



CHICAGO TRANSIT AUTHORITY

567 West Lake Street
Chicago, Illinois 60661-1498
TEL 312 664-7200
www.transitchicago.com

December 17, 2014

Subject: Requisition No. C14CT101577078–Request for Qualifications (RFQ) for Construction Services (Roofing Contractors) for Roof Replacements – Harlem and DesPlaines Rail Shops

RE: Supplement No. 01

Dear Proposer:

The attached **Supplement No. 01** contains changes within the document: Sections 1.3, 3.3-A and Attachment B. Changes within this document are indicated by grayscale highlighting. Additions to the text are only highlighted, while text that has been deleted has been struck through and highlighted. The Statements of Qualifications due date is unchanged, **Monday, December 29, 2014**.

Responses must be delivered to:

Chicago Transit Authority
Bid Office – 2nd Floor
567 W. Lake Street
Chicago, IL 60661-1498


Due Date: Monday, December 29, 2014

Responses must be received no later than 3:30 p.m., Chicago time

Where responses are sent by mail, delivery service or delivered in-person to the CTA Bid Office, the Proposer shall be responsible for their delivery to the Bid Office. The Bid Office hours are Monday through Friday from 8:00 a.m. to 4:30 p.m. Chicago time, except holidays.

Your response should identify the requisition number, the name of the project, the name and address of your firm, a contact person and phone number.

Sincerely,


Robert Miller
General Manager, Purchasing

Roof Replacements – Harlem and DesPlaines Rail Shops
Project Number: 2013-0014.05
Request for Qualifications: Supplement No. 01

CHICAGO TRANSIT AUTHORITY
567 West Lake Street
Chicago, Illinois 60661

This Supplement No. 01 to the Request for Qualifications (RFQ) shall revise RFQ Sections 1.3; 3.3-A; Attachment B.

Changes within this document are indicated by grayscale highlighting. Additions to the text are only highlighted, while text that has been deleted has been struck through and highlighted.

Section 1: General Requirements

1.1 RFQ Contents

Section 1	General Requirements
Section 2	Scope of Work
Section 3	Submittal
Section 4	Evaluation Criteria
Section 5	Bid Protest

Attachments:

Attachment A	Prequalification Application
Attachment B	Freedom of Information Act Declaration

1.2 Introduction

The Chicago Transit Authority (CTA) is soliciting this Request for Qualifications (RFQ) from roofing contractors (hereinafter “Contractor”) for prequalification to perform construction services for roof replacements at the Harlem and DesPlaines Rail Shops (hereinafter “Project”). Such construction services shall be for the scope of work as defined in Section 2 (“Scope of Work”). Responses to this RFQ will be considered only for the prequalification of a Contractor; however, if the Contractor is not self-performing all of the work, the Contractor must also provide information that demonstrates that its proposed subcontractor(s) possess the experience and capability necessary to successfully complete that portion of the work.

Only those Contractors that have submitted a fully completed Prequalification Application and other supporting documentation as described in this RFQ (“Submittal”) and have been deemed qualified by the CTA may participate in the bidding phase of the Project. During the bidding phase, the CTA will provide a detailed scope of work together with all of the terms and conditions for the project to the Contractors prequalified through this RFQ. Any Contractor not prequalified in this RFQ will not be eligible to participate in the bidding phase.

The bidding phase will be conducted as an Invitation for Bid (IFB) among prequalified Contractors, for a firm fixed-price contract to be awarded to the lowest responsive and responsible prequalified Contractor.

1.3 Anticipated Schedule

Issue Request for Qualifications:	December 8, 2014
Date Statements of Qualifications due:	December 29, 2014
Notifications of prequalification:	January 2015
Invitation for Bids issued to prequalified bidders:.....	January 2015
Bids due:.....	February 2015
Substantial Completion	November 2015
Final Acceptance	March 2016

The CTA reserves the right to continue to review ⁵submittals for prequalification after the qualification due date and prior to the bid due date. However, any Contractor who wishes to be ensured an opportunity to be prequalified should submit its Statement of Qualifications by the deadline above.

Section 2: Scope of Work

The work is anticipated to consist of providing all labor and materials, and obtaining all necessary permits, as well as furnishing and installing all improvements, general carpentry, roofing and modifications to the mechanical, electrical and plumbing systems for the scope of work to be provided in the bid documentation, including:

1. Removal of existing roofing system and replacement with modified bituminous sheet roofing membrane systems (heat welded) at Harlem and DesPlaines Rail Shops. The DesPlaines Shop roof is approximately 26,000 square feet and the Harlem Shop roof is approximately 20,000 square feet.
2. Removal and replacement of all roof top equipment, including roof curb modifications.
3. Modifications to all parapets.
4. Replacement of the lightning protection system at DesPlaines Shops.
5. Replacement of the canopy light fixtures and wiring at the Harlem Transportation Building.

Section 3: Submittal

Submittals shall be prepared on standard 8 ½ x 11 letter size paper and bound on the long side, with material printed on one side only. Sections shall be separated by labeled tabs and organized in conformance with submittal requirements listed below. Expensive paper and bindings are discouraged, as no materials will be returned.

Contractors are advised to adhere to submittal requirements. Failure to comply with the instructions of this request may be cause for rejection of submittals. CTA reserves the right to accept or reject any and/or all submittals. Upon submittal, all proposal packages become the property of CTA and will not be returned. Issuance of this RFQ does not commit CTA to pay any cost incurred in the preparation of the submittal. Of the [ten (10)] submittals required, at least one (1) must contain original signatures and be marked ORIGINAL.

A Contractor's Submittal shall include:

- (1) the full and complete Prequalification Application attached as Attachment A,
- (2) a completed Freedom of Information Act declaration attached as Attachment B, and
- (3) the other requirements set forth below.

3.1 Qualifications of the Roofing Contractor

A. Project Experience of the Firm

The Prequalification Application form requests that the Contractor lists three (3) projects completed by the Contractor within the past ten (10) years for which the Contractor has constructed, as a roofing contractor, projects of a similar size, type, complexity, and as an approved installer by materials manufacturers. The identified projects should consist of roofing projects of similar type and size. In addition to completing the table in the Prequalification Application, for each project provide additional information that describes the work performed, the contract size in terms of dollar value and geographic area, complexity of the work (coordination with operations/traffic, subcontractors, and logistics), the schedule (baseline and as-constructed) the amount of approved change orders on the contract, and a description of warranty work.

B. Project Experience of Potential Subcontractor(s)

If the Contractor will not self-perform all of the work, the Contractor must identify each potential subcontractor it may use and provide the same detailed information for three projects performed by each subcontractor identified. If a Contractor has indicated that it will not self-perform all of the work, the CTA will determine that a Contractor is qualified only if it identifies one or more subcontractor(s) who have completed at least ten (10) roof construction projects within the last ten (10) years. For each project, provide additional information that describes the work performed, the contract size in terms of dollar value, complexity

of the work (coordination with operations/traffic, subcontractors, and logistics), the schedule (baseline and as-constructed) the amount of approved change orders on the contract, and a description of warranty work.

3.2 Safety Information

A. *Experience Modification Rate*

Contractor (or if the Contractor is a joint venture, each participant) shall provide their Experience Modification Rate (“EMR”) for the last three years and supply a letter from Contractor’s (or if the Contractor is a joint venture, each participant’s) insurance broker or carrier indicating the EMR of the Contractor for the last three years.

B. *OSHA/Bureau of Labor Statistics (“BLS”) Total Recordable Incident Rate (“TRIR”) and Lost Work Day Incident Rate (“LWDIR”)*

Contractor (or if the Contractor is a joint venture, each participant) shall provide their Incidence Rates for the last three years.

