5(d) above, the Commission agrees to make a reasonable effort to examine documents submitted by the Seller and render decisions pertaining thereto with reasonable promptness.

c. **Site Data.** To the extent the Commission determines to be necessary for the Seller to perform the Services and the assigned Task Order, the Commission may furnish to the Seller information concerning the nature of the Project, existing conditions and other data or reports pertaining to the site and the proposed development thereof.

d. **Tests and Reports.** The Commission may also furnish structural, civil, chemical, mechanical, soil mechanical and/or other tests and reports if determined by the Commission in its sole discretion to be necessary in order for the Seller to perform the Services.

e. **Legal, Auditing and other Services.** The Commission shall arrange and pay for such legal, auditing, insurance counseling and other services as the Commission, in its sole discretion, may determine to be required for the Seller to perform the Services. Such payments shall not include legal or auditing expenses arising out of or relating to any errors or omissions, or claimed errors or omissions, of Seller.

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

g. **Ownership of Documents.** All documents, data, studies and reports prepared by the Seller or any party engaged by the Seller, pertaining to the Services shall be the property of the Commission, including copyrights.

h. **Audits.** The Commission shall have the right to audit the books and records of the Seller on all subjects relating to the Services.

9. **Indemnification of Commission and Third Party Vendors.** The Seller hereby agrees to indemnify, keep and save harmless the Commission and the User Agency and their respective commissioners, board members, officers, agents, officials and employees and any third party hosting site

or disaster recovery site 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 Seller or any person employed by the Seller to the maximum extent permitted by applicable law.

**10. Insurance to be Maintained by Seller.** The Seller shall purchase and maintain at all times during the performance of Services hereunder, for the benefit of the Commission, the User Agency and the Seller, insurance coverage as set forth in Schedule D.

**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 Seller duly to observe or perform any obligation or Agreement on the part of the Seller 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 Seller by the Commission;

ii. Failure of Seller to perform the Services to the standard of performance set forth in this Agreement;

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

iv. The Seller 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

v. There shall be commenced any proceeding against the Seller 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 Seller's consent or acquiescence, any trustee, receiver, liquidator or other custodian of Custodian or of all or any substantial part of the Seller'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 Seller, in which event the Commission shall have no further obligations hereunder or

liability to the Seller except as to payment for Services actually received and accepted by the Commission through the effective date of termination. No course 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. Confidentiality.** All of the reports, information, or data prepared or assembled by the Seller under this Agreement are confidential, and the Seller 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 Seller 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, the Services or any assigned Task Order. Seller acknowledges that it is entrusted with or has access to valuable and confidential information and records of the Commission and User Agency. Seller must at all times act in the best interests of the Commission and User Agency consistent with the professional obligations assumed by Seller in entering into this Agreement. Seller promises to cooperate with the officials, employees and agents of the Commission and User Agency in furthering the Commission's and User Agency's interests.

**13. Assignment.** The Seller acknowledges that the Commission is induced to enter into this Agreement by the personal qualifications of the principals, staff and employees of the Seller and agrees, therefore, that neither this Agreement nor any right or obligation hereunder may be assigned by the Seller, in whole or in part, without the prior written approval of the Commission. The Commission expressly reserves the right to assign or otherwise transfer all or any part of its interests hereunder without the consent or approval of the Seller.

**14. Personnel.** The Seller further acknowledges that the Seller has represented to the Commission the availability of certain members of the Seller's staff who will be assigned to the Project, and agrees, therefore, that in the event of the unavailability of such members, the Seller shall so notify the Commission in writing, and, upon the approval of the Executive Director, shall assign other qualified members of the Seller's staff, to the Project.

**15. Relationship of Parties.** The relationship of the Seller to the Commission hereunder is that of an independent contractor, and the Seller, except to the extent expressly provided to the contrary in this Agreement, 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. Task Orders.** Upon execution of this agreement, the Commission shall issue Seller a Task Order describing the panels and associated services/accessories required, utilizing pricing as described in Schedule C. Upon receipt of the executed Task Order, Seller is required to provide items as noted. If any panel/accessory/service is authorized but not utilized, Seller will be required to issue an appropriate credit, as dictated by Schedule C, to the Commission.

17. **Miscellaneous.**

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

b. **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.

c. **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 Seller 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 Seller is not in default of any obligation of the Seller hereunder, the Commission shall pay to the Seller, according to the terms hereof, all compensation and reimbursements due to the Seller for periods up to the effective date of suspension.

d. **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.

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

f. **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 Seller 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 Seller 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.

g. **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.

h. **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.

i. **Seller's Authority.** Execution of this Agreement by the Seller 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 signatures(s) of each person signing on behalf of the Seller have been made with complete and full authority to commit the Seller to all terms and conditions of this Agreement, including each and every representation, certification and warranty contained or incorporated by reference in it.

**SCHEDULE B  
SCOPE OF SERVICES  
SUPPLY, DELIVERY, AND INSTALLATION OF INSULATED PANELS/ACCESSORIES FOR WINDOW  
MOUNTED AIR CONDITIONING UNITS – PS2055B**

**(SCOPE OF SERVICES FOLLOWS THIS PAGE)**

**SCOPE OF SERVICES**  
**SUPPLY, DELIVERY, AND INSTALLATION OF INSULATED PANELS/ACCESSORIES FOR WINDOW**  
**MOUNTED AIR CONDITIONING UNITS – PS2055B**

The Seller will provide the following Services as outlined in Exhibit A and determined by the Commission:

**Air Conditioner Panel Supply**

Supply, measure, cut to size, coordinate, deliver and unload composite infill window panels.

- Field measurement of every window that is to receive panel and ensure correct sizing;
- 1" factory formed and assembled composite infill panel incorporating 2 metal sheets and core materials that are laminated into a monolithic unit by High Standard;
- Panels consist of 0.025 inch minimum coil coated aluminum sheet with a smooth flat two coat Fluoropolymer finish, .125" hardboard backer, and 5/8" gypsum board core;
- Hole cut into the panel to the correct size for the specified air conditioning unit;
- Bone White, Bronze, or Sahara Sand Finish at exterior with Bone White Finish at Interior. Color selection as directed by the architect;
- Glazing Depth conversion kit which where necessary to get 1" panel glazed, has exposed fasteners;
- Expedited measuring process during non-school hours and expedited production.

**Air Conditioner Bracket Supply**

Supply painted aluminum air conditioner bracket sized to accommodate the newly purchased air conditioners for the Chicago Public Schools.

- 1½ x 1½" x 1/8" aluminum welded and ground surround bracket and aluminum angle support bracket;
- Selected White Color Fluoropolymer finish. Color selection as directed by the architect;
- Expedited production;
- Logistical coordination;
- Delivery;
- Unloading

**Air Conditioner Installation**

Install new Commission supplied air conditioning units using new panel and air conditioning bracket.

- Un-package and disposal of new air conditioner packing material;
- Air conditioner package content to be left in room, including any remotes or directions;
- Removal of existing glass or panel in the locations that will receive new panels;
- Installation of new 1" panel into the existing window top sash and fix the sash in place;
- Installation of new ½" x 1" L-angle when needed to adjust the depth of the glazing pocket. This solution to a glazing pocket that is not 1" does incorporate exposed fasteners;
- Installation of new air conditioner bracket and support into panel;
- Installation of new air conditioner sleeve into the new air conditioner bracket;
- Installation of new air conditioner unit into sleeve;
- Material and labor for fixing of all operable sash to make inoperable. Face screws to be used to fasten sash shut. Where needed, Seller to use additional stops under sash;
- Mobilization and demobilization;
- All necessary caulk and fasteners;
- Verification of sizing;

**Cut Hole in Existing Guard Mesh**

Seller to modify the existing guard as needed to accommodate the newly installed window mounted air conditioning unit by field cutting a hole in the mesh or wire, and fixing the guard in the closed position.

**Miscellaneous**

The term of this Agreement will expire when all Services required by this Agreement have been completed to the reasonable satisfaction of the Commission.

The Seller must identify a primary point of contact for the Services and provide contact information to the Commission.

The Commission shall designate an Authorized Commission Representative as a primary contact for the supply, delivery and installation of insulated panels and accessories for window mounted air conditioning units. The Seller must coordinate all deliveries with the Authorized Commission Representative.

Regardless of whether a time limit is specified for particular tasks or duties, it is intended that the Seller will perform its Services promptly, with sufficient staffing, and all in accordance with the standard of performance in this Agreement.

**Authorize Commission Representative:** Ray Giderof

**Final Delivery Date:** August 21, 2015

**Delivery Locations:** 34 Chicago Public School facility locations as detailed in Exhibit 1 – Delivery Locations

Coordinate in advance all deliveries with Authorized Commission Representative via email at [Ray.giderof@cityofchicago.org](mailto:Ray.giderof@cityofchicago.org).

**REMAINDER OF PAGE INTENTIONALLY LEFT BLANK**



**SCHEDULE C  
COMPENSATION OF THE SELLER  
SUPPLY, DELIVERY, AND INSTALLATION OF INSULATED PANELS/ACCESSORIES FOR WINDOW  
MOUNTED AIR CONDITIONING UNITS – PS2055B**

**C.1 SELLER'S FEE**

- C.1.1 The Commission shall pay the Seller for the satisfactory performance of the Services for all work included in Schedule B, inclusive of direct expenses. The Seller will be authorized, via executed Task Orders, for all Services as described herein. The Fee of each Task Order will correspond with unit pricing as described below.

Description of Item	Anticipated Quantity	Unit of Measure	Unit Price
Complete full installation of window mounted air conditioner	739	each	\$1,844.00
Complete modified installation of window mounted air conditioner (utilizing existing panel)	0	each	\$1,400.00
Supply of composite or infill panel or glass	4	each	\$500.00
Labor for Installing Composite Infill panel or glass	4	each	\$375.00
Supply painted aluminum bracket assembly	0	each	\$275.00
Removal & disposal of old air conditioner	109	each	\$225.00
Removal & CPS retention of Air Conditioner	20	each	\$125.00
Fire-rated window application	20	each	\$345.00
Panel/sash replacement for Air Conditioner bracket installation	2	each	\$158.00
Air boom lift	3	each	\$1,500.00
<b>Miscellaneous</b>			
Replacement of glazing stops	0	each	\$95.00
Curved glazing	0	each	\$110.00
Glass block removal and installation of new window	0	each	\$3,400.00
Muntin replacement	0	each	\$125.00
New Window Guard installation	0	each	\$1,700.00
Over-sized panel installation	0	each	\$100.00

- C.1.2. Seller'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 METHOD OF PAYMENT**

- C.2.1 The Seller will submit an invoice for each facility identified in Exhibit 1 which will be paid in one lump sum for each facility after all Services have been completed to the reasonable satisfaction of the Commission.

