A high-angle photograph of construction workers in safety gear working on a concrete slab. The workers are wearing hard hats and high-visibility vests. One worker in the foreground is wearing a vest with the 'All-Phase' logo. The scene is illuminated with a blue and orange color scheme. The background shows other workers and construction equipment.

**PUBLIC BUILDING COMMISSION OF CHICAGO**

# Request for Qualifications for the 2023 Prequalification of General Contractors for Various Projects

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)

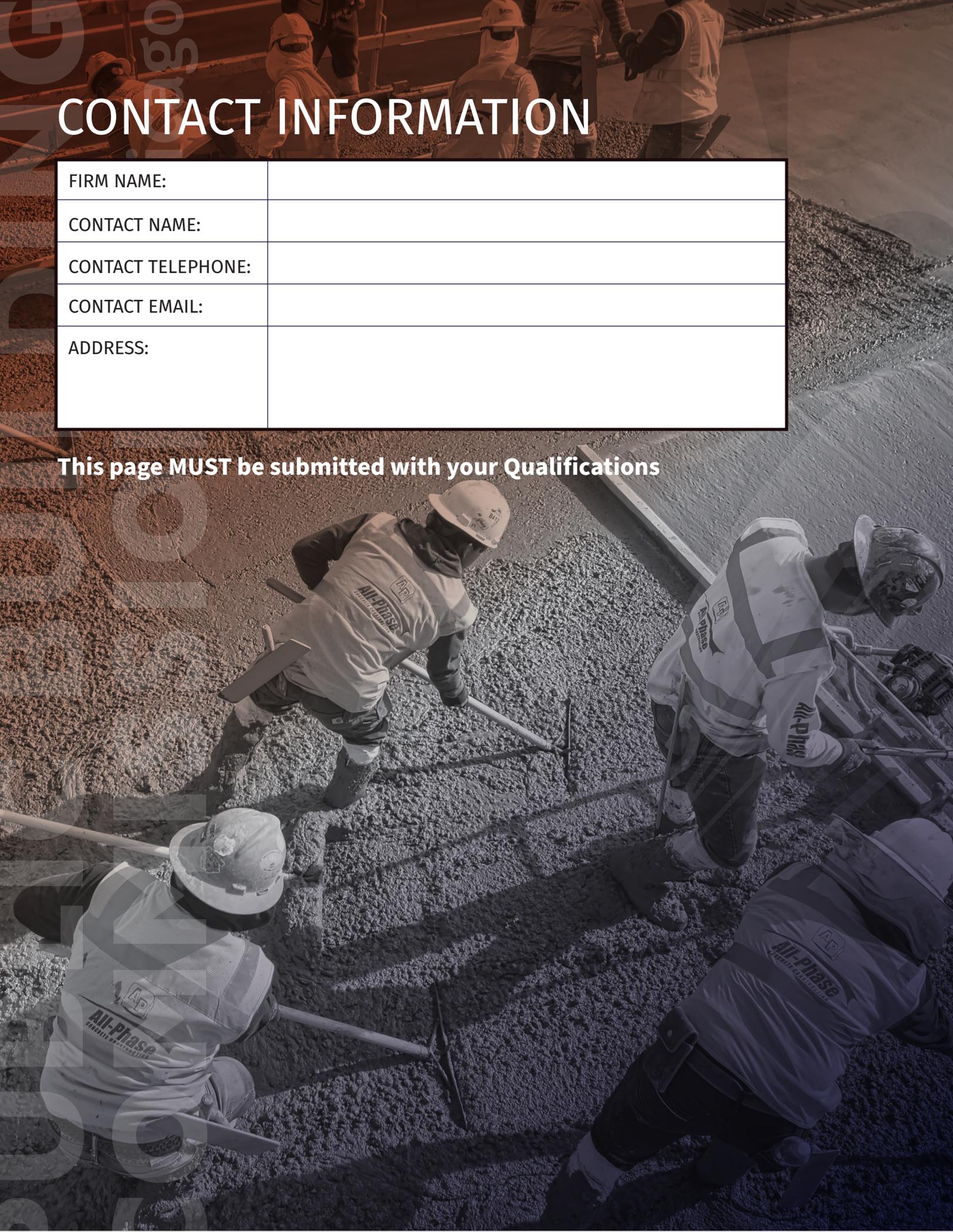
**Mayor Brandon Johnson**  
Chairman

**Carina E. Sánchez**  
Executive Director

# CONTACT INFORMATION

FIRM NAME:	
CONTACT NAME:	
CONTACT TELEPHONE:	
CONTACT EMAIL:	
ADDRESS:	

**This page MUST be submitted with your Qualifications**



# TABLE OF CONTENTS

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SECTION I. INTRODUCTION .....	4
SECTION II. KEY INFORMATION REGARDING PREQUALIFICATION .....	5
SECTION III. PROJECT SUMMARY .....	10
SECTION IV. EVALUATION CRITERIA .....	11
SECTION V. SUBMISSION REQUIREMENTS.....	13

## FORMS

FORM A. TECHNICAL COMPETENCE AND PAST PERFORMANCE.....	16
FORM B. KEY PERSONNEL.....	19
FORM C. FINANCIAL CAPACITY.....	21
FORM D. LICENSING AND GENERAL INFORMATION .....	23
FORM E. DISCLOSURE AFFIDAVIT .....	26
FORM F. DISLOSURE OF RETAINED PARTIES .....	34
FORM G. LEGAL ACTIONS .....	37
FORM H. MBE/WBE, EEO, CRO and CH PARTICIPATION .....	39
FORM I. SAFETY INFORMATION.....	44
FORM J. JOINT VENTURE AFFIDAVIT <sup>46</sup> .....	46

## EXHIBITS

EXHIBIT A. INSURANCE REQUIREMENTS.....	50
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# SECTION I – INTRODUCTION

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## A. INTRODUCTION

The Public Building Commission of Chicago (“Commission” or “PBC”) has enhanced education, safety, and recreation across the region by building or renovating hundreds of schools, city colleges, libraries, parks, fire houses, police stations and other public facilities. PBC User Agencies include the City of Chicago, Cook County, Chicago Public Library, Chicago Public Schools, Chicago Park District, City Colleges of Chicago, Forest Preserve District of Cook County, and other municipalities. Beginning with land acquisition, the PBC’s professional staff may manage each project through planning, financing, site preparation and remediation, design, construction and furnishing, functioning as a single point of responsibility for “turn-key” development.

The Commission, through this Request for Qualifications (“RFQ”), solicits the qualifications of General Contractors (including firms proposing to have a controlling interest in Joint Ventures) to perform construction work. Upon prequalification, the PBC intends to facilitate a competitive bid process whereby the prequalified firms can competitively bid for work.

The term “General Contractor” means any person who, as an investment or for compensation or with the intent to sell or to lease, (i) arranges or submits a bid or offers to undertake or purports to have the capacity to undertake or undertakes, through himself or through others, to erect, construct, alter, repair, move, install, replace, convert, remodel, rehabilitate, modernize, improve or make additions to any building or to any appurtenance thereto attached to real estate and located on the same lot as the building, including, but not limited to, driveways, swimming pools, porches, decks, garages, fences, fallout shelters and other accessory objects or uses; and (ii) retains for himself control over the means, method and manner of accomplishing the desired result; and (iii) whose business operations, in whole or in part, require the hiring or supervision of one or more persons from any building trade or craft, including, but not limited to, plumbing, masonry, electrical, heating, air-conditioning or carpentry.

The PBC further defines “General Contractor” as meaning the partnership, firm, corporation, joint venture or entity entering into the Contract with the Commission to perform the Work required by the Contract Documents.

The Commission may solicit bids for various construction-related projects undertaken by the Commission on behalf of various User Agencies. Projects may consist of the construction and/or renovation of buildings and facilities to be used by various agencies in the furnishing of governmental, health, safety and welfare services. The range of projects that may be solicited include anywhere from major capital improvements to the remodel of a single existing bathroom, the addition of a fence on a property or general site work.

## SECTION II – KEY INFORMATION REGARDING PREQUALIFICATION

### A. PREQUALIFICATION

Firms seeking to be prequalified (“Respondent”) to competitively bid on Commission projects are required to submit evidence of relevant experience and financial capability on projects and otherwise meet all qualification requirements as outlined herein.

In order to facilitate the competitive bid process, the Commission will review the submissions of General Contractors in response to this RFQ. The submissions will be evaluated by the Commission based upon the criteria described herein. Following the evaluation process, the Commission will prequalify those firms that are determined to be responsible to perform the construction-related work on Commission projects.

### B. SELECTION PROCESS

The Commission will prequalify General Contractors based on the categories listed below.

**Please indicate which classification type you are requesting prequalification for by marking ‘X’ in the box provided. Firms must check only one classification.**

- Class A General Contractor*  
Class A Contractor shall be subject to no limitation as to the value of any single contract project.
- Class B General Contractor:*  
Class B Contractor shall not engage in construction activity of any single contract project of a value in excess of \$10,000,000.00.
- Class C General Contractor:*  
Class C Contractor shall not engage in construction activity of any single contract project of a value in excess of \$5,000,000.00.
- Class D General Contractor:*  
Class D Contractors shall not engage in construction activity of any single contract project of a value in excess of \$2,000,000.00.
- Class E General Contractor:*  
Class E Contractors shall not engage in construction activity of any single contract project of a value in excess of \$500,000.00.

### C. PREQUALIFICATION TERM

This prequalification is anticipated to be valid through December 31, 2028. The PBC may require pre-qualified firms to provide updates to their qualifications such as annual financial statements to remain valid. Should a firm’s City of Chicago business license change during the pre-qualification process and/or term, Respondent must submit proof of change to the Commission. Upon review of proof of change and any additional information requested, the Commission may issue a revised prequalification determination letter to firm.

### D. RESERVATIONS

The Commission’s approval of a firm pursuant to this RFQ does not mean that the Commission approves the firm as qualified to perform a specific project. This prequalification will be utilized on a project-by-project basis. At the full discretion of the Commission, the Commission holds, among other rights and powers, the following reservations.

The right to:

- request any additional, relevant information determined to be necessary for the proper evaluation of a submission,
- review a firm’s qualifications to perform a specific project at the time of the bid opening,
- reject a firm’s bid proposal if the Commission determines that the firm is not qualified to perform the project,
- require project-specific prequalification based on the needs of each class,
- bid projects to the entire pool, a specific category, or a subset of each category; and,
- extend the prequalification beyond December 31, 2028, at the mutual agreement of the firm and PBC.