3.3 Financial Capability

A. *Bonding Capacity*

A payment bond and a performance bond securing the performance and completion of the executed Contract and the payment of all obligations arising under the Contract will be required of the successful Bidder. ~~Each Proposal must be accompanied by written evidence of the Contractor’s ability to procure payment and performance bonds of at least \$300,000,000.~~

~~A bid bond or other bid security may also be required for prequalified Contractors to submit bids during the bidding phase.~~

B. *Financial Resources*

Contractor shall submit audited or reviewed financial statements for the past three (3) years demonstrating financial capacity and capability to complete the Project and meet its obligations.

C. *Insurance*

Contractor must demonstrate proof of insurance or the ability to purchase insurance in the amounts required. The CTA’s current insurance requirements will be provided as part of the bidding phase.

Section 4: Evaluation Criteria

A CTA Prequalification Evaluation Committee will review the Submittals, and determine prequalification based on the quality of the Contractor as demonstrated by the firm's competence, experience and capacity.

The CTA reserves the right to check other sources available including, but not limited to, Westlaw and Dun and Bradstreet, or see seek clarification of information submitted in response to this RFQ during the evaluation process.

Without limitation, as for the purpose of example only, any of the following reasons may result in a Contractor not receiving prequalification:

1. Lack of competency as revealed by the financial statement, project experience information and prequalification application.
2. Outstanding work on any other project(s) which might hinder or prevent the prompt completion of work on the Project if awarded.
3. Failure to pay, or satisfactorily settle, all bills due for labor and material on former contracts in force at the time of issuance of proposal forms.
4. Excessive safety violations, such as an EMR above 1.0 or an incidence rates exceeding the respective BLS Industry Incidence Rate for heavy and civil engineering construction for the last three years.
5. Defaulting on previous contract.
6. Unsatisfactory performance record as shown by past work, judged from the standpoint of workmanship and progress.
7. The Contractor's suspension from eligibility to bid at a public letting or debarment by the U.S. Department of Transportation, the Illinois Department of Transportation, the City of Chicago, Metra, Pace or any other agency of instrumentality of city, state or federal government.
8. Failure to provide a completed Submittal, or submission of false information.

The CTA reserves the right to waive minor irregularities and omissions in the information contained in the prequalification application submitted and to adjust, increase, limit, suspend or rescind the prequalification based on subsequently learned information.

While it is the intent of the Submittal to assist the CTA in determining bidder responsibility prior to bid, neither the fact of prequalification, nor any prequalification, will preclude the CTA from determining that a firm is not qualified to do work on this project. The Submittal, its completion and submission, and its use by the CTA, shall not give rise to any liability on the part of the CTA to the Contractor or any third party or person. This is not a solicitation for bid. No guarantees are made or implied that the Project will be constructed, either in part or whole. The Contractor accepts all risk and cost associated with the completion of the Submittal without financial guarantee. The CTA reserves the right to cancel this RFQ or to reject any and all responses if it determines, in its sole discretion, that such cancellation or rejection is in the best interest of the CTA.

In reviewing and evaluating the Submittal, CTA will consider the following factors, which are listed in descending order of relative importance:

1. Project Experience of the Firm as documented on Attachment A Prequalification Application Section III Contracting History.
2. Safety Record
3. Financial Capability

Section 5: Bid Protest

Any protest regarding this RFQ or evaluation hereunder, must be submitted in accordance with the CTA's bid protest procedures, available at: <http://www.transitchicago.com/asset.aspx?AssetId=5857>.

ATTACHMENT A
PREQUALIFICATION APPLICATION

**CHICAGO TRANSIT AUTHORITY
CONTRACTOR PREQUALIFICATION APPLICATION**

Name of Procurement: Roof Replacements – Harlem and DesPlaines Rail Shops

Project Number: 2013-0014.05

Name of Applicant Firm: _____

Date Submitted: _____

Preparer's Name: _____

THIS PAGE MUST BE COMPLETED AND INCLUDED WITH THE APPLICATION

**READ THE INSTRUCTIONS BEFORE
FILLING OUT THE QUESTIONNAIRE**

PREQUALIFICATION APPLICATION INSTRUCTIONS

1. This is a Prequalification Application for the Chicago Transit Authority (CTA).
2. The application should be completed by a person in the firm who is knowledgeable of and duly authorized to attest to the past and present operations of the firm and its policies. A corporate officer of the firm, owner or partner, as appropriate, must sign the Prequalification Certification form.
3. **All questions must be answered completely and any Yes answers must be fully explained. Disclaimers, general statements with global qualifications, or notations of Not Applicable (N/A) are not acceptable. Please note that a Yes answer to any question does not automatically result in denial of prequalification.**

DEFINITIONS

1. **Affiliate** is defined as any Firm other than Applicant Firm which, directly or indirectly: (1) owns 25% or more, or has a controlling interest in, the Applicant Firm, such as parent companies or holding companies; (2) is owned 25% or more, or is otherwise controlled by, the Applicant Firm, any Firm provided in (1), or any stockholder, member, partner of any of the foregoing, such as subsidiaries or sister companies under common control; (3) has or has had an unseverable business or professional identity with the Applicant Firm or any of the foregoing, and (4) has any permanent or temporary common business enterprise relationship in which the parties share operating responsibility and profits such as joint ventures with the Applicant Firm or any of the foregoing.
2. **Key Person** - For purposes of prequalification a key person is (1) any person in Applicant Firm who owns 10% or more of the Firm and/or those who make decisions with respect to its operations, finances, or policies, such as any officer (President, CEO, CFO, COO, Secretary, Treasurer, Vice President, etc.), Director(s) General Partner(s), Manager(s) or Managing Member(s); or (2) Division or Regional Business Managers who operate away and independently from the Applicant Firm, but only if the division or regional office is bidding directly with the CTA.

STATEMENT OF QUALIFICATIONS AND APPLICATION SUBMITTAL

Prequalification applications or questions related to the prequalification process should be submitted to:

Chicago Transit Authority
Purchasing Department
567 W. Lake St.
Chicago, IL 60661

Applicant Firm: _____

Tax ID No. or SSN: _____

SECTION I - IDENTIFICATION**1. Identification of Applicant Firm**A. _____
Name of Applicant FirmB. _____
Address City State Zip CodeC. _____
(Mailing Address, if different from above)D. _____
(If doing business with the CTA under another name, include legal name and Tax ID No., if different)

E. Primary Company Telephone No. _____ Fax No. _____

F. Applicant Firm's Contact Person for Prequalification Office follow-up:

Print or Type Name Position E-Mail Telephone NumberG. Has the Applicant Firm changed its address or has the Firm or its owner operated under any other name(s) including other in the past five years? If yes, explain fully on a separate sheet of paper.
☐ No ☐ Yes

H. Type of business organization: _____

Year organization established: _____ Number of current employees: _____

- ☐ Sole Proprietor
☐ Corporation
☐ Not-for-Profit Corporation
☐ Limited Liability Company (LLC)
☐ Limited Partnership (LP)
☐ Limited Liability Partnership (LLP)
☐ General Partnership (GP)
☐ Other (describe) _____

Date and State of Incorporation/Formation/Filing _____

Applicant Firm: _____

Tax ID No. or SSN: _____

SECTION II - OWNERSHIP/MANAGEMENT, PROJECT TEAM MEMBERS, AND RELATED ENTITIES**1. Owners/Key Persons**

List Owners and Key Persons of Applicant Firm. For large publicly-traded companies, list only Key Persons. (See DEFINITIONS for clarification if necessary.)

Full Legal Name	Title	Social Security No. (last four digits only)	% Of Ownership

[Use additional sheets if necessary]

2. Related Entities (Affiliates/Subsidiaries/Joint Ventures)

- A. List Affiliates, subsidiaries, holding companies, joint ventures, etc., of Applicant Firm. If no Affiliates, state NONE. N/A is not an acceptable answer. Provide organizational, geographical or functional chart if it would assist in clarifying the line(s) of authority. (See DEFINITIONS for clarification if necessary.)