C.2.1.a. The Seller will submit invoices via Collaboration Workspace (CW) to the Commission's according to the dates in C.2.1 found above.

### **C.2.2 Invoices.**

Once each month, the Seller will electronically submit each invoice to the Commission as detailed in the Terms and Conditions of this Agreement, Section 4. Duties and Obligations of Seller, Item g. Document Control. Each invoice shall reflect the agreed upon invoicing dates and progress payments outlined in C.2.1.

Each invoice must reference the contract number and be supported with such reasonable detail and data as the Commission may require, including detail and data related to SubSeller costs. In accordance with the terms of the Agreement, the Seller 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 the reasons for such variances.

The Seller must attach MBE and WBE utilization reports on the form entitled "Status Report of MBE and WBE Sub-Contract Payments", at the time of submitting each monthly invoice for review and approval. The report should indicate the current and cumulative payments to the MBE and WBE sub-Sellers.

- C.2.3 Payment will be processed within 30 days after Commission receives an acceptable invoice from the Seller.
- C.2.4 Invoice Disputes. If the Commission disputes certain items in the Seller's invoices, the amount not disputed will be paid in full. The amount in question must be resolved in accordance with the Claim and Disputes provisions of this Agreement.

**REMAINDER OF PAGE INTENTIONALLY LEFT BLANK**

SCHEDULE D  
KEY PERSONNEL

(INTENTIONALLY OMITTED)

**SCHEDULE E**  
**INSURANCE REQUIREMENTS**  
**SUPPLY, DELIVERY, AND INSTALLATION OF INSULATED PANELS/ACCESSORIES FOR WINDOW**  
**MOUNTED AIR CONDITIONING UNITS – PS2055B**

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

**E.1. INSURANCE TO BE PROVIDED:**

**E.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 \$1,000,000 each accident, illness, or disease.

**E.1.2. Commercial General Liability (Primary and Umbrella)**

Commercial General Liability Insurance or equivalent with limits of not less than \$2,000,000 per occurrence for municipal facilities insuring bodily injury, personal injury, and property damage liability. Coverage must include, but are not limited to the following: All premises and operations, products/completed operations, separation of insureds, defense and contractual liability. The Public Building Commission of Chicago, the City of Chicago and the User Agency must be named as Additional Insured on a primary, non-contributory basis for any liability arising directly or indirectly from the work.

Subcontractors performing work for Seller must maintain limits of not less than \$1,000,000 per occurrence with the same terms herein.

**E.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 Seller must provide Automobile Liability Insurance, with limits of not less than \$2,000,000 per occurrence for bodily injury and property damage. The Public Building Commission of Chicago, the City of Chicago and the User Agency must be named as Additional Insured on a primary, non-contributory basis.

Subcontractors performing work for the Seller must maintain limits of not less than \$1,000,000 per occurrence with the same terms herein.

**E.1.4. Property**

The Seller is responsible for all loss or damage to the Commission, the User Agency and/or the Owner's property at full replacement cost. The Seller shall be responsible for all air conditioning units and accessories while on the premises up to the point that the installation has been accepted by the

Commission. The Seller 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 Seller.

#### E.1.5. Valuable Papers

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

#### E.1.6. Contractors Pollution Liability

Contractors Pollution coverage is required with limits of not less than \$2,000,000 per occurrence for any portion of the services, which may entail, exposure to any pollutants, whether in the course of sampling, remedial work or any other activity under this contract. The contractor pollution liability policy will provide coverage for sums that the insured become legally obligated to pay as loss as a result of claims for bodily injury, property damage and/or clean-up costs caused by any pollution incident arising out of the Work including remediation operations, transportation of pollutants, owned and non-owned disposal sites and any and all other activities of Contractor and its subcontractors. Pollution incidents will include, but not be limited to, the discharge, dispersal, release or escape of any solid, liquid, gaseous or thermal irritant or contaminant, including but not limited smoke, vapors, soot, fumes, acids, alkalis, toxic chemicals, medical waste, waste materials, lead, asbestos, silica, hydrocarbons and microbial matter, including fungi, bacterial or viral matter which reproduces through release of spores or the splitting of cells or other means, including but not limited to, mold, mildew and viruses, whether or not such microbial matter is living.

The policy will be maintained for a period of three years after final completion and include completed operations coverage. The policy will include the Public Building Commission of Chicago, the City of Chicago and the User Agency as Additional Insured on a primary and non-contributory basis for on going and completed operations.

Subcontractors performing work for Seller must maintain limits of not less than \$1,000,000 per occurrence with the same terms herein.

### E.2. ADDITIONAL REQUIREMENTS

The Seller 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 policy has an expiration or renewal date occurring during the term of this Agreement. The Seller must submit evidence of insurance to the Commission prior to Agreement award. 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 Seller is not a waiver by the Commission of any requirements for the Seller

to obtain and maintain the specified insurance. The Seller will advise all insurers of the Agreement provisions regarding insurance. Non-conforming insurance does not relieve Seller 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 Seller and/or its subcontractors at any time upon written request.

The insurance must provide for 30 days prior written notice to be given to the Commission if coverage is substantially changed, canceled, or non-renewed.

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

The Seller thereby waives and agrees that their insurers waive their rights of subrogation against the Public Building Commission of Chicago, the City of Chicago and the User Agency, their respective Board members, employees, elected officials, or representatives, and/or the property owner designated in the scope of the work.

If Seller 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 insurance coverage and limits provided by Seller in no way limit the Seller's liabilities and responsibilities specified within the Agreement or by law.

Any insurance or self-insurance programs maintained by the Public Building Commission of Chicago, the City of Chicago and the User Agency do not contribute with insurance provided by the Seller 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.

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

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

Seller must submit the following:

1. Standard ACORD form Certificate of Insurance issued to the Public Building Commission of Chicago as Certificate Holder including:
  - a. All required entities as Additional Insured

- b. Evidence of waivers of subrogation
  - c. Evidence of primary and non-contributory status
2. All required endorsements including the CG2010

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

**REMAINDER OF PAGE INTENTIONALLY LEFT BLANK**

**EXHIBIT 1**  
**AIR CONDITIONER TYPES/ACCESSORIES WITH DELIVERY LOCATIONS MATRIX**

**ATTACHED HERETO**



EXHIBIT 1

2015 SUMMER A/C PROGRAM - Master Schools Matrix (ALL REGIONS) Updated 6/26/15

Public Building Commission of Chicago • Richard J. Daley Center • 50 West Washington, Room 200 • Chicago, Illinois 60602 • Tel: 312-744-3080 • Fax: 312-744-8005