## SECTION II – KEY INFORMATION REGARDING PREQUALIFICATION

### E. KEY INFORMATION

- 1) **RESPONDENT CONTACT WITH THE PBC:** The PBC has selected the Contract Officer, Patricia Montenegro, as the *sole point of contact* regarding this prequalification. **From the date of issuance through prequalification determination, Respondent's communication with the PBC concerning this prequalification must be exclusively with:**

Patricia Montenegro, Contract Officer  
Public Building Commission of Chicago  
50 West Washington, Room 200  
Chicago, Illinois 60602  
[patricia.montenegro@cityofchicago.org](mailto:patricia.montenegro@cityofchicago.org)

- 2) **SUBMISSION DEADLINE AND PROCUREMENT TIMETABLE:** The following dates are set forth for informational and planning purposes; however, the PBC reserves the right to change the dates.

Issue RFQ ..... Monday, August 7, 2023  
Pre-Submission Conference/Contractor Workshop ..... Tuesday, August 22, 2023  
Questions Deadline ..... Tuesday, August 29, 2023 by 4:00 PM Central Time  
Submission Deadline ..... Tuesday, October 3, 2023 by 4:00 PM Central Time

- 3) **PRE-SUBMISSION CONFERENCE/CONTRACTOR WORKSHOPS:** The PBC will be hosting a **Mandatory Pre-Submission Conference** and an Optional **Contractor Workshop** to provide detailed information regarding this prequalification and its submission requirements. Failure to attend the mandatory Pre-Submission Conference may deem firm ineligible to be prequalified under this solicitation.

Event Date: Tuesday, August 22, 2023  
Registration Time: 9:30AM  
Pre-Submission Conference: 10:00AM  
Contractor Workshop (Optional): Immediately following Pre-Submission Conference  
Event Location: The South Shore Cultural Center  
Paul Robeson Theater  
7059 S South Shore Drive  
Chicago, Illinois 60649

- 4) **SUBMISSIONS:**

Submit one (1) electronic copy of your submission in PDF format to the attention of Patricia Montenegro, Contract Officer, via email at: [patricia.montenegro@cityofchicago.org](mailto:patricia.montenegro@cityofchicago.org). Please refer to Section V. for additional submission requirements.

If your firm is unable to comply with electronic submission requirements, please provide a request in writing to the Contract Officer seven (7) days before submission deadline. Please detail the reason(s) your firm is unable to provide an electronic response. The Commission reserves the right to request additional information. The Commission's decision to allow an alternate submission will be binding.

Submittals received prior to the Submission Deadline will be securely kept by the Commission.

- 5) **RIGHT TO CANCEL:** The PBC reserves the right to cancel this procurement process whenever the best interest of the PBC is served. The PBC shall not be liable for costs incurred by Contractors associated with this procurement process.
- 6) **ADDENDA:** Any clarifications, corrections, or changes to this RFQ will be made by addenda issued by the Commission. Addenda are posted on the Commission's website at: [www.pbcchicago.com](http://www.pbcchicago.com), under Doing Business, Current Opportunities. It is the responsibility of the Respondent(s) to inquire as to the issuance of any addenda. Respondent(s) shall acknowledge receipt of all addenda in the cover letter of the response.
- 7) **CONFIDENTIALITY:** Respondent may designate those portions of the Submission, which contain proprietary data and that must remain confidential, as such. If a Respondent includes data that is not to be disclosed to the public for any purpose or used by the PBC except for evaluation purposes, the Respondent must:
- a. Mark the title page as follows: "This RFQ includes proprietary data ("data") that may not be disclosed outside the PBC and may not be duplicated, used or disclosed in whole or in part for any purpose other than to evaluate this Proposal. The data subject to this restriction are contained in sheets (insert page numbers or other identification)." The PBC, for purposes of this provision, will include any consultants assisting in the evaluation of Proposals. If, however, a contract is awarded to this Respondent as a result of or in connection with the submission of this data, the PBC has the right to duplicate, use, or disclose the data to the extent provided in the resulting contract.

## SECTION II – KEY INFORMATION REGARDING PREQUALIFICATION

This restriction does not limit the PBC's right to use information contained in the data if it is obtained from another source without restriction. All submissions are subject to the Freedom of Information Act.

b. Mark each sheet or data to be restricted with the following legend: "Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this Proposal."

- 8) **FALSE STATEMENTS:** Any false statement(s) made by the Respondent(s) will void the response and may eliminate the Respondent(s) from further consideration.
- 9) **DEBARMENT:** Any firm prequalified under this solicitation and later found to have been debarred by the City of Chicago, and/or other local, state or federal agencies, as applicable, shall have their prequalification revoked.

### F. ANTICIPATED KEY CONTRACTUAL OBLIGATIONS

Respondents should take into consideration key PBC contractual obligations (or requirements) to determine whether your firm would be capable of performing work for the PBC.

The information identified below is not intended to discourage potential Respondents in any way but only to inform of some of the preliminary contract requirements. The PBC is fully dedicated to working with General Contractors to ensure their compliance with meeting PBC contract requirements and ensuring successful completion of PBC projects.

**Unless otherwise noted, all Respondents should adhere to the submission requirements following each item listed below. A Submission Checklist is provided in this document to assist your firm in determining which form is applicable to your firm and required with your submission.**

- 1) **MINORITY BUSINESS ENTERPRISE (MBE) / WOMEN BUSINESS ENTERPRISE (WBE) PARTICIPATION:** It is the PBC's policy to provide for maximum contracting opportunities for MBE/WBE firms on all PBC projects. MBE/WBE firms are encouraged to pre-qualify to bid as General Contractors. All PBC construction projects have aspirational goals of at least 26% MBE Participation and at least 6% WBE Participation, unless otherwise changed through the bid solicitation. The PBC accepts MBE/WBE certifications from City of Chicago and Cook County only.

**For purposes of this RFQ, all Respondents shall complete FORM H – MBE/WBE, EEO, CRO, AND CH PARTICIPATION: MBE/WBE PARTICIPATION of which demonstrates commitment to meeting PBC's MBE/WBE Participation Goals.**

- 2) **JOINT VENTURE PARTICIPATION: (ONLY APPLICABLE TO FIRMS INTERESTED IN JOINT VENTURE PARTNERSHIPS)** The PBC encourages and accepts Joint Venture Partnerships. Joint Venture Partnerships of General Contractors with appropriate qualifications, financial capacity and combined construction experience and capacity are eligible to be considered for this prequalification.

Respondent must submit a copy of the entity's joint venture agreement which clearly identifies the resources, capabilities and capacity of each joint venture firm available to be allocated to the performance of the Contract.

Furthermore, the PBC strongly encourages the participation of MBE and WBE firms as joint venture partners. Therefore, the PBC accepts General Contractors who are seeking prequalification through this process to submit as joint ventures with MBE/WBE firms. The joint venture can be established after the prequalification process has concluded but before a project-specific bid is due. The MBE/WBE joint venture partner does not need to be prequalified; however, the firm with controlling interest in the joint venture must be prequalified.

Joint ventures of MBE/WBE contractors and non-MBE/WBE contractors are also invited to apply directly for prequalification.

**For purposes of this RFQ, all Respondents submitting as a Joint Venture Partnership must include with their submission, a copy of the entity's joint venture agreement as described above and FORM J – JOINT VENTURE AFFIDAVIT, as applicable. Each Joint Venture partner will also be required to submit all applicable forms requested in this RFQ, including a completed Disclosure Affidavit (FORM E).**

- 3) **EQUAL EMPLOYMENT OPPORTUNITY (EEO) REQUIREMENTS:** General Contractors will be required to comply with all laws with respect to the employment of labor and payment of local prevailing wage rates.

It is an unlawful employment practice for a General Contractor to fail to hire, to refuse to hire, to discharge, or to discriminate against any individual with respect to compensation or the terms, conditions, or privileges of employment because of such individual's race, color, religion, sex, age, handicap, or national origin; or to limit, segregate, or classify employees or applicants for employment or otherwise; or to adversely affect such individual's status as an employee because of such individual's race, color, religion, sex, sexual orientation, age, handicap, or national origin.

**For purposes of this RFQ, all Respondents shall complete FORM H – MBE/WBE, EEO, CRO, AND CH PARTICIPATION: EEO, CRO, AND CH PARTICIPATION of which demonstrates commitment to meeting PBC's EEO requirements.**

## SECTION II – KEY INFORMATION REGARDING PREQUALIFICATION

- 4) **PROJECT LABOR AGREEMENT:** General Contractors may be required to comply with all applicable multi-project labor agreements enacted by the User Agency for which the PBC may deliver a project. The PBC may require the General Contractor to submit evidence of signatory relationships with Labor Unions. Evidence may include letter(s) of good standing or similar union benefits status documentation.

**For purposes of this RFQ, all Respondents shall complete FORM D – LICENSING AND GENERAL INFORMATION Section III. PROJECT LABOR AGREEMENT REQUIREMENTS of which demonstrates commitment to meeting PBC’s Project Labor Agreement requirements.**

- 5) **LOCAL BUSINESS SUBCONTRACTING PARTICIPATION, CITY RESIDENCY (CR) AND COMMUNITY HIRING (CH):** In order to ensure that local businesses that provide subcontracting work to General Contractors on Commission projects and residents of the project communities are provided with the opportunity to benefit from Commission contracts, the Commission requires the following:

a. Local Subcontracting Requirement

- i. General Contractors that are Local Businesses (as defined below) are required to award 25% of the Work under their contract with the Commission to subcontractors that are Local Businesses.
- ii. General Contractors that are not Local Businesses are required to award 35% of the Work under their contract with the Commission to subcontractors that are Local Businesses.
- iii. A Local Business is one that: 1) owns or leases a functioning business office and/or operations facilities within the City of Chicago (for City-funded projects) or the County of Cook (for Non-City-funded projects); 2) is registered and licensed to do business in the City of Chicago (for City-funded projects) or the County of Cook (for Non-City-funded projects); 3) employs City of Chicago residents (for City-funded projects) or Cook County residents (for Non-City-funded projects); and 4) is subject to City of Chicago taxes (for City-funded projects) or Cook County taxes (for Non-City-funded projects). In the event that the Commission performs a project for a unit of local government that operates in multiple municipalities, such as the Metropolitan Water Reclamation District, “Local Business” shall be defined in the bid documents for that project.