Affiliate Name & Address	Tel. #	% Owned	Top Executive's Name	*Type of Relation

*Type of Relationship: 1. Joint Venture (JV), 2. Parent Co (PC), 3. Holding Co (HC), 4. Subsidiary (S), 5. Other (O), please explain.

Applicant Firm: _____

Tax ID No. or SSN: _____

SECTION III - CONTRACTING HISTORY**1. Contracting History**

- A. List three (3) projects completed by the Contractor within the past ten (10) years for which the Contractor has constructed, as a Contractor, projects of a similar size, type and complexity. For these projects, demonstrate the quality, safety and timely completion of the work with minimal change orders requests.

	Contract #1	Contract #2	Contract #3
Agency/Owner			
Contract No.			
Name/Location			
Project Description (Roof Type and Area)			
Role on Project (Prime, Subcontractor, other)			
Planned Completion Date			
Actual Completion Date			
List material manufacturer issuing approval to install roofing systems			
Describe warranty work and repairs within 10 years of installation.			
Contract Amount			
Agency/Owner Contact to Verify (Name/Telephone No./E- mail)			
Design Architect/Engineer to Verify (Name/Telephone No./E- mail)			

Applicant Firm: _____
Tax ID No. or SSN: _____

NOTE: ANY "YES" ANSWERS BELOW MUST BE FULLY EXPLAINED ON A SEPARATE SHEET OF PAPER AND ATTACHED TO THIS APPLICATION.

In the past five (5) years has the Applicant Firm or any Affiliate been the subject of any of the following actions?

B. Been suspended, debarred, disqualified, or otherwise declared ineligible to bid on any construction project in any jurisdiction?

☐ No

☐ Yes

C. Failed to complete a contract for a commercial or private owner?

☐ No

☐ Yes

D. Been denied, for any reason, a low-bid contract in spite of being the low bidder?

☐ No

☐ Yes

E. Had a contract terminated for default?

☐ No

☐ Yes

F. Had liquidated damages assessed against it during or after completion of a contract?

☐ No

☐ Yes

SECTION IV - CIVIL ACTIONS

1. Bankruptcy

During the past five (5) years, has the Applicant Firm or any Affiliate filed for bankruptcy or reorganization under the bankruptcy laws?

☐ No

☐ Yes

2. Tax Liens

During the past five (5) years, has the Applicant Firm been the subject of a tax lien by federal, state or any other tax authority?

☐ No

☐ Yes

Applicant Firm: _____

Tax ID No. or SSN: _____

SECTION V - COMPLIANCE WITH LAWS AND OTHER REGULATIONS

1. Criminal

In the past five (5) years has the Applicant Firm, any Affiliate, or any of either's principals or officers been convicted or currently charged with any of the following:

A. Fraud in connection with obtaining, attempting to obtain, or performing a public contract, agreement or transaction?

☐ No

☐ Yes

B. Federal or state antitrust statutes, including price fixing collusion and bid rigging?

☐ No

☐ Yes

C. Embezzlement, theft, forgery, bribery, making false statements, submitting false information, receiving stolen property, or making false claims to any public agency?

☐ No

☐ Yes

D. Misrepresenting minority or disadvantaged business entity status with regard to itself or one of its subcontractors?

☐ No

☐ Yes

E. Non-compliance with the prevailing wage requirements of the Illinois or similar laws of any other state?

☐ No

☐ Yes

F. Violation of any law, regulation or agreement relating to a conflict of interest with respect to a government funded procurement?

☐ No

☐ Yes

G. Falsification, concealment, withholding and/or destruction of records relating to a public agreement or transaction?

☐ No

☐ Yes

Applicant Firm: _____

Tax ID No. or SSN: _____

2. Regulatory Compliance

In the past five (5) years, has Applicant Firm, any of its Key Persons, or Affiliates:

A. Been cited for a violation of Illinois labor law or regulation, including, but not limited to, child labor violations, failure to pay wages, failure to pay into a trust account, failure to remit or pay withheld taxes to tax authorities or unemployment insurance tax delinquencies?

☐ No☐ Yes

B. Been cited for an OSHA "serious violation"?

☐ No☐ Yes

C. Had its corporate status, business entity's license or any professional certification, suspended, revoked, or had otherwise been prohibited from doing business in the State of Illinois?

☐ No☐ Yes**SECTION VI - ADDITIONAL DOCUMENTATION REQUIRED****Copies of the following documents are to be submitted with this application:**

1. Applicant Firm's Current Local Business Licenses, if required by city, county or state), and
2. Applicant Firm's Audited Financial Statements with footnotes, including balance sheet, income statement, and cash flow statement for the most recent three years.

This information is provided for prequalification purposes only. It is considered a confidential document not subject to public disclosure under Illinois law.

I hereby certify that the above information is true and accurate to the best of my knowledge and belief. I understand false statements may result in denial of prequalification and possible debarment for a period of five years.

Signature of Owner or Officer_____
Date Signed_____
Company Name_____
For the Year Ended_____
Federal ID #

Applicant Firm: _____

Tax ID No. or SSN: _____

PREQUALIFICATION CERTIFICATION

A COPY OF THIS CERTIFICATION MUST BE COMPLETED AND SIGNED BY A GENERAL PARTNER, OWNER, PRINCIPAL OR CORPORATE OFFICER AUTHORIZED TO LEGALLY COMMIT THE APPLICANT FIRM, AND SUBMITTED WITH THE APPLICATION.

The signer of this declaration recognizes that the information submitted in the questionnaire herein is for the express purpose of inducing the CTA to award a contract. The signer has read and understands the requirements and has read and understands the instructions for completing this form.

DECLARATION

State of: _____

County of: _____

I, (printed name) _____, Social Security Number (last four digits) _____, being first duly sworn, state that I am the (title) _____ of Applicant Firm. I certify that I have read and understood the questions contained in the attached Application, and that to the best of my knowledge and belief all information contained herein and submitted concurrently or in supplemental documents with this Application is complete, current, and true. I further acknowledge that any false, deceptive or fraudulent statements on the Application will result in denial of prequalification.

I authorize the CTA to contact any entity named herein, or any other internal or outside resource, for the purpose of verifying information provided in the questionnaire or to develop other information deemed relevant by the CTA.

Signature of Certifying Individual

Date

Subscribed and sworn to (or affirmed) before me this _____ day of _____, by

Name of Signer

☐ Personally known to me, or

☐ Proved to me on the basis of satisfactory evidence to be the person who appeared before me.

Signature of Notary Public

Place Notary Seal Above

NOTICE TO APPLICANTS

A material false statement, omission or fraudulent inducement made in connection with this prequalification application is sufficient cause for denial of the application.

ATTACHMENT B

FREEDOM OF INFORMATION ACT NOTICE

Proposer/Respondent must complete the attached Freedom of Information Declaration and affix it to the front of each proposal/letter of interest and qualification that Proposer/Respondent submits to CTA.

CTA is subject to the requirements of the Illinois Freedom of Information Act, 5 ILCS 140/1 *et seq.* (“FOIA”), which enables the public to request and obtain records from CTA. FOIA requires, upon request, the public disclosure of any non-exempt information in proposals/letters of interest and qualification, contracts, invoices or payment records (among other records). *See* Section 7 and 7.5 of FOIA, 5 ILCS 140/7 and 7.5, for the available FOIA exemptions. If Proposer/Respondent has any questions regarding the FOIA process at CTA, Proposer/Respondent should contact CTA’s Freedom of Information Officer at (312) 681-2809 or via e-mail at FOIA@transitchicago.com.