Project Number	School Name	Address	Alternate Address	PIN	2015 Ward	Architect of Record (AOR)	Engineer of Record (AOR)	Environmental Consultant (EC)	Panel Vendor	Replace Existing A/C						New A/C						Total Proposed A/Cs						Window Frame Color	Panel Color	
										2 Ton	1 Ton	1 Ton	2 Ton	Split	Split	2 Ton	1 Ton	1 Ton	2 Ton	Split	Split	2 Ton	1 Ton	1 Ton	2 Ton	Split	Split			
05901	Armstrong	2110 W. Greenleaf Ave.	2111 W. Estes St.	11-31-106-001-0000	50	SWNGA	CCIM	GS	Jensen	2	3	0	0	0	18	9	0	0	0	0	0	20	12	0	0	0	0	Off White	Bone White	
05903	Beaubien	5025 N. Laramie Ave.	5101 W. Winnemac Ave.	13-09-412-001-0000	45	SWNGA	Maestros	GS	Jensen	12	6	0	0	0	18	8	0	0	0	0	0	30	14	0	0	0	0	Green	Sandstone	
05904	Bell	3730 N. Oakley Ave.	3700 N. Oakley Ave.	14-19-117-001-0000	47	SWNGA	CCIM	GS	Jensen	4	2	0	0	0	25	9	0	1	0	0	0	39	11	0	1	0	0	Green	Bronze	
05905	Blaine	1420 W. Grace St.	1430 W. Grace St.	14-20-107-002-0000	44	SWNGA	CCIM	GS	Jensen	11	1	0	0	0	28	3	0	0	0	0	0	39	4	0	0	0	0	Tan	Almond	
05906	Cleveland	3121 W. Byron St.	3831 N. Troy St.	13-24-109-001-0000	33	SWNGA	CCIM	GS	Jensen	10	2	0	0	0	21	2	0	0	0	0	0	31	4	0	0	0	0	Bronze	Almond	
05908	Falconer	3020 N. Lamon Ave.	3000 N. Lamon Ave.	13-28-214-001-0000	31	SWNGA	Maestros	GS	Jensen	4	0	0	0	0	30	2	0	0	0	0	0	34	2	0	0	0	0	Off White	Sandstone	
05911	Gray	3730 N. Laramie Ave.	5500 W. Warwick Ave.	13-21-119-001-0000	45	SWNGA	Maestros	GS	Jensen	0	0	0	0	0	20	11	0	0	0	0	6	20	11	0	0	0	6 Tan	Sandstone		
05914	Lodge	2828 N. Oak Park Ave.	2845 N. Newcastle, 6800 W. George St.	13-30-136-001-0000	35	SWNGA	Maestros	GS	Jensen	4	0	0	0	0	28	3	0	0	0	0	0	32	3	0	0	0	0	Brown	Bronze	
05918	Murphy	3539 W. Grace St.	3729 N. Central Park Ave.	13-23-217-001-0000	35	SWNGA	CCIM	GS	Jensen	25	1	0	0	0	2	1	0	0	0	0	0	28	2	0	0	0	0	6 Tan	Almond	
05920	Palmer	5051 N. Kenneth Ave.	5018 N. Kostner Ave.	13-10-320-001-0000	39	SWNGA	Maestros	GS	Jensen	2	1	0	0	0	20	6	0	0	0	0	0	22	7	0	0	0	0	Green	Bronze	
05921	Portage Park	5330 W. Berteau Ave.	5359 W. Hutchinson St.	13-16-314-001-0000	38	SWNGA	Maestros	GS	Jensen	0	0	0	0	0	34	1	2	0	0	0	0	34	1	2	0	0	0	6 Tan	Sandstone	
05922	Swift	5900 N. Winthrop Ave.	5830 & 5832 N. Winthrop	14-05-400-015-0000	48	SWNGA	CCIM	GS	Jensen	11	0	0	0	0	15	0	0	0	0	0	0	26	0	0	0	0	0	6 Tan	Almond	
05902	Avondale/Logandale	2945 N. Sawyer	3212 W. George	13-26-221-001-0000	35	Legat	dbHMS	CCA	Jensen	10	2	0	0	0	9	8	9	0	19	10	9	0	19	10	9	0	0	DK Bronze	DK Bronze	
05930	Galileo	820 S. Carpenter St.	17-17-418-024-0000	25	Legat	dbHMS	CCA	Jensen	13	0	0	0	0	0	28	0	0	0	0	0	0	41	0	0	0	0	0	Colonial White	Bone	
05912	Hanson Park	5411 W. Fullerton Ave.	13-33-100-002-0000	36	Legat	dbHMS	CCA	Jensen	1	0	0	0	0	0	12	8	0	0	0	0	0	13	8	0	0	0	0	Bronze	Bronze	
05936	McCormick	2712 S. Sawyer Ave.	16-26-414-025-0000	22	Legat	dbHMS	CCA	Auburn	2	2	0	0	0	0	17	14	0	0	0	0	0	19	16	0	0	0	0	6 Tan	Sandstone	
05916	Monroe	3651 W. Schubert Ave.	2642 N. Monticello Ave.	13-36-313-001-0000	35	Legat	dbHMS	CCA	Jensen	2	0	0	0	0	17	21	0	0	0	0	0	31	0	2	0	0	0	6 Tan	Sandstone	
05917	Moos	1711 N. California Ave.	13-36-417-019-0000	1	Legat	dbHMS	CCA	Jensen	14	0	0	0	0	0	17	0	2	0	0	0	0	31	0	2	0	0	0	Almond	Almond	
05919	Nixon	2121 N. Keeler Ave.	2116 N. Kedvale Ave., 2101 N. Keeler	13-34-221-006-0000	35	Legat	dbHMS	CCA	Jensen	12	0	0	0	0	20	0	6	0	0	0	0	32	0	6	0	0	0	Bronze	Bronze	
05938	Pisakli	2230 W. McLean Ave.	1022 N. Oakley Ave	14-31-133-001-0000	1	Legat	dbHMS	CCA	Jensen	0	14	0	0	0	0	2	47	0	0	0	0	2	61	0	0	0	0	Cream	Sandstone	
05939	Salazar	160 W. Wendell St.	17-04-418-005-0000	43	Legat	dbHMS	CCA	Jensen	12	0	0	0	0	0	2	1	0	0	0	0	0	14	2	1	0	0	0	Almond	Almond	
05940	Saucedo	2850 W. 24th Blvd.	2832 W. 24th Blvd.	16-25-113-001-0000	12	Legat	dbHMS	CCA	Auburn	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	Tan	Sandstone	
05941	Spry	2400 S. Marshall Blvd.	2402 S. Sacramento Ave	16-25-118-001-0000	12	Legat	dbHMS	CCA	Auburn	1	2	22	0	0	4	12	29	0	0	0	0	5	14	51	0	0	0	6 Tan	Almond	
05947	Asburn	8300 S. Saint Louis Ave.	3500 W. 83rd Pl	19-35-400-045-0000	18	FGM	CS2	ATC	Auburn	5	0	0	0	0	28	0	0	0	0	0	0	33	0	0	0	0	0	Bronze	Bronze	
05950	Coles	8441 S. Yates Blvd.	8440 S. Phillips Ave.	21-31-308-001-0000	7	FGM	CS2	ATC	Auburn	3	2	0	0	0	21	0	0	0	0	0	0	24	2	0	0	0	0	Bone White	Bone White	
05927	Corkery	2510 S. Kildare Ave.	16-27-226-001-0000	22	FGM	Hydro Therm	Hydro Therm	ATC	Auburn	2	0	0	0	0	26	0	0	0	0	0	0	28	0	0	0	0	0	Bronze	Bronze	
05952	Davis	3014 W. 99th Pl.	19-01-401-001-0000	12	FGM	Milhouse	Hydro Therm	ATC	Auburn	8	10	0	0	0	12	21	0	0	0	0	0	20	31	0	0	0	0	Almond	Almond	
05931	Gary	3740 W. 81st St.	3000 S. Lawndale, 3001 S. Hamlin	16-26-328-001-0000	22	FGM	Hydro Therm	ATC	Auburn	3	0	0	0	0	29	0	0	0	0	0	0	32	0	0	0	0	0	Bronze	Bronze	
05932	Healy	3010 S. Parnell Ave.	3020 & 3040 S. Parnell	17-28-330-031-0000	11	FGM	Milhouse	ATC	Auburn	2	1	0	0	0	34	2	0	0	0	0	0	36	3	0	0	0	0	Sandstone	Sandstone	
05957	Marquette	6550 S. Richmond St.	2559 W. 66th St., 6500 S. Sacramento	19-24-120-003-0000	17	FGM	CS2	ATC	Auburn	8	0	0	0	0	33	1	0	0	0	0	0	41	1	0	0	0	0	Almond	Almond	
05958	Mt. Greenwood	10813 S. Homan Ave.	18041 S. Homan, 10851 S. Homan	24-24-410-001-0000	19	FGM	CS2	ATC	Auburn	0	3	0	0	0	0	56	0	0	0	0	0	59	0	0	0	0	0	Almond	Almond	
05959	Parker	6800 S. Stewart Ave.	6835 S. Normal Blvd.	20-21-311-002-0000	6	FGM	Milhouse	ATC	Auburn	32	0	0	0	0	0	43	0	0	0	0	0	75	0	0	0	0	0	Almond	Almond	
05962	Seward	4600 S. Hermitage Ave.	4616 S. Hermitage Ave.	20-06-402-008-0000	15	FGM	Milhouse	ATC	Auburn	11	5	0	0	0	8	14	0	0	0	0	0	19	19	0	0	0	0	Bronze	Bronze	
05963	Seward Branch	4545 S. Wood Street	4541, 4549 & 4553 S. Wood	20-06-414-035-0000	15	FGM	Milhouse	ATC	Auburn	0	1	0	0	0	0	19	0	0	0	0	0	20	0	0	0	0	0	Bone White	Bone White	
05944	Whitney	2815 S. Komensky Ave.	16-27-423-001-0000	22	FGM	Hydro Therm	Hydro Therm	ATC	Auburn	0	0	0	0	0	18	21	0	0	0	0	0	18	21	0	0	0	0	Almond	Almond	
05946	Zapata	2725 S. Kolin Ave.	16-27-409-008-0000	22	FGM	Hydro Therm	Hydro Therm	ATC	Auburn	0	0	0	0	0	6	0	0	0	0	0	0	6	0	0	0	0	0	White/Bronze	Bone White/Bronze	
Per Site Inspections-->										227	58	22	0	0	655	301	49	1	6	882	959	71	1	6						

00000	Region - A	2 Ton AC Unit	2 Ton
00000	Region - B	1 Ton AC Unit	1 Ton
00000	Region - C	1 Ton Casement AC Unit	1 Ton Cas.
00000		1 Ton Split System	1T Split
00000		2 Ton Split System	2T Split
Total AC Units-->			1,319

SUPPLY, DELIVERY, AND INSTALLATION OF INSULATED PANELS/ACCESSORIES FOR WINDOW MOUNTED AIR CONDITIONING UNITS  
Auburn Corporation

EXHIBIT A  
LEGAL ACTIONS

ATTACHED HERETO

Firm Name: \_\_\_\_\_

If the answer to any of the questions below is YES, you must provide a type written, brief description, and/or explanation on a separate sheet following this page. Each question must be answered.

Question	Yes	No
Has the firm or venture been issued a notice of default or any contract awarded to it in the last 3 years?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Does the firm or venture have any legally filed judgments, claims (liquidated damages, or other), arbitration proceedings or suits pending or outstanding against the firm or venture or its officers?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
If the answer to the preceding question is "Yes", provide the requisite explanation on a separate sheet and enter the dollar amount of claims or judgments and the contract value of the contract on which the claim was filed _____.	<input type="checkbox"/>	<input type="checkbox"/>
Within the past 3 years has the firm or venture been a party to any lawsuits or arbitration proceedings with regard to any contracts?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Within the last 3 years, has any officer or principal of the firm or venture ever been an officer or principal of another organization that failed to complete any contract as a result of termination, litigation, arbitration or similar matter?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Has any key person with the firm or venture or its predecessor ever been convicted of or charged with any state or federal crime (excluding traffic violations), including but not limited to, embezzlement, theft, forgery, bribery, falsification or destruction of records, receipt of stolen property, criminal anti-trust violations, bid-rigging or bid-rotating?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Has the firm or venture ever been temporarily or permanently debarred from contract award by any federal, state, or local agency?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Within the last 3 years, has the firm or venture been investigated or assessed penalties for any statutory or administrative violations (including but not limited to MBE, WBE, EEOC violations)?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Has the firm or venture ever failed to complete any work awarded to it?	<input type="checkbox"/>	<input checked="" type="checkbox"/>

EXHIBIT B  
DISCLOSURE AFFADAVIT

ATTACHED HERETO

Any firm proposing to conduct any business 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 Richard Erickson, as President  
Name Title

and on behalf of Auburn Corporation  
("Bidder/Proposer/Respondent or Contractor") having been duly sworn under oath certifies the following:

1. Name of Firm: Auburn Corporation
2. Address: 10490 W. 164th Place Orland Park, IL 60467
3. Telephone: 708-349-7676 Fax: 708-349-9461
4. FEIN: 36-2541930 SSN: \_\_\_\_\_
5. Nature of transaction (check the appropriate box):

- ☐ Sale or purchase of land  
☒ Construction Contract  
☐ Professional Services Agreement  
☐ Other \_\_\_\_\_

6. 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".