- b. Community Hiring Requirement\* At least 7.5% of the project labor must be performed by “Project Community Residents” and included on a “Project Community Area Map” that will be referenced on the solicitation. The aggregate hours of Work to be performed by the Contractor and Subcontractors under this Contract may be complied through residents who are trade or non-trade workers. These positions may include but are not limited to trade workers, field engineer, superintendent, project manager, security, data entry clerks, schedulers, traffic monitoring personnel, and site administrative support staff.

- c. City of Chicago Residency Requirements\* The Contractor agrees to ensure that the aggregated hours of Work to be performed under this Contract will be performed such that at least 50% of the aggregated hours of Work is performed by City of Chicago Residents.

\*These minimal percentage levels of City of Chicago Residents and Project Community Residents as laborers and skilled trade workers are not to be understood as limiting or determining the fuller utilization of City of Chicago Residents and Project Community Residents beyond these numerical levels, but are intended instead as minimum requirements unless the Commission grants a waiver based upon demonstration by the Contractor of impracticability or excessive cost of complying with the specified percentages. A waiver or reduction will be considered if the Contractor has unsuccessfully solicited a sufficient number of City of Chicago Residents and Project Community Residents to perform the Work and has documented such effort to the satisfaction of the Commission. In addition, a Contractor seeking a waiver or reduction will provide timely notice of the need for qualified City of Chicago Residents and Project Community Residents to an appropriate source of referrals, in which the source is entitled to comment on any waiver or reduction application.

**For purposes of this RFQ, all Respondents shall complete FORM H – MBE/WBE, EEO, CRO, AND CH PARTICIPATION: EEO, CRO, and CH PARTICIPATION of which demonstrates commitment to meeting PBC’s Subcontracting, City Residency, and Community Hiring requirements.**

- 6) **BONDS:** On a project-by-project basis, the Commission may require a bid guarantee at bid submission and a full payment and performance bond within five (5) days of bid bond. General Contractors may be required to furnish proof of its ability to provide the bonds required by the Contract with its bid. A letter from the Bidder’s surety affirming the surety’s willingness to provide the Bidder’s bonds would be sufficient.

**For purposes of this RFQ, all Respondents must submit a letter from Respondent’s Surety identifying the Respondent’s current Bonding Capacity and complete FORM D – LICENSING AND OTHER INFORMATION Section IV SURETY BONDING.**

- 7) **SAFETY INFORMATION:** Respondents shall demonstrate the quality of their overall safety program as evidenced by their history of citations, OSHA incident rate and Experience Modification Rate (EMR).

**For purposes of this RFQ, General Contractor Class A, B, and C classifications must complete FORM I – SAFETY INFORMATION and submit a copy of the Table of Contents of the Safety Program Manual. General Contractor Class D and E must provide a statement, not to exceed two full pages (8 ½ X 11), demonstrating its precautionary Safety Measures.**

## SECTION II – KEY INFORMATION REGARDING PREQUALIFICATION

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- 8) **QUALITY CONTROL PLAN (QC):** Respondents shall demonstrate their experience with implementation of QC processes.

**For purposes of this RFQ, General Contractor Class A, B, and C classifications must submit a copy of their Quality Control Plan. General Contractor Class D and E must provide a statement, not to exceed two full pages (8 ½ X 11), demonstrating your Quality Control measures.**

- 9) **PROJECT SCHEDULING:** The PBC may require General Contractors to submit schedules electronically or utilize scheduling software for project management purposes.

**For purposes of this RFQ, all Respondents must submit a sample of a project schedule.**

- 10) **INSURANCE:** General Contractors shall provide and maintain at Contractor's own expense, the minimum insurance coverage and requirements specified in the bid opportunity, insuring all operations related to the Contract. The insurance must remain in effect from the date of the Notice to Proceed until Substantial Completion of a project, during completion of Punch List, as well as any time the General Contractors or its Subcontractors return to perform additional work regarding warranties or for any other purpose, unless otherwise noted in the requirements.

**For purposes of this RFQ, all Respondents shall submit a copy of their Certificate of Insurance showcasing their current coverage limits and, if different, a commitment to meeting the coverages as outlined in EXHIBIT A – INSURANCE REQUIREMENTS.**

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## SECTION III – PROJECT SUMMARY

### A. DESCRIPTION OF GENERAL CONSTRUCTION WORK

General Contractors awarded contracts for PBC projects will be responsible for providing all required labor and materials, equipment, supervision and administration necessary to complete the scope of work (“Work”) described in each solicitation. The Work will be supervised and administered on behalf of PBC by the PBC’s authorized Commission representative and such staff personnel as shall be determined by PBC in accordance with procedures established by the Commission.

Specific work for assigned projects may include, but shall not be limited to, the following:

1. Confirming project scope
2. Procuring all materials, equipment, labor and vendor services
3. Providing and maintaining sufficient staffing
4. Providing any/all general requirements
5. Completing the punch list corrective work and turnover requirements
6. Submitting samples, shop drawings and reports
7. Procuring all permits, licenses and approvals
8. Providing warranties, testing and operations manuals
9. Properly managing, coordinating and performing environmental remediation, and/or related work
10. Providing insurance and performance and payment bond
11. Complying with all directives and policies of the Commission
12. Participating in periodic project coordination meetings
13. Meeting with the representatives of the Commission and the User, as required
14. Preparing and submitting timely reports concerning the progress of work
15. Complying with MBE/WBE, City Residency, EEO, Community Hiring and other requirements
16. Maximizing hiring opportunities for community members

Work will be performed in compliance with all applicable rules, codes and regulations; will consist of the specific obligations described in the bid solicitation for each project; and shall be performed in accordance with commonly known CSI Divisions identified below.

DIVISION 01 00 00	GENERAL REQUIREMENTS	DIVISION 15 00 00	MECHANICAL
DIVISION 02 00 00	EXISTING CONDITIONS	DIVISION 16 00 00	ELECTRICAL
DIVISION 03 00 00	CONCRETE	DIVISION 21 00 00	FIRE SUPPRESSION
DIVISION 04 00 00	MASONRY	DIVISION 22 00 00	PLUMBING
DIVISION 05 00 00	METALS	DIVISION 23 00 00	HEATING, VENTILATING, AND AIR-CONDITIONING (HVAC)
DIVISION 06 00 00	WOOD, PLASTICS AND COMPOSITES	DIVISION 25 00 00	INTEGRATED AUTOMATION
DIVISION 07 00 00	THERMAL AND MOISTURE PROTECTION	DIVISION 26 00 00	ELECTRICAL
DIVISION 08 00 00	OPENINGS	DIVISION 27 00 00	COMMUNICATIONS
DIVISION 09 00 00	FINISHES	DIVISION 28 00 00	ELECTRONIC SAFETY AND SECURITY
DIVISION 10 00 00	SPECIALTIES	DIVISION 31 00 00	EARTHWORK
DIVISION 11 00 00	EQUIPMENT	DIVISION 32 00 00	EXTERIOR IMPROVEMENTS
DIVISION 12 00 00	FURNISHINGS	DIVISION 33 00 00	UTILITIES
DIVISION 13 00 00	SPECIAL CONSTRUCTION	DIVISION 40 00 00	PROCESS INTEGRATION
DIVISION 14 00 00	CONVEYING EQUIPMENT		

Care and diligence has been used in the preparation of this information and it is believed to be substantially correct. Respondents must fully examine the scope of services of each individual bid opportunity. The Commission and its representatives will not be responsible for any errors or omissions in this RFQ, nor for the failure on the part of the Respondent(s) to familiarize themselves with the requirements of the solicitation.

Respondents should refer to Sample Book 1 Instruction to Bidders and Sample Book 2 Standard Terms and Conditions to familiarize themselves with PBC’s Contract Documents. Click on the following link to view these documents: <https://pbcchicago.com/doing-business/contractforms/>.

## SECTION IV – EVALUATION CRITERIA

### A. EVALUATION PROCESS

An Evaluation Committee (EC) will review the Respondent's qualifications in accordance with submission requirements and evaluation criteria set forth in this document. The EC will render a recommendation for final determination and request approval from PBC Board of Commissioners to select the pool of pre-qualified General Contractors.

The PBC reserves the right to seek clarification of information submitted in response to this RFQ and/or request additional information during the evaluation process. The PBC reserves the right to accept or reject any or all qualifications and selections when it is determined, at the sole discretion of the PBC.

### B. EVALUATION CRITERIA

The PBC shall review and evaluate the submissions of each Respondent in accordance with the following criteria. The PBC will rely upon the General Contractor to verify that prospective vendor(s) and subcontractor(s) are appropriately licensed, insured and bonded and meet all other requirements specified by the construction contract pursuant to procedures and policies of the Commission. The Commission reserves the right to add, delete or modify any requirements at its discretion.

#### 1) Technical Competence and Past Performance – WEIGHT 50%

Respondents should possess verifiable experience and demonstrate past performance in the construction and/or renovation of public or private construction projects comparable to those previously performed by PBC (refer to Section I. Introduction).

Respondents shall identify a minimum of five (5) projects performed within the last three (3) years. Projects (completed or in progress) must be those performed within your licensing capacity, performed locally, and demonstrate your firm's experience with the City of Chicago's permitting and inspection process. Firms may include projects performed for the Commission.

Please include a description that fully showcases the breadth and depth of experience of different-sized projects with varying levels of complexity. Provide examples of logistically challenging renovations to existing schools, offices, libraries, or mechanical, electrical, plumbing, or fire protection (M/E/P/FP) tie-ins, asbestos abatement, conversion of existing spaces into other uses, or any other trade-specific or specialty-specific projects (such as fencing).

Examples of past performance should demonstrate work performed during compressed schedules or summer critical work and renovation of selected areas within an occupied building and site work improvements. In addition, scope may include coordination of multiple phases with other contractors on site. Demonstrate experience with phased construction. If your firm has received "Notice to Cure" pursuant to an agreement and/or contract, please provide example(s) of how your firm addressed the Notice, and what steps your firm has taken to avoid future non-compliance.