Please note that proposals/letters of interest and qualification become the property of the CTA when submitted and cannot be returned. *All proposals/letters of interest and qualification and any subsequent contract (including any later amendments thereto) will be subject to public disclosure under FOIA upon request after the successful proposer/respondent and CTA have executed a written contract.* To the extent that Proposer/Respondent provides records to CTA that contain information exempt from public disclosure under FOIA, such as proprietary trade secrets or confidential commercial or financial information (*see* Section 7(1)(g) of FOIA, 5 ILCS 140/7(1)(g)), Proposer/Respondent must clearly identify and mark this information in the records. *See **How to Mark and Identify Proprietary, Privileged or Confidential Information** herein.*

Any proposals/letters of interest and qualification submitted to CTA in connection with this procurement that are not clearly marked and identified as containing proprietary, privileged or confidential information may be released by CTA with no further notice to Proposer/Respondent.

Proposer/Respondent is solely responsible for the marking and identification of Proposer/Respondent’s proprietary, privileged, or confidential information within a proposal/letter of interest and qualification before it is submitted to CTA. For purposes of this provision, all information provided by Proposer/Respondent in a proposal/letter of interest and qualification is considered by CTA to be Proposer/Respondent’s information, even if the information relates to one or more of Proposer/Respondent’s proposed subcontractors. Proposer/Respondent is solely responsible for marking and identifying any proprietary, privileged, or confidential information of Proposer/Respondent’s subcontractors contained in Proposer/Respondent’s proposals/letters of interest and qualification before the proposals/letters of interest and qualification are submitted to CTA. Proposer/Respondent will be required to indemnify, defend, and hold harmless CTA for any damages, costs, liabilities, and fees (including attorney’s fees) that result from the public disclosure by CTA of information from Proposer/Respondent’s proposal/letter of interest and qualification that is not marked and identified by Proposer/Respondent as proprietary, privileged, or confidential at the time that Proposer/Respondent submits its proposal/letter of interest and qualification to CTA.

In the event that a FOIA request is made for records that contain information that Proposer/Respondent has identified and marked as “proprietary,” “privileged,” or “confidential,” CTA will notify Proposer/Respondent of the request and will allow Proposer/Respondent an opportunity to review the records requested under FOIA so that Proposer/Respondent can confirm that all marked and identified proprietary, privileged or confidential information has been removed. Before allowing information that Proposer/Respondent has identified and marked as “proprietary,” “privileged,” or “confidential” to be redacted from a proposal/letter of interest or qualification (or other record), CTA may require Proposer/Respondent to provide CTA with additional information regarding the materials marked and identified for redaction. CTA will not allow the redaction of any information that does not meet the statutory FOIA exemptions.

Once Proposer/Respondent has reviewed a particular proposal/letter of interest and qualification or contract and has confirmed that all proprietary, privileged and confidential information has been removed, CTA will provide Proposer/Respondent with a redacted copy of the proposal/letter of interest and qualification or contract that will be publicly disclosed by CTA in connection with any pending or future FOIA requests and CTA will provide no further notice to Proposer/Respondent when that particular record is requested or publicly disclosed pursuant to a FOIA request. This redacted copy of the proposal/letter of interest and qualification or contract may also be published in whole or in part on CTA’s website or in any other format by CTA without further notice to Proposer/Respondent.

Please note that Proposer/Respondent may also be required to provide CTA with additional information regarding information redacted from records if any proceeding arises that requires CTA to defend the non-disclosure of the information that Proposer/Respondent has marked and identified as “proprietary,” “privileged,” or “confidential.”

Please also note that, if Proposer/Respondent receives a contract in connection with this procurement, “public records” as defined in Section 2 of FOIA that are in Proposer/Respondent’s possession or control as a result of the contract may be requested under FOIA and the non-exempt portions of those records may be subject to public disclosure under FOIA. *See* 5 ILCS 140/2 and 7(2). CTA will notify Proposer/Respondent of any FOIA request that will require Proposer/Respondent to review and compile records in its possession or control.

Upon receiving notice from CTA that a FOIA request has been made for Proposer/Respondent’s proposals/letters of interest and qualification, contract or other records provided to CTA or in Proposer/Respondent’s possession or control, Proposer/Respondent must produce and/or complete the review of all records requested pursuant to FOIA within two (2) business days or other time frame indicated in CTA’s notice to Proposer/Respondent. *See* 5 ILCS 140/3(d) and 3.1 for the statutory deadlines applicable to non-commercial and commercial FOIA requests. If Proposer/Respondent will require additional time to produce and/or review the records being requested, Proposer/Respondent must notify CTA immediately and provide CTA an explanation for the delay and the date when CTA can anticipate the records or the completion of Proposer/Respondent’s review.

If Proposer/Respondent fails to timely comply with any request by CTA to produce or review records necessary for CTA’s compliance with FOIA and Proposer/Respondent’s non-compliance results in any adverse consequences to CTA, including but not limited to, fines or penalties being imposed on CTA,

Proposer/Respondent's non-compliance will be an event of default on the underlying contract, if any, and will further be deemed a loss covered by any such underlying contract's indemnification provisions.

HOW TO MARK AND IDENTIFY PROPRIETARY, PRIVILEGED OR CONFIDENTIAL INFORMATION:

In order to clearly mark and identify a record or portion of any record submitted to CTA in connection with this procurement that contains any Proposer/Respondent proprietary, privileged or confidential information, Proposer/Respondent must complete all of the following steps:

- A. To the extent that Proposer/Respondent submits any proprietary, privileged, or confidential information to CTA, Proposer/Respondent must mark the title pages of each proposal/letter of interest and qualification containing such information as follows: "This **[insert [Proposal] or [Letter of Interest and Qualification] or [Other Identification]]** includes proprietary, privileged, or confidential, that may not be disclosed outside CTA and may not be duplicated, used or disclosed in whole or in part for any purpose other than to evaluate this Proposal/Letter of Interest and Qualification. The pages that contain information subject to this restriction are **[insert page numbers or other identification]**." For purposes of this provision, "CTA" will include any consultants assisting CTA with respect to CTA's evaluation of the proposals/letters of interest and qualification submitted in connection with this procurement.
- B. Proposer/Respondent must also mark each page or portion of a page containing proprietary, privileged, or confidential information, as specifically as possible, with the following legend: "**[Proprietary] or [Privileged] or [Confidential]** Information: This page or the portion of the page indicated contains proprietary, privileged or confidential information."
- C. Please note that CTA will not honor any request to redact information from records that does not meet the requirements of FOIA including, for example, a request that CTA redact the entire contents of a proposal/letter of interest and qualification. Excessive or indiscriminate marking of information as proprietary, privileged or confidential will be grounds for CTA to deem no information as being exempt from public disclosure under FOIA and disclosing all contents of the proposal/letter of interest and qualification.

FREEDOM OF INFORMATION DECLARATION

Place an “X” on the appropriate line and fill in the blanks:

There is no information contained in the attached proposal/letter of interest and qualification that is proprietary, privileged or confidential to Proposer/Respondent:

(Insert the name of your company)

I Pursuant to the Illinois Freedom of Information Act (“FOIA”), 5 ILCS 140/1 *et seq.* I acknowledge that the entire contents of the attached proposal/letter of interest and qualification may be publicly disclosed by CTA upon request pursuant to FOIA or may be published in whole or in part on CTA’s website or in any other format without further notice to Proposer/Respondent.

The attached proposal/letter of interest and qualification contains information that is proprietary, privileged, or confidential to Proposer/Respondent:

(Insert the name of your company)

I Pursuant to the Illinois Freedom of Information Act (“FOIA”), 5 ILCS 140/1 *et seq.* To the extent that proprietary, privileged or confidential information is being submitted to CTA in the attached proposal/letter of interest and qualification, the proposal/letter of interest and qualification has been marked as required by CTA’s Freedom of Information Act Notice. I acknowledge that the contents of the attached proposal/letter of interest and qualification that are not identified as containing proprietary, privileged or confidential information may be publicly disclosed by CTA upon request or may be published in whole or in part on CTA’s website or in any other format without further notice to Proposer/Respondent.