- ☒ Corporation  
☐ Partnership  
☐ Sole Proprietorship  
☐ Joint Venture

- ☐ Limited Liability Company  
☐ Limited Liability Partnership  
☐ Not-for-profit Corporation  
☐ Other: \_\_\_\_\_

N/A

REMAINDER OF PAGE INTENTIONALLY LEFT BLANK

**CORPORATIONS AND LLC'S**

1. State of Incorporation or organization: Illinois
2. Authorized to conduct business in the State of Illinois: ☒ Yes ☐ No
3. Identify the names of all officers and directors of the business entity (attach list if necessary).

Name	Title
Richard Erickson	President

4. Identify all shareholders whose ownership percentage exceeds 7.5% of the business entity (attach list if necessary).

Name	Address	Ownership Interest Percentage
Richard Erickson		100%

5. LLC's ONLY, indicate management type and name:

- ☐ Member-managed  
☐ Manager-managed

N/A

Name: \_\_\_\_\_

6. 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.

**REMAINDER OF PAGE INTENTIONALLY LEFT BLANK**

### PARTNERSHIPS

1. 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	Ownership Interest Percentage
N/A	

### SOLE PROPRIETORSHIP

1. 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 the answer to the previous question is no, complete items 2 and 3 of this section.

2. 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)
N/A

3. 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	Address
N/A	

REMAINDER OF PAGE INTENTIONALLY LEFT BLANK

## **CONTRACTOR CERTIFICATION**

### **A. CONTRACTORS**

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-rigging<sup>2</sup> 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 Submission of this bid, proposal or response.
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-rotating<sup>4</sup> 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 judgment 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 described as prohibited in this document; (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 2 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 described as prohibited in this document of 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 as prohibited in this document 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 all necessary items. In the event any subcontractor is unable to certify to a particular item, 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 this document 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, 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 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.

E. PUNISHMENT

1. 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.

#### **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 Restriction<sup>5</sup>; (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 the above paragraph, identify any exceptions (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.

- 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.

#### **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.

**VERIFICATION**

Under penalty of 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 Compliance, 50 W. Washington, Room 200, Chicago, IL 60602.



Signature of Authorized Officer

**Richard Erickson**

Name of Authorized Officer (Print or Type)

**President**

Title

**708-349-7676**

Telephone Number

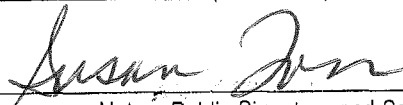
State of Illinois

County of Cook

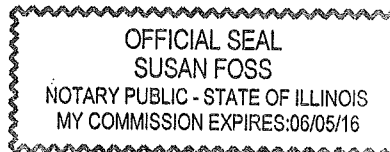
Signed and sworn to before me on this 30 day of June, 2015 by

Susan Foss (Name) as CA (Title) of

Auburn Corporation (Bidder/Proposer/Respondent or Contractor)



Notary Public Signature and Seal



**EXHIBIT C**  
**DISCLOSURE OF RETAINED PARTIES**

**ATTACHED HERETO**

### Definitions and Disclosure Requirements

As used herein, "Consultant" means a person or entity who has any contract with the Public Building Commission of Chicago ("Commission").

Commission bids, contracts, and/or qualification submissions 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. 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.

"Lobbyists" means any person who (a) 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.

### Certification

Consultant hereby certifies as follows:

This Disclosure relates to the following transaction(s):

Description of goods or services to be provided under Contract:

Name of Consultant: \_\_\_\_\_

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

Retained Parties:

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

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

The Consultant understands and agrees as follows:

### **Definitions and Disclosure Requirements**

As used herein, "Consultant" means a person or entity who has any contract with the Public Building Commission of Chicago ("Commission").

Commission bids, contracts, and/or qualification submissions 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. 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.

"Lobbyists" means any person who (a) 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.

### **Certification**

Consultant hereby certifies as follows:

This Disclosure relates to the following transaction(s):

Description of goods or services to be provided under Contract:

Name of Consultant: \_\_\_\_\_

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

Retained Parties:

<b>Name</b>	<b>Business Address</b>	<b>Relationship</b> (Attorney, Lobbyist, etc.)	<b>Fees</b> (indicate total whether paid or estimated)

☐ Check Here If No Such Persons Have been Retained or Are Anticipated To Be Retained

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.

  
Signature

6/30/15  
Date

Richard Erickson  
Name (Type or Print)

President  
Title

Subscribed and sworn to before me

this 30th day of June 2015

  
Notary Public

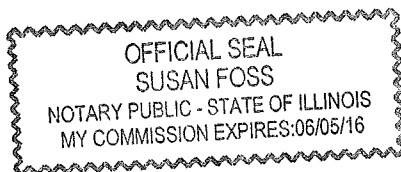




EXHIBIT D  
SPECIAL CONDITIONS REGARDING THE UTILIZATION OF  
MINORITY AND WOMEN OWNED BUSINESS ENTERPRISES  
FOR PROFESSIONAL SERVICES

ATTACHED HERETO

## 1. Policy Statement

- a. It is the policy of the Commission to ensure competitive business opportunities for MBE and WBE firms in the performance of Contracts, to prohibit discrimination in the award of or participation in Contracts, and to abolish arbitrary barriers to full participation in Contracts by all persons, regardless of race, sex or ethnicity. Therefore, during the performance of this Contract, the Consultant must agree that it will not discriminate against any person or business on the basis of race, color, religion, ancestry, age, marital status, physical or mental handicap, unfavorable discharge from military service, parental status, sexual orientation, national origin or sex, in the solicitation or the purchase of goods and services or the subcontracting of work in the performance in this Contract.
- b. The Commission requires the Consultant also agree to take affirmative action to ensure that MBE and WBE firms have the maximum opportunity to compete for and perform subcontracts with respect to this Contract.
- c. The Commission requires the Consultant to notify MBE and WBE firms, utilized on this contract, about opportunities on contracts without affirmative action goals.

## 2. Aspirational Goals

- a. Upon the effective date of these Special Conditions, the annual aspirational goals are to award 25% of the annual dollar value of all Professional Service Contracts to MBEs and 5% of the annual dollar value of all Professional Service Contracts to WBEs.
- b. Further, the Consultant must agree to use its best efforts to include MBE and WBE firms in any Contract modification work that increases the Contract value by 10% of the initial Contract value or \$50,000, whichever is less. Where the proposed contract modification involves work which can be performed by MBEs and WBEs already performing work on the contract such MBEs and WBEs will participate in such work specified in the contract modification.
- c. Failure to carry out the commitments and policies set forth in this Program constitute a material breach of contract and may result in termination of the Consultant or such other remedy, as the Commission deems appropriate.
- d. The Contract Specific Goals for MBE participation and WBE Participation for this project are 23% and 7% respectively.

## 3. Definitions

- a. For purposes of this Special Condition, the following definitions applies:
  - i. "Certified Minority Business Enterprise" means a person or entity granted certification by the City of Chicago or County of Cook.
  - ii. "Certified Women's Business Enterprise" means a person or entity granted certification by the City of Chicago or County of Cook.
  - iii. "Professional Service Contract" means a contract for professional services of any type.
  - iv. "Contract Specific Goals" means the subcontracting goals for MBE and WBE participation established for a particular contract based upon the availability of MBEs and WBEs to perform and anticipated scope of work of the contract and the Commission's progress towards meeting the aspirational goals.
  - v. "Consultant" means any person or business entity that seeks to enter into a Professional Services Contract with the Commission and includes all partners, affiliates and Joint Ventures of such person or entity.

- vii. "Good faith efforts" means actions undertaken by a Consultant to achieve a Contract Specific Goal that by their scope, intensity and appropriateness to the objective can reasonably be expected to fulfill the Program's requirements.
- viii. "Joint Venture" means an association of two or more persons or entities or any combination of two or more business enterprises and persons numbering two or more, proposing to perform a single for-profit business enterprise, in which each Joint Venture partner contributes property, capital, efforts, skill and knowledge, and in which the MBE or WBE is responsible for a distinct, clearly-defined portion of the work of the contract and whose share in the capital contribution, control, management, risks and profits of the Joint Venture is equal to its ownership interest. Joint Ventures must have an agreement in writing specifying the terms and conditions of the relationships between the parties and their relationship and responsibilities to the contract.
- ix. "Program" means the minority- and women-owned business enterprise professional service procurement program established in this special condition.

#### 4. Determining MBE/WBE Utilization

The methodology for determining MBE and WBE utilization will be determined for purposes of analysis with respect to this contract as follows:

- a. The total dollar value of the contract awarded to the certified MBE or WBE firm will be credited to such participation. Only minority business participation may be counted toward MBE participation and only women business participation may be counted toward WBE participation.
- b. The total dollar value of a contract with a firm owned and controlled by minority women is counted toward either the MBE or WBE goal, but not both. The Consultant employing the firm may choose the goal to which the contract value is applied. Various work done by one and the same subconsultant will be considered, for the purpose of this principle, as work effectively done under one subcontract only, which subconsultant may be counted toward only one of the goals, not toward both.
- c. A Consultant may count toward its MBE or WBE goal the portion of the total dollar value of a contract with an eligible Joint Venture equal to the percentage of the ownership and control of the MBE or WBE partner in the Joint Venture. A Joint Venture seeking to be credited for MBE participation may be formed among certified MBE and WBE firms, or between certified MBE and WBE firms and a non-MBE/WBE firm. A Joint Venture satisfies the eligibility standards of this Program if the certified MBE or WBE participant of the Joint Venture:
  - i. Shares in the ownership, control, management responsibilities, risks and profits of the Joint Venture; and
  - ii. Is responsible for a clearly defined portion of work to be performed in proportion to the MBE or WBE ownership percentage.
- d. A Consultant may count toward its MBE and WBE goals only expenditures to firms that perform a commercially useful function in the work of a contract. A firm is considered to perform a commercially-useful function when it is responsible for execution of a distinct element of the work of a contract and carries out its responsibilities by actually performing, managing, and supervising the work involved. To determine whether a firm is performing a commercially useful function, the Commission will evaluate the amount of work subcontracted, industry practices and other relevant factors.
- e. Consistent with normal industry practices, a MBE or WBE firm may enter into subcontracts. If a MBE or WBE Consultant subcontracts a significantly greater portion of the work of a contract than would be expected on the basis of normal industry practices, the MBE or WBE will be rebuttably presumed not to be performing a commercially-useful function.