**For purposes of this RFQ, all Respondents must identify at least five comparable projects within the last three years and complete FORM A – TECHNICAL COMPETENCE AND PAST PERFORMANCE.**

Limited No of Pages for this Criterion: 12

#### 2) Qualifications and Relevant Experience of Key Personnel – WEIGHT 40%

Respondents should demonstrate they employ or have the capacity to employ adequately qualified and experienced Key Personnel (Project Executive/Principal, Project Manager, Superintendents, Scheduler, MEP/FP Coordinator, Quality Control Manager, Safety Director, and Sustainability Coordinator), as needed, to provide the Work. The level of Key Personnel required on a project may vary by General Contractor classification.

**Attach resumes.** The PBC will review resumes of the individuals identified as Key Personnel Roles in the evaluation process.

**For purposes of this RFQ, all Respondents shall complete FORM B – KEY PERSONNEL as applicable to your classification and submit resumes for each key personnel.**

Limited No of Pages for this Criterion: One (1) FORM B for each proposed Key Personnel and up to a two (2)-page resume per proposed Key Personnel

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## SECTION IV – EVALUATION CRITERIA

### 3) Financial Capacity – WEIGHT 10%

Respondents should demonstrate they have the financial resources necessary to successfully deliver projects and pay sub-contractors as necessary.

- A. Respondents shall furnish an audited financial statement including notes, such as, but not limited to, balance sheets and/or profit and loss statements, for the last three (3) years demonstrating that the Respondent has the financial viability and ability to perform the Services. If a joint venture, submit financial statements for the joint venture name and each joint venture partner. Independent accountant may provide a copy of a complete financial statement. All notes and schedules must be provided. The Respondent shall also submit annual reports and a written disclosure advising of any pending litigation against the Respondent that may have a material effect in Respondent's ability to provide the Services.
- B. In the event Respondent does not have an audited financial statement, Respondent may submit a review or compilation prepared by an outside accountant with the notes. The PBC will consider other financial documents (ie Tax Returns) in lieu of financial statements and/or review/compilation.

The Commission, reserves the right to request additional information from all General Contractor classifications.

**For purposes of this RFQ, all Respondents must complete FORM C – FINANCIAL CAPACITY as applicable to your classification. General Contractor Class A, B, and C must provide financial statements as requested in letter (A) above. General Contractor Class D and E, must provide financial statements as requested in letter (B) above, if no audited financial statements are available.**

### C. OTHER CRITERIA

#### 1) General Information

The following items are prerequisites the Commission requires of General Contractors in the performance of any work requested by the Commission. They are not weighted in the Evaluation Criterion; however, submission of these documents is required and will be considered when determining prequalification determination.

##### a. Licensing

General Contractors shall possess the current licenses listed below and meet all license requirements in order to perform the type of work solicited by the PBC.

- a. State business license(s)
- b. City of Chicago business license
- c. General Contractor license, specific to your capacity

**For purposes of the RFQ, all Respondents must include copies of all applicable licenses and complete FORM D – LICENSING AND GENERAL INFORMATION.**

##### b. Affidavits, Certifications, and Other

General Contractors should include the following information with their submission.

- i. Disclosure Affidavit

**For purposes of this RFQ, all Respondents shall complete FORM E – DISCLOSURE AFFIDAVIT detailing history and ownership of the responding firm.**

- ii. Disclosure of Retained Parties

**For purposes of this RFQ, all Respondents shall complete FORM F – DISCLOSURE OF RETAINED PARTIES.**

- iii. Legal Actions

Eligible contractors must demonstrate a performance history without an indication of recurring defaults or terminations on projects, failures to complete projects on schedule, litigation history, including judgments and outstanding lawsuits, and violation of laws relevant to the evaluation of this criterion.

**For purposes of this RFQ, all Respondents shall complete FORM G – LEGAL ACTIONS demonstrating responding firm's performance history without recurring defaults or terminations on projects.**

## SECTION V – SUBMISSION REQUIREMENTS

### A. SUBMISSION REQUIREMENTS

These instructions describe the format and content of the submission and are designed to facilitate a fair and uniform review process. Failure to adhere to the submission format may affect evaluation and may result in disqualification of your submission. The PBC expressly reserves the right to reject or accept submissions at the discretion of the Commission.

#### 1) Submission Format:

- a. Submissions must be a single, searchable PDF document with the exception of documents that are only available as a copy. (ie copies of licenses, certificates, and/or permits).
- b. Submissions must be assembled as outlined in *Section B. Organization of Response and Submission Checklist* below.
- c. Any additional attachments and/or narrative statements must be referenced in the Submission, included within their applicable sections, and have the following information noted on the attachment:

(Sample)

[YOUR COMPANY NAME]

Narrative Statement to FORM H – MBE/WBE, EEO, CRO, AND CH PARTICIPATION

Page \_\_\_ of \_\_\_

- d. Please stamp or type your firm's name and letter of the classification you are seeking prequalification for on the lines provided in the bottom of each page of your submission.
- e. Submissions must be emailed to the attention of Patricia Montenegro, Contract Officer at: [patricia.montenegro@cityofchicago.org](mailto:patricia.montenegro@cityofchicago.org).

Note: There is a file size limitation of 25MB. Should your submission exceed 25 MB, please provide access to your firm's submission via Dropbox or other secure program/link.

### B. ORGANIZATION OF RESPONSE AND SUBMISSION CHECKLIST

Submissions must be organized in the manner prescribed below and as outlined in the Submission Checklist. Failure to adhere to this format may affect evaluation and may result in disqualification of your submission. The PBC expressly reserves the right to reject or accept submissions at the discretion of the Commission.

#### 1) Cover Letter and Table of Contents (TAB 1)

##### Cover Letter

The Cover Letter must include a brief description of your firm's company history, experience, and number of years in business. The letter must include the Respondent's mailing address, e-mail address, and telephone number. Respondent must also acknowledge any addenda issued and posted to the PBC website in the Cover Letter.

An individual authorized to legally bind the Respondent must sign the cover letter. The person who signs the cover letter will be considered the contact person for all matters pertaining to the Submission unless the Respondent designates another person in writing.

Any requests for confidential treatment of information must be included and the specific statutory basis supporting the request, an explanation of why disclosure of the information is not in the best interest of the public, and the specific basis under Section 7 of the Illinois Freedom of Information Act (5 ILCS 140/7) for the exemption from disclosure of such information. The request must also contain the name, address, and telephone number of the individual authorized to respond to the Commission about the confidential nature of the information. For further instructions, please refer to Section II. (E)(7).

##### Table of Contents

The Respondent must include a Table of Contents in its Submission that includes a reference to the section and the page numbers the information can be found on. Submissions must be page-numbered sequentially from front to back.

Limited No. of Pages: 3

#### 2) Evaluation Criteria: Technical Competence and Past Performance (TAB 2)

Identify at least five projects within the last three years and complete FORM – A TECHNICAL COMPETENCE AND PAST PERFORMANCE.

#### 3) Evaluation Criteria: Key Personnel (TAB 3)

Identify Key Personnel and complete FORM B – KEY PERSONNEL as applicable to Respondent's classification and submit resumes for each key personnel.

## SECTION V – SUBMISSION REQUIREMENTS

### 4) Evaluation Criteria: Financial Capacity (TAB 4)

Provide all financial statements as applicable to Respondent's classification. Complete FORM C – FINANCIAL CAPACITY as applicable. (To be provided as a separate electronic, PDF document with your submission)

### 5) Other Criteria: Licensing and General Information, Affidavits and Legal Actions (TAB 5)

Provide a copy of all applicable licenses. Provide a letter from Respondent's Surety. Complete FORM D – LICENSING AND GENERAL INFORMATION, FORM E – DISCLOSURE AFFIDAVIT, FORM F – DISCLOSURE OF RETAINED PARTIES and FORM G – LEGAL ACTIONS.

### 6) MBE/WBE, EEO, CRO and CH Participation (TAB 6)

Complete FORM H – MBE/WBE, EEO, CRO, AND CH PARTICIPATION and provide City and/or County Certification Letter, if applicable.

### 7) Safety Information and Quality Control Plan (TAB 7)

Complete FORM I – Safety Information and provide safety information as applicable to Respondent's classification.

Provide Quality Control Plan as applicable to Respondent's classification.

### 8) Project Scheduling (TAB 8)

Provide a sample of your firm's project schedule.

### 9) Insurance Certificate (TAB 9)

Provide a copy of Respondent's existing Certificate of Insurance and evidence of ability to obtain coverages as listed in Exhibit A. Insurance Requirements.

### 10) Joint Venture Participation (TAB 10)\*

\*Applicable to General Contractors intending on prequalifying as Joint Venture Partners. Submit a copy of the entity's joint venture agreement and submit FORM J – Joint Venture Affidavit, as applicable.

NOTE: As described in Section II. Key Information Regarding Prequalification, (F)(2), each Joint Venture Partner will also be required to submit all applicable forms requested in this solicitation.

## C. REJECTION OF SUBMISSIONS

Submissions that do not comply with the submission requirements of the RFQ or that contain omissions, erasures, alterations that are irregular in any way, may be rejected as informal and insufficient. The PBC, however, reserves the right to waive any or all informalities when it considers a waiver to be in its and the public's best interest.

## D. OWNERSHIP OF SUBMISSION

The PBC owns all submitted materials. Submissions will not be returned to Respondents. During the evaluation and selection period and after the Selected Respondent(s) sign the Agreement(s), all Submittals remain the property of the PBC. The PBC shall not be responsible for expenses incurred in preparing and submitting the submission. Such costs must not be included in the submission.

## E. IMPROPER PRACTICES

The Respondent must not offer any gratuities, favors, or anything of monetary value to any member of the Board of Commissioners of the PBC, official, or employee of the PBC for the purpose of influencing consideration of the Submittal. The Respondent must not collude in any manner or engage in any practices with any other Respondent(s) or potential Respondent(s) that may restrict or eliminate competition or otherwise restrain trade. Violation of this instruction will cause the Respondents' response to this RFQ to be rejected by the PBC. Notwithstanding the foregoing, this prohibition is not intended to preclude joint ventures, licenses or subcontracts.