If CTA has any questions regarding the contents of the attached proposal/letter of interest and qualification or information marked as proprietary, privileged, or confidential by Proposer/Respondent, CTA’s Freedom of Information Officer should contact (Please Print):

Name: _____
Title: _____
Company: _____
Address: _____
Telephone: _____
Facsimile: _____
E-mail: _____

CHICAGO TRANSIT AUTHORITY

CORRECTION - TITLE

**NOTICE OF PREQUALIFICATION FOR GENERAL CONTRACTORS FOR
ROOF REPLACEMENTS AT HARLEM AND DESPLAINES RAIL SHOPS.**

C14CT101577078 - Notice of Prequalification for General
Contractors for Roof Replacements at Harlem and
DesPlaines Rail Shops.

Issue Date: Monday, December 8, 2014

Pre-Submission Meeting: Monday, December 15, 2014
at 9:30 a.m.

Location: Chicago Transit Authority
567 West Lake Street
Chicago, Illinois 60661
Bid Office Conference Room - 2nd Floor

Due Date for Submission of Qualifications:
Monday, December 29, 2014 at 3:30 p.m., CST.

Contract Administrator: Lovie Fisher-Townsell
Phone: (312) 681-2667 / Fax: (312) 681-2497
Email: Lfisher@transitchicago.com

**AN INFORMATIONAL MEETING WILL BE HELD AT THE OFFICES OF THE
CHICAGO TRANSIT AUTHORITY ON MONDAY, DECEMBER 15, 2014 AT
9:30 A.M. TO ANSWER QUESTIONS ABOUT THE PREQUALIFICATION
SUBMISSION PROCESS.**

ALL POTENTIAL GENERAL CONTRACTORS MUST BE PREQUALIFIED IN
ORDER TO BE ELIGIBLE TO SUBMIT A BID FOR THE WORK. ANY
GENERAL CONTRACTOR WHO WILL NOT SELF-PERFORM ALL OR ANY
PORTION OF THE ROOF REPLACEMENT MUST ALSO SUBMIT THE NAMES
AND QUALIFICATIONS OF ANY AND ALL ROOF SUB-CONTRACTORS WHO
MAY BE UTILIZED BY THE GENERAL CONTRACTOR FOR WORK ON THE
PROJECT.

PLEASE NOTE:

When prequalification submission are sent by mail, delivery
service or delivered in person to the CTA Bid Office, the
bidders shall be responsible for their delivery only to the
Bid Office prior to the advertised due date and time. The
Bid Office hours are Monday through Friday from 8:00 a.m. to
4:30 p.m., Chicago Time, except holidays.

To download the prequalification package, please
visit the CTA Website at www.transitchicago.com.

If you have any questions about downloading the
prequalification package, please call the Bid Office at
(312) 681-2051 or (312) 681-2050.

CHICAGO TRANSIT AUTHORITY

**NOTICE OF PREQUALIFICATION FOR GENERAL CONTRACTORS AND
TRACK SUBCONTRACTORS FOR ROOF REPLACEMENTS AT HARLEM AND
DESPLAINES RAIL SHOPS.**

C14CT101577078 - Notice of Prequalification for General
Contractors and Track Subcontractors for Roof
Replacements at Harlem and DesPlaines Rail Shops.

Issue Date: Monday, December 8, 2014

Pre-Submission Meeting: Monday, December 15, 2014
at 9:30 a.m.

Location: Chicago Transit Authority
567 West Lake Street
Chicago, Illinois 60661
Bid Office Conference Room - 2nd Floor

Due Date for Submission of Qualifications:
Monday, December 29, 2014 at 3:30 p.m., CST.

Contract Administrator: Lovie Fisher-Townsell
Phone: (312) 681-2667 / Fax: (312) 681-2497
Email: Lfisher@transitchicago.com

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ORDER TO BE ELIGIBLE TO SUBMIT A BID FOR THE WORK. ANY
GENERAL CONTRACTOR WHO WILL NOT SELF-PERFORM ALL OR ANY
PORTION OF THE ROOF REPLACEMENT MUST ALSO SUBMIT THE NAMES
AND QUALIFICATIONS OF ANY AND ALL ROOF SUB-CONTRACTORS WHO
MAY BE UTILIZED BY THE GENERAL CONTRACTOR FOR WORK ON THE
PROJECT.

PLEASE NOTE:

When prequalification submission are sent by mail, delivery
service or delivered in person to the CTA Bid Office, the
bidders shall be responsible for their delivery only to the
Bid Office prior to the advertised due date and time. The
Bid Office hours are Monday through Friday from 8:00 a.m. to
4:30 p.m., Chicago Time, except holidays.

To download the prequalification package, please visit
the CTA Website at www.transitchicago.com.

If you have any questions about downloading the
prequalification package, please call the Bid Office at
(312) 681-2051 or (312) 681-2050.

CHICAGO TRANSIT AUTHORITY

REQUEST FOR QUALIFICATIONS (RFQ)

For Construction Services (Roofing Contractors) for Roof Replacements – Harlem and DesPlaines Rail Shops

Requisition No.: C14CT101577078

Required For Use By
Chicago Transit Authority

All Responses Must Be Submitted To The Authority At The Following Address:

Chicago Transit Authority
Bid Office - 2nd Floor
567 W. Lake Street
Chicago, IL 60661-1495

All Signatures to be sworn before a Notary Public

Responses Shall Be Received No Later Than 3:30 P.M., Central Time, December 29, 2014
The Outside of the Envelopes or Packages Must Clearly Indicate the Name of the Project and
Requisition Number

ISSUED BY

Purchasing Department, Chicago Transit Authority
567 W. Lake Street, Chicago, IL 60661-1465
Ellen McCormack, Vice President, Purchasing & Supply Chain
Forrest Claypool, President
Terry Peterson, Chairman

**Roof Replacements – Harlem and DesPlaines Rail Shops
Project Number: 2013-0014.05
Request for Qualifications**

**CHICAGO TRANSIT AUTHORITY
567 West Lake Street
Chicago, Illinois 60661**

Section 1: General Requirements

1.1 RFQ Contents

Section 1	General Requirements
Section 2	Scope of Work
Section 3	Submittal
Section 4	Evaluation Criteria
Section 5	Bid Protest

Attachments:

Attachment A	Prequalification Application
Attachment B	Freedom of Information Act Declaration

1.2 Introduction

The Chicago Transit Authority (CTA) is soliciting this Request for Qualifications (RFQ) from roofing contractors (hereinafter “Contractor”) for prequalification to perform construction services for roof replacements at the Harlem and DesPlaines Rail Shops (hereinafter “Project”). Such construction services shall be for the scope of work as defined in Section 2 (“Scope of Work”). Responses to this RFQ will be considered only for the prequalification of a Contractor; however, if the Contractor is not self-performing all of the work, the Contractor must also provide information that demonstrates that its proposed subcontractor(s) possess the experience and capability necessary to successfully complete that portion of the work.

Only those Contractors that have submitted a fully completed Prequalification Application and other supporting documentation as described in this RFQ (“Submittal”) and have been deemed qualified by the CTA may participate in the bidding phase of the Project. During the bidding phase, the CTA will provide a detailed scope of work together with all of the terms and conditions for the project to the Contractors prequalified through this RFQ. Any Contractor not prequalified in this RFQ will not be eligible to participate in the bidding phase.

The bidding phase will be conducted as an Invitation for Bid (IFB) among prequalified Contractors, for a firm fixed-price contract to be awarded to the lowest responsive and responsible prequalified Contractor.

1.3 Anticipated Schedule

Issue Request for Qualifications:	December 8, 2014
Date Statements of Qualifications due:	December 29, 2014
Notifications of prequalification:	January 2015
Invitation for Bids issued to prequalified bidders:.....	January 2015
Bids due:.....	February 2015
Substantial Completion	November 2015
Final Acceptance	March 2016

The CTA reserves the right to continue to review Submittals for prequalification after the qualification due date and prior to the bid due date. However, any Contractor who wishes to be ensured an opportunity to be prequalified should submit its Statement of Qualifications by the deadline above.