- f. A Consultant may count toward its goals expenditures to MBE or WBE manufacturers (i.e., suppliers that produce goods from raw materials or substantially alters them before resale).
- g. A Consultant may count toward its goals expenditures to MBE or WBE suppliers provided that the supplier performs a commercially useful function in the supply process. Expenditures to suppliers will only be counted if the supplies are sold to the Consultant or subconsultant that installs those supplies in the Work.

## 5. Submission of Bid Proposals

- a. The following schedules and documents constitute the Bidder's MBE/WBE compliance proposal and must be submitted at the time of the bid or proposal or within such extended period as provided in Article 23.
  - i. Evidence of Certification: Affidavit of MBE/WBE. A copy of each proposed MBE and WBE firm's Letter of Certification from the City of Chicago, Department of Procurement Services or the County of Cook must be submitted.
  - ii. Schedule B: Affidavit of MBE/Non-MBE or WBE/Non-WBE Joint Ventures. Where the Bidder's MBE/WBE compliance proposal includes participation of any MBE or WBE as a Joint Venture participant, the Bidder must submit a "Schedule B: Affidavit of MBE/Non-MBE or WBE/Non-WBE Joint Venture" with an attached copy of the Joint Venture agreement proposed among the parties. The Schedule B and the Joint Venture agreement must clearly evidence that the MBE or WBE participant will be responsible for a clearly defined portion of the work to be performed and that the MBE or WBE firm's responsibilities are in proportion with its ownership percentage.
  - iii. Schedule C: Letter of Intent to Perform as a Subconsultant, Subconsultant, or Material Supplier, Schedule C, executed by the MBE/WBE firm (or Joint Venture Subconsultant) must be submitted by the Bidder for each MBE/WBE included on the Schedule D. Schedule C must accurately detail the work to be performed by the MBE or WBE firm and the agreed rates and prices to be paid.
  - iv. Schedule D: Affidavit of Prime Consultant Regarding MBE or WBE Utilization. A completed Schedule D committing to the utilization of each listed MBE or WBE firm. Unless the Bidder has submitted a completed request for a waiver of participation by MBE/WBE firms (See Request for Waiver procedures in Section 23.01.10), the Bidder must include the specific dollar amount of participation of each MBE/WBE firm listed on its Schedule D. The total dollar commitment to proposed MBE firms must at least equal the MBE goal, and the total dollar commitment to proposed WBE firms must at least equal the WBE goal. Bidders are responsible for calculating the dollar equivalent of MBE or WBE utilization as percentages of their total base bid.
- b. The submittals must have all blank spaces on the Schedule pages applicable to the contract correctly filled in. Agreements between a Bidder and a MBE/WBE in which the MBE/WBE promises not to provide subcontracting quotations to other Bidders are prohibited.

## 6. Evaluation of Compliance Proposals

- a. During the period between bid opening and contract award, the Bidder's MBE/WBE compliance proposal will be evaluated by the Commission. The Bidder agrees to provide, upon request, earnest and prompt cooperation to the Executive Director or his designee in submitting to interviews that may be necessary, in allowing entry to places of business, in providing further documentation, or in soliciting the cooperation of a proposed MBE or WBE firm in providing such assistance. A bid may be treated as non-responsive by reason of the determination that the Bidder's proposal did not contain a sufficient level of Certified MBE or WBE participation, that the Bidder was unresponsive or uncooperative when asked for further information relative to the proposal, or that false statements were made in the Schedules.

- b. If the Commission's review of a Bidder's proposal concludes that the MBE or WBE proposal was deficient, the Commission will promptly notify the Bidder of the apparent deficiency and instruct the Bidder to submit (within 3 business days of such notice given by the Commission) a modification of the MBE or WBE Proposal, in proper format, which remedies the deficiencies cited. Failure to correct all deficiencies cited by the Commission will be cause for rejection of the Bidder's proposal as non-responsive.
- c. Bidders will not be permitted to modify their MBE/WBE compliance proposal except insofar as directed to do so by the Commission. Therefore, all terms and conditions stipulated for prospective MBE and WBE subconsultants or suppliers should be satisfactorily negotiated prior to the submission to the Commission of the Bidder's MBE/WBE compliance proposal with the bid. If circumstances should arise, however, where a proposed MBE/WBE is no longer available, the process described in Section 23.01 should be followed.
- d. If the Compliance Proposal includes participation by material suppliers, the PBC will request copies of the offers from such suppliers. The offers must be furnished to the PBC within three (3) business days of the bidder's receipt of the request for such offers from the PBC. The PBC may make such request by electronic mail. The offers must specify: (i) the particular materials, equipment and/or supplies that will be furnished; (ii) the supplier's price for each of the items; (iii) the total price of the items to be furnished by the supplier, (iv) the supplier's source for the items (e.g., manufacturer, wholesaler) and (v) the subconsultant that the supplies will be purchased by.

#### 7. Request for Waiver

- a. If a Bidder is unable to identify qualified MBE and WBE firms to perform sufficient work to fulfill the MBE or WBE percentage goals for this Contract, the bid or proposal must include a written request for waiver. A request for waiver must be sent to the Executive Director and must set forth the Bidder's inability to obtain sufficient MBE and WBE firms notwithstanding good faith attempts to achieve such participation.
- b. Good Faith efforts to achieve participation include but are not limited to:
  - i. Attendance at the Pre-bid conference;
  - ii. The Bidder's general affirmative action policies regarding the utilization of MBE and WBE firms, plus a description of the methods used to carry out those policies;
  - iii. Advertisement in trade association newsletters and minority and woman-oriented and general circulation media for specific sub-bids;
  - iv. Timely notification of specific sub-bids to minority and woman Consultant assistance agencies and associations;
  - v. Description of direct negotiations with MBE and WBE firms for specific sub-bids, including:
    - a. The name, address and telephone number of MBE and WBE firms contacted;
    - b. A description of the information provided to MBE and WBE firms regarding the portions of the work to be performed; and
    - c. The reasons why additional MBE and WBE firms were not obtained in spite of negotiations.
  - vi. A statement of the efforts made to select portions of the work proposed to be performed by MBE and WBE firms (such as sub-supplier, transport, engineering, distribution, or any other roles contributing to production and delivery as specified in the contract) in order to increase the likelihood of achieving sub participation.

- vii. As to each MBE and WBE contacted which the Bidder considers to be not qualified, a detailed statement of the reasons for the Bidder's conclusion.
  - viii. Efforts made by the Bidder to expand its search for MBE and/or WBE firms beyond usual geographic boundaries.
  - ix. General efforts made to assist MBE and WBE firms to overcome participation barriers.
- c. The Executive Director, after review and evaluation of the request provided by the Bidder, may grant a waiver request upon the determination that:
- i. Sufficient qualified MBE and/or WBE firms capable of providing the goods or services required by the contract are unavailable despite the good faith efforts of the Bidder;
  - ii. The price(s) quoted by potential MBE and/or WBE firms for goods or services is above competitive levels to an extent unwarranted by any increased cost of doing business attributable to the present effects of disadvantage or discrimination.

#### 8. Failure To Achieve Goals

- a. If the Consultant cannot achieve the contract specific goals, as the Project proceeds, it must have documented its good faith efforts to do so. In determining whether the Consultant has made such good faith efforts, the performance of other Consultants in meeting the goals may be considered. The Executive Director or his designee shall consider, at a minimum, the Consultant's efforts to do the following:
- i. Soliciting through reasonable and available means the interest of MBEs or WBEs that Provide interested MBEs or WBEs with adequate information about the plans, specifications and requirements of the contract, including addenda, in a timely manner to assist them in responding to the solicitation.
  - ii. Provide interested MBEs or WBEs with adequate information about the plans, specifications and requirements of the contract, including addenda, in a timely manner to assist them in responding to the solicitation.
  - iii. Negotiating in good faith with interested MBEs or WBEs that have submitted bids. Documentation of negotiation must include the names, addresses and telephone numbers of MBEs or WBEs that were solicited; the date of each such solicitation; a description of the information provided regarding the plans and specifications for the work selected for subcontracting; and evidence as to why agreements could not be reached with MBEs or WBEs to perform the work. That there may be some additional costs involved in solicitation and using MBEs and WBEs is not a sufficient reason for a Consultant's failure to meet the goals, as long as such costs are reasonable.
  - iv. Not rejecting MBEs or WBEs as being unqualified without sound reasons based on the thorough investigation of a their capabilities. The MBEs' or WBEs' standing within its industry, membership in specific groups, organizations, or associations and political or social affiliations are not legitimate cases for rejecting or not soliciting bids to meet the goals.
  - v. Making a portion of the work available to MBE or WBE subconsultants and suppliers and to select those portions of the work or material consistent with the available MBE or WBE subconsultants and suppliers, so as to facilitate meeting the goals.

- vi. Making good faith efforts despite the ability or desire of a Consultant to perform the work of a contract with its own organization. A Consultant that desires to self-perform the work of a contract must demonstrate good faith efforts unless the goals have been met.
  - vii. Selecting portions of the work to be performed by MBEs or WBEs in order to increase the likelihood that the goals will be met. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate MBE or WBE participation even when the Contract might otherwise prefer to perform these items with its own forces.
  - viii. Making efforts to assist interested MBEs or WBEs in obtaining bonding lines of credit or insurance as required by the Commission or Consultant.
  - ix. Making efforts to assist interested MBEs or WBEs in obtaining necessary equipment, supplies, materials or related assistance or services, including participation in a mentor-protégée program; and
  - x. Effectively using the services of the Commission; minority or women community organizations; minority or women Consultants' groups; local, state and federal minority or women business assistance offices; and other organizations to provide assistance in the recruitment and placement of MBEs or WBEs.
- b. In the event the Public Building Commission determines that the Consultant did not make a good faith effort to achieve the goals, the Consultant may file a dispute to the Executive Director as provided in Article XI of the Standard Terms and Conditions.