## F. COMPLIANCE WITH LAWS

The Selected Respondent(s) must comply with all laws, statutes, ordinances and regulations of any and all governmental body, including the PBC and Federal, state, local and city governments. Respondents' attention is directed to the provisions of Article 33E of the Illinois Criminal Code, 720 ILCS 5/33E-1 et seq. (as amended), but Respondents must comply with any other provisions that apply to or in any manner affect any Services performed under their resultant contracts/agreements.

## SECTION V – SUBMISSION REQUIREMENTS

The table below has been created to help facilitate the submission process. Please mark the box next to each item indicating the information has been submitted.

<b>SUBMISSION CHECKLIST</b>	
<b>TAB 1</b>	
	Cover Letter Table of Contents
<b>TAB 2</b>	
	(Evaluation Criteria) Form A - Technical Competence and Past Performance
<b>TAB 3</b>	
	(Evaluation Criteria) Form B - Key Personnel Resumes
<b>TAB 4 (To be provided as a separate electronic, PDF document with your submission)</b>	
	(Evaluation Criteria) Form C - Financial Capacity Financial Statements, as applicable
<b>TAB 5</b>	
	Form D - Licensing and General Information - (Other Criteria) Form E - Disclosure Affidavit - (Other Criteria) Form F - Disclosure of Retained Parties - (Other Criteria) Form G - Legal Actions - (Other Criteria) Copies of applicable licenses Surety Letter
<b>TAB 6</b>	
	Form H - MBE/WBE, EEO, Community Participation Certification Letter(s), if applicable
<b>TAB 7</b>	
	Form I – Safety Information Copy of Safety Manual Table of Content, if applicable Quality Control Plan
<b>TAB 8</b>	
	Project Scheduling
<b>TAB 9</b>	
	Insurance Certificate
<b>TAB 10 (Applicable only to firms interested in pre-qualifying as a Joint Venture)</b>	
	Joint Venture Agreement Form J - Joint Venture Affidavit, if applicable

# FORM A – TECHNICAL COMPETENCE AND PAST PERFORMANCE

**INSTRUCTIONS:** The following shall be completed by all General Contractor Classification Types.  
Please complete one form for each of the five projects requested.

## EVALUATION CRITERIA FOR TECHNICAL COMPETENCE AND PAST PERFORMANCE

Respondents should possess verifiable experience and demonstrate past performance in the construction and/or renovation of public or private construction projects comparable to those previously performed by PBC (refer to Section I. Introduction).

Respondents shall identify a minimum of five (5) projects performed within the last three (3) years. Projects (completed or in progress) must be those performed within your licensing capacity, performed locally, and demonstrate your firm's experience with the City of Chicago's permitting and inspection process. Firms may include projects performed for the Commission.

Please include a description that fully showcases the breadth and depth of experience of different-sized projects with varying levels of complexity. Provide examples of logistically challenging renovations to existing schools, offices, libraries, or mechanical, electrical, plumbing, or fire protection (M/E/P/FP) tie-ins, asbestos abatement, conversion of existing spaces into other uses, or any other trade-specific or specialty-specific projects (such as fencing).

Examples of past performance should demonstrate work performed during compressed schedules or summer critical work and renovation of selected areas within an occupied building and site work improvements. In addition, scope may include coordination of multiple phases with other contractors on site. Demonstrate experience with phased construction. If your firm has received "Notice to Cure" pursuant to an agreement and/or contract, please provide example(s) of how your firm addressed the Notice, and what steps your firm has taken to avoid future non-compliance.

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# FORM A – TECHNICAL COMPETENCE AND PAST PERFORMANCE

PROJECT NO. \_\_\_\_\_

PROJECT NARRATIVE

Empty area for project narrative.

## FORM B – KEY PERSONNEL

**INSTRUCTIONS: All General Contractors must provide the following information, as applicable to their classification type.**

- Class A-C General Contractors - Please complete this form for all key personnel roles identified below.
- Class D&E General Contractors – Please complete this form for the following key personnel: Project Lead. If your firm has personnel in any of the various capacities listed below, you may submit a form for each applicable key personnel.

### EVALUATION CRITERIA FOR KEY PERSONNEL

Respondents should demonstrate they employ or have the capacity to employ adequately qualified and experienced Key Personnel (Project Manager, Superintendents, Scheduler, MEP Coordinator, Quality Control Manager, Safety Manager and Sustainability Coordinator), as needed, to provide the Work. The level of Key Personnel required may vary by General Contractor classification. Attach resumes.

#### Description of Key Personnel Roles

##### Project Executive/Principal

*The Project Executive/Principal shall have full responsibility for project delivery including compliance with contract requirements.*

##### Project Manager (or Project Lead for Class D&E General Contractors)

*The Project Manager shall have full responsibility for the prosecution of the Work with full authority to act in all matters as necessary for the proper coordination, direction, commitment of resources, and technical administration of the Work. The Project Manager will attend meetings at such places and times as will be decided by the Commission or Architect in order to render reports on the progress of the Work. The General Contractor will not change Project Manager without the consent of the Commission, unless such staff member proves to be unsatisfactory to the Contractor and ceases to be in its employ.*

*For Class D&E General Contractors – Project Lead may be the Owner, Project Liaison, Point of Contact, or other authorized, firm representative who would serve in the capacity of 'Project Manager' as defined above.*

##### Scheduler

*To assist in the preparation and maintenance of the Schedule, the General Contractor may engage, at its own expense, a consultant who is skilled in the application of network techniques for construction projects and the use of PBC's scheduling software (Primavera). If the General Contractor has qualified personnel on staff, the General Contractor may perform the required scheduling with its own organization.*

##### Superintendent

*The General Contractor shall keep, throughout the duration of a Project, a competent, experienced and qualified Superintendent and any necessary assistants, all of whom must be satisfactory to the Commission. This Superintendent's résumé shall be submitted to the Commission Representative for approval if so requested by the Commission. The Superintendent shall be present at the Site when Contractor's personnel and/or Subcontractors are present.*

*The Superintendent shall not be changed without the consent of the Commission, unless the Superintendent proves to be unsatisfactory to the Contractor or becomes unavailable due to reasons beyond the control of Contractor. In order to change the Superintendent, the Contractor shall give the Commission Representative written notice and submit for approval the qualifications of the proposed replacement Superintendent at least 15 Days prior to the intended change.*

*The Superintendent shall represent the General Contractor in the absence of the Project Manager and all directions given to the Superintendent shall be as binding as if given to the Project Manager.*

##### MEP Coordinator

*The General Contractor shall provide a staff member or members, as necessary, which is/are experienced in coordination of mechanical and electrical work on projects of similar type and scale, including administration and supervision of mechanical and electrical work and meet the requirements as described in the Contract Documents.*

##### Safety Director

*The General Contractor shall provide a Safety Director who is a qualified and competent employee responsible for the preparation, execution and continuous improvement of the safety management system (SMS) within an organization. This individual is the prime mover of all safety related issues in the organization.*

##### Quality Control Manager

*The General Contractor shall provide a Quality Control (QC) Manager who will be responsible for the set of processes used to measure and guarantee the quality of the Work to ensure it meets industry-wide standards.*

##### Sustainability Coordinator

*The General Contractor shall have a designated Sustainability Coordinator to assist the Contractor in fulfilling all LEED and/or Sustainability required tasks. The Sustainability Coordinator is subject to the approval of the Commission and shall be a LEED Accredited Professional (LEED AP) with experience performing LEED tasks on projects of similar size and complexity in order to be approved by the Commission.*

## FORM B – KEY PERSONNEL

KEY PERSONNEL			
<b>Role:</b>	<input type="checkbox"/> Project Executive/Principal <input type="checkbox"/> Project Manager (or Project Lead for Class D&E General Contractors) <input type="checkbox"/> Scheduler <input type="checkbox"/> Superintendent <input type="checkbox"/> MEP Coordinator <input type="checkbox"/> Safety Director <input type="checkbox"/> Quality Control Manager <input type="checkbox"/> Sustainability Coordinator		
<b>Name:</b>			
<b>Title:</b>			
<b>Number of years with the firm:</b>			
<b>Number of years with experience in this capacity:</b>			
<b>Project Type:</b> <i>(Please check all experience that applies to the individual who will be dedicated to this project.)</i>			
<input type="checkbox"/> DIVISION 01 00 00 GENERAL REQUIREMENTS <input type="checkbox"/> DIVISION 02 00 00 EXISTING CONDITIONS <input type="checkbox"/> DIVISION 03 00 00 CONCRETE <input type="checkbox"/> DIVISION 04 00 00 MASONRY <input type="checkbox"/> DIVISION 05 00 00 METALS <input type="checkbox"/> DIVISION 06 00 00 WOOD, PLASTICS AND COMPOSITES <input type="checkbox"/> DIVISION 07 00 00 THERMAL AND MOISTURE PROTECTION <input type="checkbox"/> DIVISION 08 00 00 OPENINGS <input type="checkbox"/> DIVISION 09 00 00 FINISHES <input type="checkbox"/> DIVISION 10 00 00 SPECIALTIES <input type="checkbox"/> DIVISION 11 00 00 EQUIPMENT <input type="checkbox"/> DIVISION 12 00 00 FURNISHINGS <input type="checkbox"/> DIVISION 13 00 00 SPECIAL CONSTRUCTION <input type="checkbox"/> DIVISION 14 00 00 CONVEYING EQUIPMENT	<input type="checkbox"/> DIVISION 15 00 00 MECHANICAL <input type="checkbox"/> DIVISION 16 00 00 ELECTRICAL <input type="checkbox"/> DIVISION 21 00 00 FIRE SUPPRESSION <input type="checkbox"/> DIVISION 22 00 00 PLUMBING <input type="checkbox"/> DIVISION 23 00 00 HEATING, VENTILATING, AND AIR-CONDITIONING (HVAC) <input type="checkbox"/> DIVISION 25 00 00 INTEGRATED AUTOMATION <input type="checkbox"/> DIVISION 26 00 00 ELECTRICAL <input type="checkbox"/> DIVISION 27 00 00 COMMUNICATIONS <input type="checkbox"/> DIVISION 28 00 00 ELECTRONIC SAFETY AND SECURITY <input type="checkbox"/> DIVISION 31 00 00 EARTHWORK <input type="checkbox"/> DIVISION 32 00 00 EXTERIOR IMPROVEMENTS <input type="checkbox"/> DIVISION 33 00 00 UTILITIES <input type="checkbox"/> DIVISION 40 00 00 PROCESS INTEGRATION		
REFERENCES <i>(References may not be current PBC personnel)</i>			
<b>REFERENCE #1</b>			
<b>Project Name:</b>			
<b>Agency/Firm Name:</b>			
<b>Title:</b>			
<b>Office Phone No.:</b>		<b>Alt. Phone No.:</b>	
<b>Email Address:</b>			
<b>REFERENCE #2</b>			
<b>Project Name:</b>			
<b>Agency/Firm Name:</b>			
<b>Title:</b>			
<b>Office Phone No.:</b>		<b>Alt. Phone No.:</b>	
<b>Email Address:</b>			
<b>PLEASE ATTACH RESUME FOR EACH PERSONNEL</b>			

## FORM C – FINANCIAL CAPACITY

**INSTRUCTIONS:** All General Contractors must provide the following information, as applicable to their classification type:

- Class A-C General Contractors – Please complete this form and submit financial statements as requested in Section A. below.
- Class D&E General Contractors – Please complete this form and submit financial statements as requested in Section B. below, if no audited financial statements are available.