Section 2: Scope of Work

The work is anticipated to consist of providing all labor and materials, and obtaining all necessary permits, as well as furnishing and installing all improvements, general carpentry, roofing and modifications to the mechanical, electrical and plumbing systems for the scope of work to be provided in the bid documentation, including:

1. Removal of existing roofing system and replacement with modified bituminous sheet roofing membrane systems (heat welded) at Harlem and DesPlaines Rail Shops. The DesPlaines Shop roof is approximately 26,000 square feet and the Harlem Shop roof is approximately 20,000 square feet.
2. Removal and replacement of all roof top equipment, including roof curb modifications.
3. Modifications to all parapets.
4. Replacement of the lightning protection system at DesPlaines Shops.
5. Replacement of the canopy light fixtures and wiring at the Harlem Transportation Building.

Section 3: Submittal

Submittals shall be prepared on standard 8 ½ x 11 letter size paper and bound on the long side, with material printed on one side only. Sections shall be separated by labeled tabs and organized in conformance with submittal requirements listed below. Expensive paper and bindings are discouraged, as no materials will be returned.

Contractors are advised to adhere to submittal requirements. Failure to comply with the instructions of this request may be cause for rejection of submittals. CTA reserves the right to accept or reject any and/or all submittals. Upon submittal, all proposal packages become the property of CTA and will not be returned. Issuance of this RFQ does not commit CTA to pay any cost incurred in the preparation of the submittal. Of the [ten (10)] submittals required, at least one (1) must contain original signatures and be marked ORIGINAL.

A Contractor's Submittal shall include:

- (1) the full and complete Prequalification Application attached as Attachment A,
- (2) a completed Freedom of Information Act declaration attached as Attachment B, and
- (3) the other requirements set forth below.

3.1 Qualifications of the Roofing Contractor

A. Project Experience of the Firm

The Prequalification Application form requests that the Contractor lists three (3) projects completed by the Contractor within the past ten (10) years for which the Contractor has constructed, as a roofing contractor, projects of a similar size, type, complexity, and as an approved installer by materials manufacturers. The identified projects should consist of roofing projects of similar type and size. In addition to completing the table in the Prequalification Application, for each project provide additional information that describes the work performed, the contract size in terms of dollar value and geographic area, complexity of the work (coordination with operations/traffic, subcontractors, and logistics), the schedule (baseline and as-constructed) the amount of approved change orders on the contract, and a description of warranty work.

B. Project Experience of Potential Subcontractor(s)

If the Contractor will not self-perform all of the work, the Contractor must identify each potential subcontractor it may use and provide the same detailed information for three projects performed by each subcontractor identified. If a Contractor has indicated that it will not self-perform all of the work, the CTA will determine that a Contractor is qualified only if it identifies one or more subcontractor(s) who have completed at least ten (10) roof construction projects within the last ten (10) years. For each project, provide additional information that describes the work performed, the contract size in terms of dollar value, complexity of the work (coordination with operations/traffic, subcontractors, and logistics), the schedule (baseline and as-constructed) the amount of approved change orders on the contract, and a description of warranty work.

3.2 Safety Information

A. Experience Modification Rate

Contractor (or if the Contractor is a joint venture, each participant) shall provide their Experience Modification Rate ("EMR") for the last three years and supply a letter from Contractor's (or if the Contractor is a joint venture, each participant's) insurance broker or carrier indicating the EMR of the Contractor for the last three years.

B. OSHA/Bureau of Labor Statistics ("BLS") Total Recordable Incident Rate ("TRIR") and Lost Work Day Incident Rate ("LWDIR")

Contractor (or if the Contractor is a joint venture, each participant) shall provide their Incidence Rates for the last three years.

3.3 Financial Capability

A. Bonding Capacity

A payment bond and a performance bond securing the performance and completion of the executed Contract and the payment of all obligations arising under the Contract will be required of the successful Bidder. Each Proposal must be accompanied by written evidence of the Contractor's ability to procure payment and performance bonds of at least \$300,000,000.

A bid bond or other bid security may also be required for prequalified Contractors to submit bids during the bidding phase.

B. Financial Resources

Contractor shall submit audited or reviewed financial statements for the past three (3) years demonstrating financial capacity and capability to complete the Project and meet its obligations.

C. Insurance

Contractor must demonstrate proof of insurance or the ability to purchase insurance in the amounts required. The CTA's current insurance requirements will be provided as part of the bidding phase.

Section 4: Evaluation Criteria

A CTA Prequalification Evaluation Committee will review the Submittals, and determine prequalification based on the quality of the Contractor as demonstrated by the firm's competence, experience and capacity. The CTA reserves the right to check other sources available including, but not limited to, Westlaw and Dun and Bradstreet, or see seek clarification of information submitted in response to this RFQ during the evaluation process.

Without limitation, as for the purpose of example only, any of the following reasons may result in a Contractor not receiving prequalification:

1. Lack of competency as revealed by the financial statement, project experience information and prequalification application.
2. Outstanding work on any other project(s) which might hinder or prevent the prompt completion of work on the Project if awarded.
3. Failure to pay, or satisfactorily settle, all bills due for labor and material on former contracts in force at the time of issuance of proposal forms.
4. Excessive safety violations, such as an EMR above 1.0 or an incidence rates exceeding the respective BLS Industry Incidence Rate for heavy and civil engineering construction for the last three years.
5. Defaulting on previous contract.
6. Unsatisfactory performance record as shown by past work, judged from the standpoint of workmanship and progress.

7. The Contractor's suspension from eligibility to bid at a public letting or debarment by the U.S. Department of Transportation, the Illinois Department of Transportation, the City of Chicago, Metra, Pace or any other agency of instrumentality of city, state or federal government.
8. Failure to provide a completed Submittal, or submission of false information.

The CTA reserves the right to waive minor irregularities and omissions in the information contained in the prequalification application submitted and to adjust, increase, limit, suspend or rescind the prequalification based on subsequently learned information.

While it is the intent of the Submittal to assist the CTA in determining bidder responsibility prior to bid, neither the fact of prequalification, nor any prequalification, will preclude the CTA from determining that a firm is not qualified to do work on this project. The Submittal, its completion and submission, and its use by the CTA, shall not give rise to any liability on the part of the CTA to the Contractor or any third party or person. This is not a solicitation for bid. No guarantees are made or implied that the Project will be constructed, either in part or whole. The Contractor accepts all risk and cost associated with the completion of the Submittal without financial guarantee. The CTA reserves the right to cancel this RFQ or to reject any and all responses if it determines, in its sole discretion, that such cancellation or rejection is in the best interest of the CTA.

In reviewing and evaluating the Submittal, CTA will consider the following factors, which are listed in descending order of relative importance:

1. Project Experience of the Firm as documented on Attachment A Prequalification Application Section III Contracting History.
2. Safety Record
3. Financial Capability

Section 5: Bid Protest

Any protest regarding this RFQ or evaluation hereunder, must be submitted in accordance with the CTA's bid protest procedures, available at: <http://www.transitchicago.com/asset.aspx?AssetId=5857>.