#### 9. Reporting and Record-Keeping Requirements

- a. The Consultant, within 5 working days of contract award, must execute a formal subcontract or purchase order in compliance with the terms of the Consultant's bid proposal and MBE/WBE assurances, and submit to the Commission a copy of the MBE and WBE subcontracts or purchase orders, each showing acceptance of the subcontract or purchase order by the MBE and WBE firms. During the performance of the contract, the Consultant will submit waivers of lien from MBE and WBE subconsultants and suppliers indicating the current payment amount and the cumulative dollar amount of payments made to date. The Consultant will file regular MBE and WBE utilization reports on the form entitled "Status Report of MBE and WBE (Sub) Contract Payments" at the time of submitting each monthly Payment Estimate, which reflects the current status of cumulative and projected payments to MBE and WBE firms.
- b. The Consultant must maintain records of all relevant data with respect to the utilization of MBE and WBE firms, including without limitation payroll records, tax returns and records, and books of account in such detail as the Commission requires, and retain such records for a period of at least 3 years after final acceptance of the work. Full access to such records will be granted to the Commission and/or its designees, on 5 business days' notice in order for the Commission to determine the Consultant's compliance with its MBE and WBE commitments and the status of any MBE or WBE firm performing any portion of the contract.

#### 10. Disqualification of MBE or WBE

- a. The Contract may be terminated by the Executive Director upon the disqualification of the Consultant as an MBE or WBE if the Consultant's status as an MBE or WBE was a factor in the award and such status was misrepresented by the Consultant.

- b. The Contract may be terminated by the Executive Director upon the disqualification of any MBE or WBE if the Subconsultant's or supplier's status as an MBE or WBE was a factor in the award of the contract and the status of the subconsultant or supplier was misrepresented by the Consultant. If the Consultant is determined not to have been involved in any misrepresentation of the status of the disqualified subconsultant or supplier, the Consultant shall make good faith efforts to engage a qualified MBE or WBE replacement.

#### 11. Prohibition On Changes To MBE/WBE Commitments

The Consultant must not make changes to its contractual MBE and WBE commitments or substitute such MBE or WBE subconsultants without the prior written approval of the Executive Director. Unauthorized changes or substitutions, including performing the work designated for a subconsultant with the Consultant's own forces, is a violation of this section and a breach of the contract with the Commission, and may cause termination of the contract for breach, and/or subject the Consultant to contract remedies or other sanctions. The facts supporting the request must not have been known nor reasonably should have been known by the parties prior to entering into the subcontract.

#### 12. MBE/WBE Substitution Requirements and Procedures

- a. Arbitrary changes by the Consultant of the commitments earlier certified in the **Schedule D** are prohibited. Further, after once entering into each approved MBE and WBE sub-contract agreement, the Consultant shall thereafter neither terminate the subcontract, nor reduce the scope of the work to be performed by the MBE or WBE, nor decrease the price to the MBE or WBE, without in each instance receiving the prior written approval of the Executive Director. In some cases, however, it may become necessary to substitute a new MBE or WBE in order to actually fulfill the MBE or WBE requirements. In such cases, the Executive Director must be given reasons justifying the release by the Consultant of prior specific MBE or WBE commitments established in the contract, and will need to review the eligibility of the MBE or WBE presented as a substitute. The substitution procedure will be as follows:

- i. The Consultant must notify the Executive Director immediately in writing of an apparent necessity to reduce or terminate a MBE or WBE subcontract and to propose a substitute firm for some phase of work, if needed in order to sustain the fulfillment of the MBE/WBE contract requirements.
- ii. The Consultant's notification should include the specific reasons for the proposed substitution. Stated reasons which would be acceptable include any of the following reasons: a) Unavailability after receipt of reasonable notice to proceed; b) failure of performance; c) financial incapacity; d) refusal by the subconsultant to honor the bid or proposal price or scope; e) mistake of fact or law about the elements of the scope of work of a solicitation where a reasonable price cannot be agreed; f) failure of the subconsultant to meet insurance, licensing or bonding requirements; g) the subconsultant's withdrawal of its bid or proposal; or h) decertification of the subconsultant as MBE or WBE.

The Consultant's position must be fully explained and supported with adequate documentation. Stated reasons which will not be acceptable include: replacement firm has been recruited to perform the same work under terms more advantageous to the Consultant; issues about performance by the committed MBE or WBE were disputed (unless every reasonable effort has already been taken to have the issues resolved or mediated satisfactorily); an MBE or WBE has requested reasonable price escalation which may be justified due to unforeseen circumstances.

- iii. The Consultant's notification should include the names, address and principal official of any proposed substitute MBE or WBE and the dollar value and scope of work of the proposed subcontract. Attached should be all the same MBE/WBE affidavits, documents and Letters of Intent which are required of the proposed MBE or WBE firms.



- iv. The Executive Director will evaluate the submitted documentation, and respond within fifteen (15) working days to the request for approval of a substitution. The response may be in the form of requesting more information, or requesting an interview to clarify or mediate the problem. In the case of an expressed emergency need to receive the necessary decision for the sake of job progress, the Executive Director will instead respond as soon as practicable.
- v. Actual substitution of a replacement MBE or WBE to fulfill contract requirements must not be made before the Executive Director's approval is given of the acceptability of the substitute MBE or WBE. This subcontract must be executed within five (5) working days, and a copy of the MBE WBE subcontract with signatures of both parties to the agreement should be submitted immediately to the Executive Director.
- b. The Executive Director will not approve extra payment for escalated costs incurred by the Consultant when a substitution of subconsultants becomes necessary for the Consultant in order to comply with MBE/WBE contract requirements.
- c. No relief of the MBE/WBE requirements will be granted by the Executive Director except in exceptional circumstances. Requests for complete or partial waiver of the MBE/WBE requirements of this contract must be made in writing, stating all details of the request, the circumstances, and any additional relevant information. The request must be accompanied by a record of all efforts taken by the Consultant to locate specific firms, solicit MBE and WBE bids, seek assistance from technical assistance agencies, and other good faith efforts undertaken to achieve compliance with the MBE/WBE goals.

#### 13. Non-Compliance

- a. The Executive Director has the authority to apply suitable sanctions to the Consultant if the Consultant is found to be in non-compliance with the MBE and WBE requirements. Failure to comply with the MBE or WBE terms of this contract or failure to use MBE or WBE firms as stated in the Consultant's assurances constitutes a material breach of the contract, and may lead to the suspension or termination of the contract in part or in whole. In some cases, monthly progress payments may be withheld until corrective action is taken.
- b. When the contract is completed, if the Executive Director has determined that the Consultant did not comply in the fulfillment of the required MBE and/or WBE goals, and a grant of relief of the requirements was not obtained, the Commission will be damaged in the failure to provide the benefit of participation to minority or women business to the degree set forth in this Special Condition. In that case, the Commission may disqualify the Consultant from entering into future contracts with the Commission.

#### 14. Severability

- a. If any section, subsection, paragraph, clause, provision or application of these Special Conditions is held invalid by any court, the invalidity of such section, paragraph, clause or provision will not affect any of the remaining provisions hereof.

### SCHEDULE B - Joint Venture Affidavit (1 of 3)

This form is not required if for a Joint Venture where all parties are certified MBE/WBE firms. In such case, however, a written Joint Venture agreement among the MBE/WBE firms should be submitted. Each MBE/WBE Joint Venturer must also attach a copy of their current certification letter.

1. Name of Joint Venture \_\_\_\_\_

2. Address of Joint Venture \_\_\_\_\_

3. Phone number of Joint Venture \_\_\_\_\_

4. Identify the firms that comprise the Joint Venture

A. Describe the role(s) of the MBE/WBE firm(s) in the Joint Venture. (Note that a "clearly defined portion of work" must here be shown as under the responsibility of the MBE/WBE firm.)

B. Describe very briefly the experience and business qualifications of each non-MBE/WBE Joint Venturer.

5. Nature of Joint Venture's business

6. Provide a copy of the Joint Venture agreement.

7. Ownership: What percentage of the Joint Venture is claimed to be owned by MBE/WBE? \_\_\_\_\_%

8. Specify as to:

A. Profit and loss sharing \_\_\_\_\_%

B. Capital contributions, including equipment \_\_\_\_\_%

C. Other applicable ownership interests, including ownership options or other agreements which restrict ownership or control.

D. Describe any loan agreements between Joint Venturers, and identify the terms thereof.

**SCHEDULE B - Joint Venture Affidavit (2 of 3)**

9. Control of and participation in this Contract: Identify by name, race, sex, and "firm" those individuals (and their titles) who are responsible for day-to-day management and policy decision making, including, but not limited to, those with prime responsibility for:
- A. Financial decisions: \_\_\_\_\_
  - B. Management decisions such as:
    - 1. Estimating: \_\_\_\_\_
    - 2. Marketing/Sales: \_\_\_\_\_
  - C. Hiring and firing of management personnel: \_\_\_\_\_
  - D. Purchasing of major items or supplies: \_\_\_\_\_
  - E. Supervision of field operations: \_\_\_\_\_
  - F. Supervision of office personnel: \_\_\_\_\_
  - G. Describe the financial controls of the Joint Venture, e.g., will a separate cost center be established; which venturer will be responsible for keeping the books; how will the expense therefor be reimbursed; the authority of each Joint Venturer to commit or obligate the other. Describe the estimated contract cash flow for each Joint Venturer.
  - H. State approximate number of operational personnel, their craft/role and positions, and whether they will be employees of the majority firm or the Joint Venture.
10. Please state any material facts of additional information pertinent to the control and structure of this Joint Venture.

**EXHIBIT D**  
**SPECIAL CONDITIONS REGARDING THE UTILIZATION OF**  
**MINORITY AND WOMEN OWNED BUSINESS ENTERPRISES**  
**FOR PROFESSIONAL SERVICES**  
**SCHEDULE B - Joint Venture Affidavit (3 of 3)**

THE UNDERSIGNED SWEAR THAT THE FOREGOING STATEMENTS ARE CORRECT AND INCLUDE ALL MATERIAL INFORMATION NECESSARY TO IDENTIFY AND EXPLAIN THE TERMS AND OPERATIONS OF OUR JOINT VENTURE AND THE INTENDED PARTICIPATION BY EACH JOINT VENTURER IN THE UNDERTAKING. FURTHER, THE UNDERSIGNED COVENANT AND AGREE TO PROVIDE TO THE PUBLIC BUILDING COMMISSION OF CHICAGO CURRENT, COMPLETE AND ACCURATE INFORMATION REGARDING ACTUAL JOINT VENTURE WORK AND THE PAYMENT THEREFOR AND ANY PROPOSED CHANGES IN ANY OF THE JOINT VENTURE AGREEMENTS AND TO PERMIT THE AUDIT AND EXAMINATION OF THE BOOKS, RECORDS, AND FILES OF THE JOINT VENTURE, OR THOSE OF EACH JOINT VENTURER RELEVANT TO THE JOINT VENTURE, BY AUTHORIZED REPRESENTATIVES OF THE COMMISSION. ANY MATERIAL MISREPRESENTATION WILL BE GROUNDS FOR TERMINATING ANY CONTRACT WHICH MAY BE AWARDED AND FOR INITIATING ACTION UNDER FEDERAL OR STATE LAWS CONCERNING FALSE STATEMENTS.