### EVALUATION CRITERIA FOR FINANCIAL CAPACITY

Respondents should demonstrate they have the financial resources necessary to successfully complete the Work.

**A. Class A-C General Contractors**

Respondents shall furnish an audited financial statement including notes, such as, but not limited to, balance sheets and/or profit and loss statements, for the last three (3) years demonstrating that the Respondent has the financial viability and ability to perform the Services. If a joint venture, submit financial statements for the joint venture name and each joint venture partner. Independent accountant may provide a copy of a complete financial statement. All notes and schedules must be provided. The Respondent shall also submit annual reports and a written disclosure advising of any pending litigation against the Respondent that may have a material effect in Respondent's ability to provide the Services.

**B. Class D&E General Contractors**

In the event Respondent does not have an audited financial statements, Respondent may submit a review or compilation prepared by an outside accountant with the notes. The PBC will also consider other financial documents (ie Tax Returns) in lieu of financial statements and/or a review/compilation.

The Commission, reserves the right to request additional information from all General Contractor classifications.

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## FORM C – FINANCIAL CAPACITY

### I. FINANCIAL STATEMENTS

If submitting financial statements, please provide the following information.

INDEPENDENT ACCOUNTANT INFORMATION			
<b>Contact Name:</b>			
<b>Telephone:</b>			
			<b>Year-Ending Financial Statement Date:</b>
<b>Select One:</b>	<input type="checkbox"/> Audit <input type="checkbox"/> Review <input type="checkbox"/> Compile	<b>Is this a Consolidated Financial Statement?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No

### II. BANKING

Please provide the following information about the firm's or ventures primary commercial bank.

BANKING INFORMATION			
<b>Bank Name:</b>			
<b>Address:</b>			
<b>City/State/Zip:</b>			
<b>Contact Officer:</b>		<b>Phone No.:</b>	
<b>Bank Telephone:</b>		<b>Alt. Phone No.:</b>	
<b>Email:</b>			
<b>In what year was the banking relationship established?</b>			
<b>Does your firm or venture have access to a line of credit?</b>			<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, please indicate upper limit.			
How much is currently available?			
<b>Other sources of capital:</b>			

### III. GROSS REVENUES

Please indicate below the amount of revenues earned by the firm or venture from construction-related activities for the last three (3) years.

GROSS REVENUES					
Year	Amount	Year	Amount	Year	Amount
20____	\$	20____	\$	20____	\$

## FORM D – LICENSING AND GENERAL INFORMATION

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**INSTRUCTIONS:** The following form shall be completed by all General Contractor Classification Types.

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## FORM D – LICENSING AND GENERAL INFORMATION

### I. LICENSING

Please list all categories for which the responding firm or venture is licensed to do business and indicate registration or license numbers, if applicable. Please indicate which government entity issued the license.

**Please attach a copy of each license listed.**

LICENSING INFORMATION			
Category	Registered License (Or License Number)	Issuing Government Entity	Expiration Date
<b>Example:</b> Business License General Contractor License Electrical License	123-456-789 AB45-4879 1-2-456789	State of Illinois City of Chicago Joliet	1/2/2016 4/5/2017 3/7/2016

### II. MBE/WBE CERTIFICATIONS

MBE/WBE CERTIFICATIONS	
<b>Is your organization currently certified as an MBE or WBE with the City of Chicago or Cook County?</b>	
<input type="checkbox"/> Yes <input type="checkbox"/> No	
<i>Note: The PBC accepts City of Chicago and County of Cook certifications only.</i> Please check which organization and attach copy of a current Letter of Certification.	
<input type="checkbox"/> City of Chicago	<input type="checkbox"/> Cook County

### III. LOCAL UNION AFFILIATIONS

LOCAL UNION AFFILIATIONS	
<b>Is your firm signatory to any local union affiliations?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<i>If yes, please identify which labor organization(s) below.</i>	
<b>Name of Local Union</b>	<b>Are you in good standing?</b>
	<input type="checkbox"/> Yes <input type="checkbox"/> No
	<input type="checkbox"/> Yes <input type="checkbox"/> No
	<input type="checkbox"/> Yes <input type="checkbox"/> No
	<input type="checkbox"/> Yes <input type="checkbox"/> No
	<input type="checkbox"/> Yes <input type="checkbox"/> No

## FORM D – LICENSING AND GENERAL INFORMATION

### IV. SURETY BONDING

SURETY BONDING	
Provide the current level of performance bonding (in dollar amount) authorized by the Surety as of the date of this qualification submittal (or as of the date last bonded, including said date):	
Please provide a letter from you Surety Broker per Section II. VI. F.	
<b>Single Limit:</b>	
<b>Maximum Limit:</b>	
<b>A.M. Best Rating:</b>	
<b>Total Bonding Capacity:</b>	
<b>As of:</b>	
<b>During the past five years, have any demands been placed on a bid bond, payment bond, or performance bond of the applicant?</b> <i>(If yes, please describe below or attach a statement listing and describing the date, location, project, and dollar amount of each demand, and explaining the circumstances.)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No

## FORM E – DISCLOSURE AFFIDAVIT

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**INSTRUCTIONS:** The following form shall be completed by all General Contractor Classification Types.

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# FORM E – DISCLOSURE AFFIDAVIT

## I. HISTORY AND OWNERSHIP OF RESPONDENT FIRM

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 \_\_\_\_\_, as \_\_\_\_\_  
Name Title

and on behalf of \_\_\_\_\_  
 (“Bidder/Proposer/Respondent or Contractor”) having been duly sworn under oath certifies the following:

RESPONDENT			
<b>Name of Firm:</b>			
<b>Address:</b>			
<b>City/State/Zip:</b>			
<b>Telephone:</b>		<b>Facsimile:</b>	
<b>FEIN:</b>		<b>SSN:</b>	
<b>Email:</b>			
<b>Nature of Transaction:</b>			
<input type="checkbox"/> Sale or purchase of land <input type="checkbox"/> Construction Contract <input type="checkbox"/> Professional Services Agreement <input type="checkbox"/> Other _____			

## II. 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”.	
<input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Joint Venture	<input type="checkbox"/> Limited Liability Company <input type="checkbox"/> Limited Liability Partnership <input type="checkbox"/> Not-for-profit Corporation <input type="checkbox"/> Other: _____

## FORM E – DISCLOSURE AFFIDAVIT

### A. CORPORATIONS AND LLC'S

<b>State of Incorporation or Organization:</b>		
<b>If outside of Illinois, is your firm authorized to conduct business in the State Of Illinois:</b>		<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>City/State/ZIP:</b>		
<b>Telephone:</b>		
<b>Identify the names of all officers and directors of the business entity.</b> <i>(Please attach list if necessary.)</i>		
<b>Name</b>	<b>Title</b>	
<b>Identify all shareholders whose ownership percentage exceeds 7.5% of the business entity.</b> <i>(Please attach list if necessary.)</i>		
<b>Name</b>	<b>Address</b>	<b>Ownership Interest Percentage</b>
		%
		%
		%
		%
		%
<b>LLC's only, indicate Management Type and Name:</b>		
<input type="checkbox"/> Member-managed	<input type="checkbox"/> Manager-managed	<b>Name:</b> _____
<b>Is the corporation or LLC owned partially or completely by one or more other corporations or legal entities?</b>		<input type="checkbox"/> Yes <input type="checkbox"/> No
<i>If yes, please 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.</i>		

## FORM E – DISCLOSURE AFFIDAVIT

### B. PARTNERSHIPS

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	Type	Ownership Interest Percentage
		%
		%
		%
		%
		%

### C. SOLE PROPRIETORSHIP

The bidder/proposer or contractor is a sole proprietorship and is not acting in any representative capacity on behalf of any beneficiary:	
<i>If the answer is no, please complete the following two sections.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
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 of Principal(s)	
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 be exercised.	
Name	Address

## FORM E – DISCLOSURE AFFIDAVIT

### III. 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.

## FORM E – DISCLOSURE AFFIDAVIT

### 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.

## FORM E – DISCLOSURE AFFIDAVIT

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### D. OTHER TAXES/FEES

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.

### G. CERTIFICATION OF ENVIRONMENTAL COMPLIANCE

1. 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, (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.
2. 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.

3. 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.

# FORM E – DISCLOSURE AFFIDAVIT

4. 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.

## H. 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.

## I. 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

\_\_\_\_\_  
Name of Authorized Officer (Print or Type)

\_\_\_\_\_  
Title

\_\_\_\_\_  
Telephone Number

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

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

Signed and sworn to before me on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_ by \_\_\_\_\_ (Name)

as \_\_\_\_\_ (Title) of \_\_\_\_\_

(Bidder/Proposer/Respondent/Consultant/Contractor)

\_\_\_\_\_  
Notary Public Signature and Seal

\_\_\_\_\_  
Date

## FORM F – DISCLOSURE OF RETAINED PARTIES

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**INSTRUCTIONS:** The following form shall be completed by all General Contractor Classification Types.