ATTACHMENT A

PREQUALIFICATION APPLICATION

CHICAGO TRANSIT AUTHORITY
CONTRACTOR PREQUALIFICATION APPLICATION

Name of Procurement: Roof Replacements – Harlem and DesPlaines Rail Shops

Project Number: 2013-0014.05

Name of Applicant Firm: _____

Date Submitted: _____

Preparer's Name: _____

THIS PAGE MUST BE COMPLETED AND INCLUDED WITH THE APPLICATION

**READ THE INSTRUCTIONS BEFORE
FILLING OUT THE QUESTIONNAIRE**

PREQUALIFICATION APPLICATION INSTRUCTIONS

1. This is a Prequalification Application for the Chicago Transit Authority (CTA).
2. The application should be completed by a person in the firm who is knowledgeable of and duly authorized to attest to the past and present operations of the firm and its policies. A corporate officer of the firm, owner or partner, as appropriate, must sign the Prequalification Certification form.
3. **All questions must be answered completely and any Yes answers must be fully explained. Disclaimers, general statements with global qualifications, or notations of Not Applicable (N/A) are not acceptable. Please note that a Yes answer to any question does not automatically result in denial of prequalification.**

DEFINITIONS

1. **Affiliate** is defined as any Firm other than Applicant Firm which, directly or indirectly: (1) owns 25% or more, or has a controlling interest in, the Applicant Firm, such as parent companies or holding companies; (2) is owned 25% or more, or is otherwise controlled by, the Applicant Firm, any Firm provided in (1), or any stockholder, member, partner of any of the foregoing, such as subsidiaries or sister companies under common control; (3) has or has had an unseverable business or professional identity with the Applicant Firm or any of the foregoing, and (4) has any permanent or temporary common business enterprise relationship in which the parties share operating responsibility and profits such as joint ventures with the Applicant Firm or any of the foregoing.
2. **Key Person** - For purposes of prequalification a key person is (1) any person in Applicant Firm who owns 10% or more of the Firm and/or those who make decisions with respect to its operations, finances, or policies, such as any officer (President, CEO, CFO, COO, Secretary, Treasurer, Vice President, etc.), Director(s) General Partner(s), Manager(s) or Managing Member(s); or (2) Division or Regional Business Managers who operate away and independently from the Applicant Firm, but only if the division or regional office is bidding directly with the CTA.

STATEMENT OF QUALIFICATIONS AND APPLICATION SUBMITTAL

Prequalification applications or questions related to the prequalification process should be submitted to:

Chicago Transit Authority
Purchasing Department
567 W. Lake St.
Chicago, IL 60661

Applicant Firm: _____
Tax ID No. or SSN: _____

SECTION I - IDENTIFICATION

1. Identification of Applicant Firm

A. _____
Name of Applicant Firm

B. _____
Address City State Zip Code

C. _____
(Mailing Address, if different from above)

D. _____
(If doing business with the CTA under another name, include legal name and Tax ID No., if different)

E. Primary Company Telephone No. _____ Fax No. _____

F. Applicant Firm's Contact Person for Prequalification Office follow-up:

Print or Type Name	Position	E-Mail	Telephone Number
--------------------	----------	--------	------------------

G. Has the Applicant Firm changed its address or has the Firm or its owner operated under any other name(s) including other in the past five years? If yes, explain fully on a separate sheet of paper.
☐ No ☐ Yes

H. Type of business organization: _____

Year organization established: _____ Number of current employees: _____

- ☐ Sole Proprietor
- ☐ Corporation
- ☐ Not-for-Profit Corporation
- ☐ Limited Liability Company (LLC)
- ☐ Limited Partnership (LP)
- ☐ Limited Liability Partnership (LLP)
- ☐ General Partnership (GP)
- ☐ Other (describe) _____

Date and State of Incorporation/Formation/Filing _____

Applicant Firm: _____
 Tax ID No. or SSN: _____

SECTION II - OWNERSHIP/MANAGEMENT, PROJECT TEAM MEMBERS, AND RELATED ENTITIES

1. Owners/Key Persons

List Owners and Key Persons of Applicant Firm. For large publicly-traded companies, list only Key Persons. (See DEFINITIONS for clarification if necessary.)

Full Legal Name	Title	Social Security No. (last four digits only)	% Of Ownership

[Use additional sheets if necessary]

2. Related Entities (Affiliates/Subsidiaries/Joint Ventures)

- A. List Affiliates, subsidiaries, holding companies, joint ventures, etc., of Applicant Firm. If no Affiliates, state NONE. N/A is not an acceptable answer. Provide organizational, geographical or functional chart if it would assist in clarifying the line(s) of authority. (See DEFINITIONS for clarification if necessary.)

Affiliate Name & Address	Tel. #	% Owned	Top Executive's Name	*Type of Relation

*Type of Relationship: 1. Joint Venture (JV), 2. Parent Co (PC), 3. Holding Co (HC), 4. Subsidiary (S), 5. Other (O), please explain.

Applicant Firm: _____
 Tax ID No. or SSN: _____

SECTION III - CONTRACTING HISTORY

1. Contracting History

- A. List three (3) projects completed by the Contractor within the past ten (10) years for which the Contractor has constructed, as a Contractor, projects of a similar size, type and complexity. For these projects, demonstrate the quality, safety and timely completion of the work with minimal change orders requests.

	Contract #1	Contract #2	Contract #3
Agency/Owner			
Contract No.			
Name/Location			
Project Description (Roof Type and Area)			
Role on Project (Prime, Subcontractor, other)			
Planned Completion Date			
Actual Completion Date			
List material manufacturer issuing approval to install roofing systems			
Describe warranty work and repairs within 10 years of installation.			
Contract Amount			
Agency/Owner Contact to Verify (Name/Telephone No./E- mail)			
Design Architect/Engineer to Verify (Name/Telephone No./E- mail)			

Applicant Firm: _____
Tax ID No. or SSN: _____

NOTE: ANY "YES" ANSWERS BELOW MUST BE FULLY EXPLAINED ON A SEPARATE SHEET OF PAPER AND ATTACHED TO THIS APPLICATION.

In the past five (5) years has the Applicant Firm or any Affiliate been the subject of any of the following actions?

B. Been suspended, debarred, disqualified, or otherwise declared ineligible to bid on any construction project in any jurisdiction?

☐ No

☐ Yes

C. Failed to complete a contract for a commercial or private owner?

☐ No

☐ Yes

D. Been denied, for any reason, a low-bid contract in spite of being the low bidder?

☐ No

☐ Yes

E. Had a contract terminated for default?

☐ No

☐ Yes

F. Had liquidated damages assessed against it during or after completion of a contract?

☐ No

☐ Yes

SECTION IV - CIVIL ACTIONS

1. Bankruptcy

During the past five (5) years, has the Applicant Firm or any Affiliate filed for bankruptcy or reorganization under the bankruptcy laws?

☐ No

☐ Yes

2. Tax Liens

During the past five (5) years, has the Applicant Firm been the subject of a tax lien by federal, state or any other tax authority?

☐ No

☐ Yes

Applicant Firm: _____

Tax ID No. or SSN: _____

SECTION V - COMPLIANCE WITH LAWS AND OTHER REGULATIONS**1. Criminal**

In the past five (5) years has the Applicant Firm, any Affiliate, or any of either's principals or officers been convicted or currently charged with any of the following:

A. Fraud in connection with obtaining, attempting to obtain, or performing a public contract, agreement or transaction?

☐ No☐ Yes

B. Federal or state antitrust statutes, including price fixing collusion and bid rigging?

☐ No☐ Yes

C. Embezzlement, theft, forgery, bribery, making false statements, submitting false information, receiving stolen property, or making false claims to any public agency?

☐ No☐ Yes

D. Misrepresenting minority or disadvantaged business entity status with regard to itself or one of its subcontractors?

☐ No☐ Yes

E. Non-compliance with the prevailing wage requirements of the Illinois or similar laws of any other state?

☐ No☐ Yes

F. Violation of any law, regulation or agreement relating to a conflict of interest with respect to a government funded procurement?

☐ No☐ Yes

G. Falsification, concealment, withholding and/or destruction of records relating to a public agreement or transaction?

☐ No☐ Yes

Applicant Firm: _____

Tax ID No. or SSN: _____

2. Regulatory Compliance

In the past five (5) years, has Applicant Firm, any of its Key Persons, or Affiliates:

A. Been cited for a violation of Illinois labor law or regulation, including, but not limited to, child labor violations, failure to pay wages, failure to pay into a trust account, failure to remit or pay withheld taxes to tax authorities or unemployment insurance tax delinquencies?