Note: If, after filing this Schedule B and before the completion of the Joint Venture's work on this Contract, there is any significant change in the information submitted, the Joint Venture must inform the Public Building Commission of Chicago, either directly or through the Consultant if the Joint Venture is a sub-consultant.

N/A  
\_\_\_\_\_  
Name of Joint Venturer

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

State of \_\_\_\_\_ County of \_\_\_\_\_

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

before me appeared (Name)

\_\_\_\_\_  
to me personally known, who, being duly sworn,  
did execute the foregoing affidavit, and did state  
that he or she was properly authorized by

(Name of Joint Venture)  
to execute the affidavit and did so as his or her  
free act and deed.

\_\_\_\_\_  
Notary Public

Commission expires:

(SEAL)

\_\_\_\_\_  
Name of Joint Venturer

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

State of \_\_\_\_\_ County of \_\_\_\_\_

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_

before me appeared (Name)

\_\_\_\_\_  
to me personally known, who, being duly sworn,  
did execute the foregoing affidavit, and did state  
that he or she was properly authorized by

(Name of Joint Venture)  
to execute the affidavit and did so as his or her  
free act and deed.

\_\_\_\_\_  
Notary Public

Commission expires:

(SEAL)

EXHIBIT D  
SPECIAL CONDITIONS REGARDING THE UTILIZATION OF  
MINORITY AND WOMEN OWNED BUSINESS ENTERPRISES  
FOR PROFESSIONAL SERVICES

SCHEDULE C - Letter of Intent from MBE/WBE

To Perform As

Subcontractor, Subconsultant, and/or Material Supplier (1 of 2)

Name of Project: CPS INSULATED PANELS

Project Number: PS 2055A

Name of Firm: ASC WINDOW CORP.

Name of MBE or WBE Firm: ASC WINDOW CORP.

Check the appropriate box: ☒ MBE or ☐ WBE

TO:

AUBURN CORP and Public Building Commission of Chicago

Name of Professional Service Provider

The undersigned intends to perform work in connection with the above-referenced project as (check one):

☐ Sole Proprietor

☒ Corporation

☐ Partnership

☐ Joint Venture

The MBE/WBE status of the undersigned is confirmed by the attached Letter of Certification, dated 5/28/15. In addition, in the case where the undersigned is a Joint Venture with a non-MBE/WBE firm, a Schedule B, Joint Venture Affidavit, is provided.

The undersigned is prepared to provide the following described services or supply the following described goods in connection with the above-named project.

The described services or goods are offered for the following price, with terms of payment as stipulated in the Contract Documents.

SCHEDULE C - Letter of Intent from MBE/WBE

To Perform As

Subcontractor, Subconsultant, and/or Material Supplier (2 of 2)

PARTIAL PAY ITEMS

For any of the above items that are partial pay items, specifically describe the work and subcontract dollar amount:

If more space is needed to fully describe the MBE/WBE firm's proposed scope of work and/or payment schedule, attach additional sheet(s).

SUB-SUBCONTRACTING LEVELS

0 % of the dollar value of the MBE/WBE subcontract will be sublet to non-MBE/WBE contractors.

0 % of the dollar value of the MBE/WBE subcontract will be sublet to MBE/WBE contractors.

If MBE/WBE subcontractor will not be sub-subcontracting any of the work described in this Exhibit, a zero (0) must be filled in each blank above. If more than 10% percent of the value of the MBE/WBE subcontractor's scope of work will be sublet, a brief explanation and description of the work to be sublet must be provided.

The undersigned will enter into a formal agreement for the above work with the General Bidder, conditioned upon its execution of a contract with the Public Building Commission of Chicago, and will do so within five (5) working days of receipt of a notice of Contract award from the Commission.

By:

ASC WINDOW CORP  
Name of MBE/WBE Firm (Print)

[Signature]  
Signature

7/6/15  
Date

TREVOR SMITH  
Name (Print) PRESIDENT

773-483-7676  
Phone

IF APPLICABLE:

By:

N/A  
Joint Venture Partner (Print)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name (Print)

\_\_\_\_\_  
Phone

☐ MBE ☐ WBE ☐ Non-MBE/WBE

(1 of 2)

and that I have personally reviewed the material and facts submitted with the attached Schedules of MBE/WBE participation in the above-referenced Contract, including Schedule C and Schedule B (if applicable), and the following is a statement of the extent to which MBE/WBE firms will participate in this Contract if awarded to this firm as the Contractor for the Project.

Name of MBE/WBE Consultant	Type of Work to be Done in Accordance with Schedule C	Dollar Credit Toward MBE/WBE Goals	
		MBE	WBE
ASC Window	Supply insulated Panels and labor.	\$ 330,000	\$
Autumn Corp	Provide support bracket arms and labor	\$	\$ 146,000
		\$	\$
		\$	\$
		\$	\$
Total Net MBE/WBE Credit		\$ 330,000	\$ 146,000
\$1,404,957.00 Percent of Total Base Bid		23.48 %	10.39 %

SCHEDULE D - Affidavit of Professional Service Provider Regarding MBE/WBE Participation  
(2 of 2)

The Professional Service Provider may count toward its MBE/WBE goal a portion of the total dollar value of a contract with a Joint Venture equal to the percentage of the ownership and control of the MBE/WBE partner.

SUB-SUBCONTRACTING LEVELS

0 % of the dollar value of the MBE/WBE subcontract will be sublet to non-MBE/WBE contractors.

0 % of the dollar value of the MBE/WBE subcontract will be sublet to MBE/WBE contractors.

If MBE/WBE subcontractor will not be sub-subcontracting any of the work described in this Schedule, a zero (0) must be filled in each blank above.

If more than 10% of the value of the MBE/WBE subcontractor's scope of work will be sublet, a brief explanation and description of the work to be sublet must be provided.

The undersigned will enter into a formal agreement for the above work with the above-referenced MBE/WBE firms, conditioned upon performance as Professional Service Provider of a Contract with the Commission, and will do so within five (5) business days of receipt of a notice of Contract award from the Commission.

By:

ASC Window Corp  
Name of MBE/WBE Firm (Print)

Trevor Smith  
Signature

7/6/15  
Date

TREVOR SMITH  
Name (Print)  
President

773-483-7676  
Phone

IF APPLICABLE:

By:

N/A  
Joint Venture Partner (Print)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name (Print)

\_\_\_\_\_  
Phone

☐ MBE ☐ WBE ☐ Non-MBE/WBE





## DEPARTMENT OF PROCUREMENT SERVICES

## CITY OF CHICAGO

MAY 28 2015

Trevor Smith  
ASC Window Corporation  
7649 S. Racine Ave.  
Chicago, IL 60620

Dear Trevor Smith:

We are pleased to inform you that **ASC Window Corporation** has been recertified as a **Minority Business Enterprise ("MBE")** by the City of Chicago ("City"). This **MBE** certification is valid until **06/01/2017**; however your firm's certification must be revalidated annually. In the past the City has provided you with an annual letter confirming your certification; such letters will no longer be issued. As a consequence, we require you to be even more diligent in filing your **annual No-Change Affidavit 60 days** before your annual anniversary date.

It is now your responsibility to check the City's certification directory and verify your certification status. As a condition of continued certification during the five year period stated above, you must file an **annual No-Change Affidavit**. Your firm's annual No-Change Affidavit is due by **06/01/2016**. Please remember, you have an affirmative duty to file your **No-Change Affidavit 60 days** prior to the date of expiration. Failure to file your annual No-Change Affidavit may result in the suspension or rescission of your certification.

Your firm's five year certification will expire on **06/01/2017**. You have an affirmative duty to file for recertification **60 days** prior to the date of the five year anniversary date. Therefore, you must file for recertification by **04/01/2017**.

It is important to note that you also have an ongoing affirmative duty to notify the City of any changes in ownership or control of your firm, or any other fact affecting your firm's eligibility for certification **within 10 days** of such change. These changes may include but are not limited to a change of address, change of business structure, change in ownership, or ownership structure, change of business operations, gross receipts and or personal net worth that exceed the program threshold. Failure to provide the City with timely notice of such changes may result in the suspension or rescission of your certification. In addition, you may be liable for civil penalties under Chapter 1-22, "False Claims", of the Municipal Code of Chicago.

Please note – you shall be deemed to have had your certification lapse and will be ineligible to participate as a **MBE** if you fail to:

- File your annual No-Change Affidavit within the required time period;

ASC Window Corporation

Page 2 of 2

- Provide financial or other records requested pursuant to an audit within the required time period;
- Notify the City of any changes affecting your firm's certification **within 10 days** of such change; or
- File your recertification within the required time period.

Please be reminded of your contractual obligation to cooperate with the City with respect to any reviews, audits or investigation of its contracts and affirmative action programs. We strongly encourage you to assist us in maintaining the integrity of our programs by reporting instances or suspicions of fraud or abuse to the **City's Inspector General at [chicagoinspectorgeneral.org](http://chicagoinspectorgeneral.org), or 866-IG-TIPLINE (866-448-4754).**

Be advised that if you or your firm is found to be involved in certification, bidding and/or contractual fraud or abuse, the City will pursue decertification and debarment. In addition to any other penalty imposed by law, any person who knowingly obtains, or knowingly assists another in obtaining a contract with the City by falsely representing the individual or entity, or the individual or entity assisted is guilty of a misdemeanor, punishable by incarceration in the county jail for a period not to exceed six months, or a fine of not less than \$5,000 and not more than \$10,000 or both.