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# FORM F – DISCLOSURE OF RETAINED PARTIES

**I. 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.

**II. CERTIFICATION**

Consultant hereby certifies as follows:

This Disclosure relates to the following transaction(s):

\_\_\_\_\_

\_\_\_\_\_

Description or goods or services to be provided under Contract:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Name of Consultant/Contractor: \_\_\_\_\_

**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)

Check here if no such persons have been retained or are anticipated to be retained

## FORM F – DISCLOSURE OF RETAINED PARTIES

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The Consultant understands and agrees as follows:

1. 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.
2. 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.
3. 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

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name (Type or Print)

\_\_\_\_\_  
Title

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

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

Signed and sworn to before me on this \_\_\_\_ day of \_\_\_\_\_, 20\_\_ by \_\_\_\_\_ (Name) as \_\_\_\_\_ (Title) of \_\_\_\_\_

(Bidder/Proposer/Respondent/Consultant/Contractor)

\_\_\_\_\_  
Notary Public Signature and Seal

\_\_\_\_\_  
Date

**FORM G – LEGAL ACTIONS**

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**INSTRUCTIONS:** The following form shall be completed by all General Contractor Classification Types.

**REMAINDER OF PAGE INTENTIONALLY LEFT BLANK**

## FORM G – LEGAL ACTIONS

### I. LEGAL ACTIONS

**Submitting 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
1	Has the firm or venture been issued a notice of default on any contract awarded to it in the last 3 years?	<input type="checkbox"/>	<input type="checkbox"/>
2	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 type="checkbox"/>
3	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 _____.		
4	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 type="checkbox"/>
5	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 type="checkbox"/>
6	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 type="checkbox"/>
7	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 type="checkbox"/>
8	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 type="checkbox"/>
9	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 type="checkbox"/>
10	Has the firm or venture ever failed to complete any work awarded to it?	<input type="checkbox"/>	<input type="checkbox"/>

## FORM H – MBE/WBE, EEO, CRO, AND CH PARTICIPATION

**INSTRUCTIONS:** All General Contractors must provide the following information, as applicable to their classification type:

- Class A-C General Contractors – Please complete the “Demonstrate Commitment” section on the following form demonstrating your firm’s commitment to MBE/WBE, EEO, CRO, and CH goals. Additionally, please identify and report compliance history for last three (3) projects completed over the last three (3) years for which work is/was performed by your firm (government experience preferred but not required).
- Class D&E General Contractors – If data is available, please identify and report compliance history for last three (3) projects completed over the last three (3) years for which work is/was performed by your firm (government experience preferred but not required). If no data is available, please indicate ‘N/A’ at the top of each project page and only complete the ‘Demonstrate Commitment’ section/page.

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# FORM H – MBE/WBE, EEO, CRO, AND CH PARTICIPATION

## DEMONSTRATE COMMITMENT

The PBC may host outreach sessions, networking events, and community hiring intakes where the Respondent is expected to fully participate.

### MBE/WBE

Respondent must demonstrate commitment by affirming and acknowledging the PBC's MBE/WBE goals. If Respondent is not able to commit to the MBE/WBE goals stated in the RFQ, please submit a narrative requesting relief and explaining why Respondent believes that the goals cannot be achieved.

### EEO, CRO, and CH

Respondent must demonstrate commitment by affirming and acknowledging the PBC's commitment to employ minority and women journeyworkers, apprentices, and laborers along with local/community residents on goals for each Project. If Respondent is not able to commit to EEO, CRO, and CH goals stated in the RFQ, please submit a narrative requesting relief and explaining why Respondent believes that the goals cannot be achieved.

## DEMONSTRATE COMMITMENT

## FORM H – MBE/WBE, EEO, CRO, AND CH PARTICIPATION

PROJECT ONE	
<b>Client Name:</b>	
<b>Client Contact:</b>	
<b>Client Contact Telephone:</b>	
<b>Project Name:</b>	
<b>Project Total:</b>	
<b>Year Completed:</b>	

### MBE/WBE PARTICIPATION

Respondent must provide evidence of past experience achieving commitments to utilize minority and women owned business enterprises. Please fill in the boxes below.

MBE Goal	WBE Goal	Actual MBE	Actual WBE
%	%	%	%

### EEO, CRO, and CH PARTICIPATION

Respondent must provide evidence of past experience achieving commitments to utilize minority and women journeyworkers, apprentices, and laborers. Additionally, Respondent must provide history of meeting City of Chicago Residency and Preference Ordinance (CRO) requirements and Community Hiring (CH) requirements. Please fill in the boxes below.

Minority Workforce					
Minority Journeyworker Goal	Minority Journeyworker Actual	Minority Apprentice Goal	Minority Apprentice Actual	Minority Laborer Goal	Minority Laborer Actual
%	%	%	%	%	%

Female Workforce					
Female Journeyworker Goal	Female Journeyworker Actual	Female Apprentice Goal	Female Apprentice Actual	Female Laborer Goal	Female Laborer Actual
%	%	%	%	%	%

City of Chicago and Community Hiring Workforce			
City of Chicago Goal	City of Chicago Actual	Community Hiring Goal	Community Hiring Actual
%	%	%	%

## FORM H – MBE/WBE, EEO, CRO, AND CH PARTICIPATION

PROJECT TWO	
<b>Client Name:</b>	
<b>Client Contact:</b>	
<b>Client Contact Telephone:</b>	
<b>Project Name:</b>	
<b>Project Total:</b>	
<b>Year Completed:</b>	

### MBE/WBE PARTICIPATION

Respondent must provide evidence of past experience achieving commitments to utilize minority and women owned business enterprises. Please fill in the boxes below.

MBE/WBE PARTICIPATION			
MBE Goal	WBE Goal	Actual MBE	Actual WBE
%	%	%	%

### EEO, CRO, and CH PARTICIPATION

Respondent must provide evidence of past experience achieving commitments to utilize minority and women journeyworkers, apprentices, and laborers. Additionally, Respondent must provide history of meeting City of Chicago Residency and Preference Ordinance (CRO) requirements and Community Hiring (CH) requirements. Please fill in the boxes below.

Minority Workforce					
Minority Journeyworker Goal	Minority Journeyworker Actual	Minority Apprentice Goal	Minority Apprentice Actual	Minority Laborer Goal	Minority Laborer Actual
%	%	%	%	%	%

Female Workforce					
Female Journeyworker Goal	Female Journeyworker Actual	Female Apprentice Goal	Female Apprentice Actual	Female Laborer Goal	Female Laborer Actual
%	%	%	%	%	%

City of Chicago and Community Hiring Workforce			
City of Chicago Goal	City of Chicago Actual	Community Hiring Goal	Community Hiring Actual
%	%	%	%

## FORM H – MBE/WBE, EEO, CRO, AND CH PARTICIPATION

PROJECT THREE	
<b>Client Name:</b>	
<b>Client Contact:</b>	
<b>Client Contact Telephone:</b>	
<b>Project Name:</b>	
<b>Project Total:</b>	
<b>Year Completed:</b>	

### MBE/WBE PARTICIPATION

Respondent must provide evidence of past experience achieving commitments to utilize minority and women owned business enterprises. Please fill in the boxes below.

MBE Goal	WBE Goal	Actual MBE	Actual WBE
%	%	%	%

### EEO, CRO, and CH PARTICIPATION

Respondent must provide evidence of past experience achieving commitments to utilize minority and women journeyworkers, apprentices, and laborers. Additionally, Respondent must provide history of meeting City of Chicago Residency and Preference Ordinance (CRO) requirements and Community Hiring (CH) requirements. Please fill in the boxes below.

Minority Workforce					
Minority Journeyworker Goal	Minority Journeyworker Actual	Minority Apprentice Goal	Minority Apprentice Actual	Minority Laborer Goal	Minority Laborer Actual
%	%	%	%	%	%

Female Workforce					
Female Journeyworker Goal	Female Journeyworker Actual	Female Apprentice Goal	Female Apprentice Actual	Female Laborer Goal	Female Laborer Actual
%	%	%	%	%	%

City of Chicago and Community Hiring Workforce			
City of Chicago Goal	City of Chicago Actual	Community Hiring Goal	Community Hiring Actual
%	%	%	%

## FORM I – SAFETY INFORMATION

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**INSTRUCTIONS:** All General Contractors must provide the following information, as applicable to their classification type:

- Class A-C General Contractors – Please complete the following form and submit a copy of the Table of Contents of the Safety Program Manual.
- Class D&E General Contractors – Please complete the following form and provide a statement, not to exceed two full pages (8 ½ X 11), demonstrating its precautionary Safety Measures.

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# FORM I – SAFETY INFORMATION

Respondents shall demonstrate the quality of their overall safety program as evidenced by their history of citations, OSHA incident rate and Experience Modification Rate (EMR).

SAFETY INFORMATION			
<b>Does your organization have a safety program?</b>		<input type="checkbox"/> Yes <input type="checkbox"/> No	
<b>Month and year first implemented:</b>			
<b>Method of review of program.</b>			
<b>Please indicate whether regular work site safety meetings are held and how frequently.</b>			
<b>Have any citations been issued to your organization during the period of the last three years for workplace safety law violation?</b>		<input type="checkbox"/> Yes <input type="checkbox"/> No	
<i>If yes, please provide detailed information for each occurrence regarding:</i>			
1. The nature of the violation for which your organization was cited.			
2. Summary of your position of the matter			
3. Official resolution of violation			
<b>Please provide your organization's OSHA reportable incident rate:</b>			
<i>(If this is greater than 3.0, please attach your OSHA Form 300A Summaries for the last three years and a written explanation to the qualification questionnaire. Please attach Narrative Statement, if necessary.)</i>			
<b>Please provide a copy of your organization's NCCI current experience modification rate factors ("EMRF") rating worksheet.</b>			
<i>(If this is greater than 3.0, please attach your OSHA Form 300A Summaries for the last three years and a written explanation to the qualification questionnaire. Please attach Narrative Statement, if necessary.)</i>			
<b>PLEASE PROVIDE NCCI RATING FOR THE PAST FOUR YEARS</b>			
<b>Year</b>	<b>NCCI Rating</b>	<b>Year</b>	<b>NCCI Rating</b>

**PLEASE PROVIDE A COPY OF THE TABLE OF CONTENTS FROM YOUR FIRM'S SAFETY/LOSS CONTROL MANUAL  
(For Classification Types A, B, and C)**

# FORM J – JOINT VENTURE AFFIDAVIT

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**INSTRUCTIONS:** General Contractor Classification Types wishing to submit as Joint Venture Partnerships must complete the following form.