Your firm's name will be listed in the City's Directory of Minority and Women-Owned Business Enterprises in the specialty area(s) of:

**NAICS Code(s):**

**238350 - Door and window, prefabricated, installation**

**238350 - Finish carpentry**

**332321 - Window screens, metal frame, manufacturing**

Your firm's participation on City contracts will be credited only toward **Minority Business Enterprise** goals in your area(s) specialty. While your participation on City contracts is not limited to your area of specialty, credit toward goals will be given only for work that is self-performed and providing a commercially useful function that is done in the approved specialty category.

Thank you for your interest in the City's Minority and Women-Owned Business Enterprise (MBE/WBE) Program.

Sincerely,



Jamie L. Rhee  
Chief Procurement Officer

JLR/si

SCHEDULE C - Letter of Intent from MBE/WBE  
To Perform As  
Subcontractor, Subconsultant, and/or Material Supplier (1 of 2)

Name of Project: WINDOW MOUNTED AC UNITS  
Project Number: PS 2055A  
Name of Firm: AUBURN CORPORATION  
Name of MBE or WBE Firm: AUTUMN CONSTRUCTION SERVICES  
Check the appropriate box: ☐ MBE or ☒ WBE

TO:

AUBURN CORP and Public Building Commission of Chicago  
Name of Professional Service Provider

The undersigned intends to perform work in connection with the above-referenced project as (check one):

☐ Sole Proprietor  
☐ Partnership

☒ Corporation  
☐ Joint Venture

The MBE/WBE status of the undersigned is confirmed by the attached Letter of Certification, dated 01-07-2014. In addition, in the case where the undersigned is a Joint Venture with a non-MBE/WBE firm, a Schedule B, Joint Venture Affidavit, is provided.

The undersigned is prepared to provide the following described services or supply the following described goods in connection with the above-named project.

The described services or goods are offered for the following price, with terms of payment as stipulated in the Contract Documents.

SCHEDULE C - Letter of Intent from MBE/WBE

To Perform As

Subcontractor, Subconsultant, and/or Material Supplier (2 of 2)

PARTIAL PAY ITEMS

For any of the above items that are partial pay items, specifically describe the work and subcontract dollar amount:

If more space is needed to fully describe the MBE/WBE firm's proposed scope of work and/or payment schedule, attach additional sheet(s).

SUB-SUBCONTRACTING LEVELS

0 % of the dollar value of the MBE/WBE subcontract will be sublet to non-MBE/WBE contractors.

0 % of the dollar value of the MBE/WBE subcontract will be sublet to MBE/WBE contractors.

If MBE/WBE subcontractor will not be sub-subcontracting any of the work described in this Exhibit, a zero (0) must be filled in each blank above. If more than 10% percent of the value of the MBE/WBE subcontractor's scope of work will be sublet, a brief explanation and description of the work to be sublet must be provided.

The undersigned will enter into a formal agreement for the above work with the General Bidder, conditioned upon its execution of a contract with the Public Building Commission of Chicago, and will do so within five (5) working days of receipt of a notice of Contract award from the Commission.

By:

AUTUMN CONST. SERV.  
Name of MBE/WBE Firm (Print)

Susan Nelson  
Signature

07/06/15  
Date

Susan Nelson  
Name (Print)

630-588-9585  
Phone

IF APPLICABLE:

By:

N/A  
Joint Venture Partner (Print)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name (Print)

\_\_\_\_\_  
Phone

☐ MBE ☐ WBE ☐ Non-MBE/WBE

SCHEDULE D - Affidavit of Professional Service Provider Regarding MBE/WBE Participation  
(2 of 2)

The Professional Service Provider may count toward its MBE/WBE goal a portion of the total dollar value of a contract with a Joint Venture equal to the percentage of the ownership and control of the MBE/WBE partner.

SUB-SUBCONTRACTING LEVELS

0 % of the dollar value of the MBE/WBE subcontract will be sublet to non-MBE/WBE contractors.

0 % of the dollar value of the MBE/WBE subcontract will be sublet to MBE/WBE contractors.

If MBE/WBE subcontractor will not be sub-subcontracting any of the work described in this Schedule, a zero (0) must be filled in each blank above.

If more than 10% of the value of the MBE/WBE subcontractor's scope of work will be sublet, a brief explanation and description of the work to be sublet must be provided.

The undersigned will enter into a formal agreement for the above work with the above-referenced MBE/WBE firms, conditioned upon performance as Professional Service Provider of a Contract with the Commission, and will do so within five (5) business days of receipt of a notice of Contract award from the Commission.

By:

AUTUMN CONSTR. SERV.  
Name of MBE/WBE Firm (Print)

SUSAN NELSON  
Signature

07/06/15  
Date

Susan Nelson  
Name (Print)

630-588-9585  
Phone

IF APPLICABLE:

By:

\_\_\_\_\_  
Joint Venture Partner (Print)

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name (Print)

\_\_\_\_\_  
Phone

☐ MBE ☐ WBE ☐ Non-MBE/WBE



DEPARTMENT OF PROCUREMENT SERVICES

CITY OF CHICAGO

JAN 7 2014

Susan Nelson  
Autumn Construction Services, Inc.  
1400 E. Touhy Avenue, Suite 477  
Des Plaines, IL 60018

Dear Ms. Nelson:

We are pleased to inform you that **Autumn Construction Services, Inc.** has been recertified as a **Women Business Enterprise ("WBE")** by the City of Chicago ("City"). This **WBE** certification is valid until **10/15/2017**; however your firm's certification must be revalidated annually. In the past the City has provided you with an annual letter confirming your certification; such letters will no longer be issued. As a consequence, we require you to be even more diligent in filing your **annual No-Change Affidavit 60 days** before your annual anniversary date.

It is now your responsibility to check the City's certification directory and verify your certification status. As a condition of continued certification during the five year period stated above, you must file an annual No-Change Affidavit. Your firm's **annual No-Change Affidavit** is due by **10/15/2014, 10/15/2015, and 10/15/2016**. Please remember, you have an affirmative duty to file your **No-Change Affidavit 60 days** prior to the date of expiration. Failure to file your annual No-Change Affidavit may result in the suspension or rescission of your certification.

Your firm's five year certification will expire on **08/15/2017**. You have an affirmative duty to file for recertification **60 days** prior to the date of the five year anniversary date. Therefore, you must file for recertification by **10/15/2017**.

It is important to note that you also have an ongoing affirmative duty to notify the City of any changes in ownership or control of your firm, or any other fact affecting your firm's eligibility for certification **within 10 days** of such change. These changes may include but are not limited to a change of address, change of business structure, change in ownership or ownership structure, change of business operations, gross receipts and or personal net worth that exceed the program threshold. Failure to provide the City with timely notice of such changes may result in the suspension or rescission of your certification. In addition, you may be liable for civil penalties under Chapter 1-22, "False Claims", of the Municipal Code of Chicago.

Please note – you shall be deemed to have had your certification lapse and will be ineligible to participate as a **WBE** if you fail to:

- File your annual No-Change Affidavit within the required time period;
- Provide financial or other records requested pursuant to an audit within the required time period;
- Notify the City of any changes affecting your firm's certification **within 10 days** of such change; or
- File your recertification within the required time period.

Please be reminded of your contractual obligation to cooperate with the City with respect to any reviews, audits or investigation of its contracts and affirmative action programs. We strongly encourage you to assist us in maintaining the integrity of our programs by reporting instances or suspicions of fraud or abuse to the **City's Inspector General at [chicagoinspectorgeneral.org](http://chicagoinspectorgeneral.org), or 866-IG-TIPLINE (866-448-4754).**

Be advised that if you or your firm is found to be involved in certification, bidding and/or contractual fraud or abuse, the City will pursue decertification and debarment. In addition to any other penalty imposed by law, any person who knowingly obtains, or knowingly assists another in obtaining a contract with the City by falsely representing the individual or entity, or the individual or entity assisted is guilty of a misdemeanor, punishable by incarceration in the county jail for a period not to exceed six months, or a fine of not less than \$5,000 and not more than \$10,000 or both.

Your firm's name will be listed in the City's Directory of Minority and Women-Owned Business Enterprises in the specialty area(s) of:

**NAICS Code(s):**

**236220 - Construction Management, Commercial and Institutional Building**

**238220 - Mechanical Contractors**


**541330 - Engineering Design Services**

**541620 - Environmental Consulting Services**

Your firm's participation on City contracts will be credited only toward **Women Business Enterprise** goals in your area(s) specialty. While your participation on City contracts is not limited to your area of specialty, credit toward goals will be given only for work that is self-performed and providing a commercially useful function that is done in the approved specialty category.

Thank you for your interest in the City's Minority and Women-Owned Business Enterprise (MBE/WBE) Program.

Sincerely,



Jamie L. Rhee  
Chief Procurement Officer

JLR/sl

SCHEDULE D - Affidavit of Professional Service Provider Regarding MBE/WBE Participation  
(2 of 2)

The Professional Service Provider may count toward its MBE/WBE goal a portion of the total dollar value of a contract with a Joint Venture equal to the percentage of the ownership and control of the MBE/WBE partner.

### SUB-SUBCONTRACTING LEVELS

0 % of the dollar value of the MBE/WBE subcontract will be sublet to non-MBE/WBE contractors.

0 % of the dollar value of the MBE/WBE subcontract will be sublet to MBE/WBE contractors.

If MBE/WBE subcontractor will not be sub-subcontracting any of the work described in this Schedule, a zero (0) must be filled in each blank above.

If more than 10% of the value of the MBE/WBE subcontractor's scope of work will be sublet, a brief explanation and description of the work to be sublet must be provided.

The undersigned will enter into a formal agreement for the above work with the above-referenced MBE/WBE firms, conditioned upon performance as Professional Service Provider of a Contract with the Commission, and will do so within five (5) business days of receipt of a notice of Contract award from the Commission.

By:

ASC Window Corp  
Name of MBE/WBE Firm (Print)

Signature \_\_\_\_\_

7/6/15  
Date

TREVOR SMITH  
Name (Print) President

773-483-7676  
Phone

IF APPLICABLE:

By: N/A  
Joint Venture Partner (Print)

Signature \_\_\_\_\_

Date \_\_\_\_\_

Name (Print) \_\_\_\_\_

Phone \_\_\_\_\_

☐ MBE ☐ WBE ☐ Non-MBE/WBE