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# FORM J – JOINT VENTURE AFFIDAVIT

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

*This form is not required if all joint venturers are MBE/Non-MBE or WBE/Non-WBE firms. In such case, however, a written joint venture agreement among the MBE/Non-MBE or WBE/Non-WBE firms should be submitted. Each MBE/WBE joint venturer must also attach a copy of their current certification letter.*

A. Name of joint venture \_\_\_\_\_

B. Address of joint venture \_\_\_\_\_

\_\_\_\_\_

C. Phone number of joint venture \_\_\_\_\_

D. Identify the firms that comprise the joint venture

\_\_\_\_\_

\_\_\_\_\_

1. 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.)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

2. Describe very briefly the experience and business qualifications of each non-MBE/WBE joint venturer.

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

E. Nature of joint venture's business

\_\_\_\_\_

\_\_\_\_\_

F. Provide a copy of the joint venture agreement.

G. Ownership: What percentage of the joint venture is claimed to be owned by MBE/WBE? \_\_\_\_\_ %

H. Specify as to:

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

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

# FORM J – JOINT VENTURE AFFIDAVIT

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

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

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4. Describe any loan agreements between joint venturers and identify the terms thereof.

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I. 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:

1. Financial decisions \_\_\_\_\_

2. Management decisions such as:

a. Estimating \_\_\_\_\_

b. Marketing and Sales \_\_\_\_\_

c. Hiring and firing of management personnel \_\_\_\_\_

d. Other \_\_\_\_\_

3. Purchasing of major items or supplies \_\_\_\_\_

4. Supervision of field operations \_\_\_\_\_

5. Supervision of office personnel \_\_\_\_\_

6. 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.

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7. State approximate number of operational personnel, their craft and positions, and whether they will be employees of the majority firm or the joint venture.

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J. Please state any material facts of additional information pertinent to the control and structure of this joint venture.

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# FORM J – JOINT VENTURE AFFIDAVIT

## 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 General contractor if the joint venture is a subcontractor.

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

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

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Name

\_\_\_\_\_  
Name

\_\_\_\_\_  
Title

\_\_\_\_\_  
Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

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

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

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_  
before me appeared (Name)

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_  
before me appeared (Name)

\_\_\_\_\_  
to me personally known, who, being duly sworn,

\_\_\_\_\_  
to me personally known, who, being duly sworn,

did execute the foregoing affidavit, and did state

did execute the foregoing affidavit, and did state

that he or she was properly authorized by

that he or she was properly authorized by

(Name of Joint Venture)

(Name of Joint Venture)

\_\_\_\_\_  
to execute the affidavit and did so as his or her  
free act and deed.

\_\_\_\_\_  
to execute the affidavit and did so as his or her  
free act and deed.

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

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## EXHIBIT A – INSURANCE REQUIREMENTS

**INSTRUCTIONS:** The Insurance Requirements identified below apply to all General Contractor Classification Types. Please provide a copy of your Certificate of Insurance demonstrating your existing coverage and commitment to complying with the coverages as identified in this attachment.

The insurance requirements listed below are the minimum requirements that will be required for work issued on contracts resulting from this RFQ. The actual requirements for each project will likely be higher and will be determined based on the scope and the requirements of the User Agency. Per Section II. VI. G. of this RFQ, Respondent is to submit a certificate of insurance evidencing their current insurance program.

The Contractor must provide and maintain at Contractor's own expense, the minimum insurance coverage and requirements specified below, insuring all operations related to the Contract. The insurance must remain in effect from the date of the Notice to Proceed until Substantial Completion of the project, during completion of Punch List, as well as any time Contractor returns to perform additional work regarding warranties or for any other purpose, unless otherwise noted below or agreed by the Public Building Commission's Director of Risk Management.

### A. INSURANCE TO BE PROVIDED

#### 1) Workers' Compensation and Employers Liability (Primary and Umbrella)

Workers' Compensation Insurance as prescribed by applicable law covering all employees who are to provide a service under this Contract and Employers Liability coverage with limits of not less than \$1,000,000 each accident, illness or disease. Coverage will include a waiver of subrogation as required below.

#### 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 bodily injury, personal injury, and property damage liability. Coverage must include the following: All premises and operations, products/completed operations to be maintained for minimum of two (2) years following project completion, explosion, collapse, underground hazards, defense and contractual liability. Contractor and all subcontractors of every tier **will specifically name** the Public Building Commission of Chicago, the City of Chicago, the User Agency and others as may be required by the Public Building Commission of Chicago, as Additional Insured using the latest version of the ISO CG2010 and CG2037. Additional Insured status will be on a primary, non-contributory basis for any liability arising directly or indirectly from the work, including the two year completed operations periods. Coverage will include a waiver of subrogation as required below.

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

#### 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 Contractor must provide Automobile Liability Insurance, with limits of not less than \$1,000,000 per occurrence for bodily injury and property damage. The Public Building Commission of Chicago, the City of Chicago, the User Agency and others as may be required by the Public Building Commission of Chicago, are to be named as Additional Insured on a primary, non-contributory basis.

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

#### 4) Contractors Pollution Liability

Contractors Pollution coverage is required with limits of not less than \$1,000,000 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, and others as may be required by the Public Building Commission of Chicago, as Additional Insured. These entities must be specifically named and endorsed on the policy. Additional

## EXHIBIT A – INSURANCE REQUIREMENTS

insured coverage must be on a primary and non-contributory basis for ongoing and completed operations. Coverage will include a waiver of subrogation as required below.

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

### 5) Professional Liability

When Contractor performs professional work in connection with the Agreement, Professional Liability Insurance must be maintained with limits of not less than \$1,000,000 covering acts, errors, or omissions. The policy will include coverage for wrongful acts, including but not limited to errors, acts or omissions, in the rendering or failure to render professional services resulting in a pollution incident. When policies are renewed or replaced, the policy retroactive date must coincide with, or precede the, start of work on the Agreement. Coverage must be maintained for two years after substantial completion. A claims-made policy, which is not renewed or replaced, must have an extended reporting period of two (2) years.

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

### 6) Builders Risk

Contractor must provide All Risk Builders Risk or Installation Floater Insurance on a replacement cost basis including but not limited to all labor, materials, supplies, equipment, machinery and fixtures that are or will be permanent part of the facility, inclusive of prior site work. Coverage must be on an All Risk or Cause of Loss, Special Form basis including, but not limited to, the following: right to partial or complete occupancy, collapse; water damage including overflow, leakage, sewer backup, or seepage; resulting damage from faulty or defective workmanship or materials; resulting damage from error or omission in design, plans or specifications; debris removal; Ordinance and Law and include damage to, false work, fences, temporary structures and equipment stored off site or in transit. The policy will allow for partial or complete occupancy and include damage to existing property at the site with a sublimit of \$1,000,000.

The Public Building Commission of Chicago and the Board of Education of the City of Chicago will be Named Insureds on the policy. Coverage must be for the full completed value of the work and must remain in place until at least Substantial Completion **and may only be cancelled** with the written permission of the Public Building Commission Risk Management Department, even if the Project has been put to its intended use.

The Contractor is responsible for all loss or damage to personal property including but not limited to materials, equipment, tools, scaffolding and supplies owned, rented, or used by Contractor.

### 7) Railroad Protective Liability

When any work is to be done adjacent to or on railroad or transit property, Contractor must provide, with respect to the operations that the General Contractor or subcontractors perform, Railroad Protective Liability insurance in the name of railroad or transit entity. The policy must have limits of not less than the requirement of the operating railroad/transit entity, and in no event less than \$2,000,000 per occurrence and \$6,000,000 aggregate, for losses arising out of injuries to or death of all persons, and for damage to or destruction of property, including the loss of use thereof. If no Railroad Protective Liability insurance is required by the nearby railroads, Contractor shall submit written confirmation from each railroad.

Contractors and subcontractors are required to endorse their liability policies with form CG 24 17 to eliminate the exclusion for work within fifty (50) feet of the rail right-of-way. Contractors and subcontractors must provide copies of this endorsement with the certificate of insurance required below.

## B. ADDITIONAL REQUIREMENTS

Contractor 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 Contract, 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 Contract. The Contractor must submit evidence of insurance to the Public Building Commission prior to Contract award. The receipt of any certificate does not constitute agreement by the Commission that the insurance requirements in the Contract have been fully met or that the insurance policies indicated on the certificate are in compliance with all Contract requirements. The failure of the Commission to obtain certificates or other insurance evidence from Contractor is not a waiver by the Commission of any requirements for the Contractor to obtain and maintain the specified insurance. The Contractor will advise all insurers of the Contract provisions regarding insurance. Non-conforming insurance does not relieve Contractor of the obligation to provide insurance as specified in this contract. Non-fulfillment of the insurance conditions may constitute a breach of the Contract, and the Commission retains the right to stop work until proper evidence of insurance is provided, or the Contract may be terminated.

## EXHIBIT A – INSURANCE REQUIREMENTS

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

The Public Building Commission of Chicago reserves the right to obtain copies of insurance policies and records.

Any deductibles or self-insured retentions on referenced insurance must be borne by Contractor. All self-insurance, retentions and/or deductibles must conform to these requirements.

The Contractor waives and agrees to cause all their insurers to waive their rights of subrogation against the Public Building Commission of Chicago, the City of Chicago, the User Agency and any other entity as required by the Public Building Commission of Chicago, their respective Board members, employees, elected officials, officers, or representatives. The Contractor must require each Subcontractor to include similar waivers of subrogation in favor of the Commission, the City of Chicago, the User Agency and any other entity as required by the Public Building Commission of Chicago.

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

Any insurance or self-insurance programs maintained by the Public Building Commission of Chicago, the City of Chicago, the User Agency and any other entity as required by the Public Building Commission of Chicago, will not contribute with insurance provided by the Contractor under the Contract.

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

If Contractor 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 Contractor must require all subcontractors to provide the insurance required herein, or Contractor may provide the insurance for subcontractors. All subcontractors are subject to the same insurance requirements of Contractor unless otherwise specified in this Contract.

If Contractor or subcontractor desires additional coverage, the party desiring the additional coverage is responsible for the acquisition and cost.

Contractor must submit the following at the time of award:

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 and CG2037

**The Public Building Commission's Director of Risk Management maintains the rights to modify, delete, alter or change these requirements.**