☐ No☐ Yes

B. Been cited for an OSHA "serious violation"?

☐ No☐ Yes

C. Had its corporate status, business entity's license or any professional certification, suspended, revoked, or had otherwise been prohibited from doing business in the State of Illinois?

☐ No☐ Yes**SECTION VI - ADDITIONAL DOCUMENTATION REQUIRED**

Copies of the following documents are to be submitted with this application:

1. Applicant Firm's Current Local Business Licenses, if required by city, county or state), and
2. Applicant Firm's Audited Financial Statements with footnotes, including balance sheet, income statement, and cash flow statement for the most recent three years.

This information is provided for prequalification purposes only. It is considered a confidential document not subject to public disclosure under Illinois law.

I hereby certify that the above information is true and accurate to the best of my knowledge and belief. I understand false statements may result in denial of prequalification and possible debarment for a period of five years.

Signature of Owner or Officer

Date Signed

Company Name

For the Year Ended

Federal ID #

Applicant Firm: _____

Tax ID No. or SSN: _____

PREQUALIFICATION CERTIFICATION

A COPY OF THIS CERTIFICATION MUST BE COMPLETED AND SIGNED BY A GENERAL PARTNER, OWNER, PRINCIPAL OR CORPORATE OFFICER AUTHORIZED TO LEGALLY COMMIT THE APPLICANT FIRM, AND SUBMITTED WITH THE APPLICATION.

The signer of this declaration recognizes that the information submitted in the questionnaire herein is for the express purpose of inducing the CTA to award a contract. The signer has read and understands the requirements and has read and understands the instructions for completing this form.

DECLARATION

State of: _____

County of: _____

I, (printed name) _____, Social Security Number (last four digits) _____, being first duly sworn, state that I am the (title) _____ of Applicant Firm. I certify that I have read and understood the questions contained in the attached Application, and that to the best of my knowledge and belief all information contained herein and submitted concurrently or in supplemental documents with this Application is complete, current, and true. I further acknowledge that any false, deceptive or fraudulent statements on the Application will result in denial of prequalification.

I authorize the CTA to contact any entity named herein, or any other internal or outside resource, for the purpose of verifying information provided in the questionnaire or to develop other information deemed relevant by the CTA.

Signature of Certifying Individual_____
Date

Subscribed and sworn to (or affirmed) before me this _____ day of _____, by

Name of Signer☐ Personally known to me, or☐ Proved to me on the basis of satisfactory evidence to be the person who appeared before me._____
Signature of Notary Public

Place Notary Seal Above

NOTICE TO APPLICANTS

A material false statement, omission or fraudulent inducement made in connection with this prequalification application is sufficient cause for denial of the application.

ATTACHMENT B

FREEDOM OF INFORMATION ACT NOTICE

Proposer/Respondent must complete the attached Freedom of Information Declaration and affix it to the front of each proposal/letter of interest and qualification that Proposer/Respondent submits to CTA.

CTA is subject to the requirements of the Illinois Freedom of Information Act, 5 ILCS 140/1 *et seq.* (“FOIA”), which enables the public to request and obtain records from CTA. FOIA requires, upon request, the public disclosure of any non-exempt information in proposals/letters of interest and qualification, contracts, invoices or payment records (among other records). *See* Section 7 and 7.5 of FOIA, 5 ILCS 140/7 and 7.5, for the available FOIA exemptions. If Proposer/Respondent has any questions regarding the FOIA process at CTA, Proposer/Respondent should contact CTA’s Freedom of Information Officer at (312) 681-2809 or via e-mail at FOIA@transitchicago.com.

Please note that proposals/letters of interest and qualification become the property of the CTA when submitted and cannot be returned. *All proposals/letters of interest and qualification and any subsequent contract (including any later amendments thereto) will be subject to public disclosure under FOIA upon request after the successful proposer/respondent and CTA have executed a written contract.* To the extent that Proposer/Respondent provides records to CTA that contain information exempt from public disclosure under FOIA, such as proprietary trade secrets or confidential commercial or financial information (*see* Section 7(1)(g) of FOIA, 5 ILCS 140/7(1)(g)), Proposer/Respondent must clearly identify and mark this information in the records. *See How to Mark and Identify Proprietary, Privileged or Confidential Information herein.*

Any proposals/letters of interest and qualification submitted to CTA in connection with this procurement that are not clearly marked and identified as containing proprietary, privileged or confidential information may be released by CTA with no further notice to Proposer/Respondent.

Proposer/Respondent is solely responsible for the marking and identification of Proposer/Respondent’s proprietary, privileged, or confidential information within a proposal/letter of interest and qualification before it is submitted to CTA. For purposes of this provision, all information provided by Proposer/Respondent in a proposal/letter of interest and qualification is considered by CTA to be Proposer/Respondent’s information, even if the information relates to one or more of Proposer/Respondent’s proposed subcontractors. Proposer/Respondent is solely responsible for marking and identifying any proprietary, privileged, or confidential information of Proposer/Respondent’s subcontractors contained in Proposer/Respondent’s proposals/letters of interest and qualification before the proposals/letters of interest and qualification are submitted to CTA. Proposer/Respondent will be required to indemnify, defend, and hold harmless CTA for any damages, costs, liabilities, and fees (including attorney’s fees) that result from the public disclosure by CTA of information from Proposer/Respondent’s proposal/letter of interest and qualification that is not marked and identified by Proposer/Respondent as proprietary, privileged, or confidential at the time that Proposer/Respondent submits its proposal/letter of interest and qualification to CTA.

In the event that a FOIA request is made for records that contain information that Proposer/Respondent has identified and marked as “proprietary,” “privileged,” or “confidential,” CTA will notify Proposer/Respondent of the request and will allow Proposer/Respondent an opportunity to review the records requested under FOIA so that Proposer/Respondent can confirm that all marked and identified proprietary, privileged or confidential information has been removed. Before allowing information that Proposer/Respondent has identified and

marked as “proprietary,” “privileged,” or “confidential” to be redacted from a proposal/letter of interest or qualification (or other record), CTA may require Proposer/Respondent to provide CTA with additional information regarding the materials marked and identified for redaction. CTA will not allow the redaction of any information that does not meet the statutory FOIA exemptions.

Once Proposer/Respondent has reviewed a particular proposal/letter of interest and qualification or contract and has confirmed that all proprietary, privileged and confidential information has been removed, CTA will provide Proposer/Respondent with a redacted copy of the proposal/letter of interest and qualification or contract that will be publicly disclosed by CTA in connection with any pending or future FOIA requests and CTA will provide no further notice to Proposer/Respondent when that particular record is requested or publicly disclosed pursuant to a FOIA request. This redacted copy of the proposal/letter of interest and qualification or contract may also be published in whole or in part on CTA’s website or in any other format by CTA without further notice to Proposer/Respondent.

Please note that Proposer/Respondent may also be required to provide CTA with additional information regarding information redacted from records if any proceeding arises that requires CTA to defend the non-disclosure of the information that Proposer/Respondent has marked and identified as “proprietary,” “privileged,” or “confidential.”

Please also note that, if Proposer/Respondent receives a contract in connection with this procurement, “public records” as defined in Section 2 of FOIA that are in Proposer/Respondent’s possession or control as a result of the contract may be requested under FOIA and the non-exempt portions of those records may be subject to public disclosure under FOIA. *See* 5 ILCS 140/2 and 7(2). CTA will notify Proposer/Respondent of any FOIA request that will require Proposer/Respondent to review and compile records in its possession or control.

Upon receiving notice from CTA that a FOIA request has been made for Proposer/Respondent’s proposals/letters of interest and qualification, contract or other records provided to CTA or in Proposer/Respondent’s possession or control, Proposer/Respondent must produce and/or complete the review of all records requested pursuant to FOIA within two (2) business days or other time frame indicated in CTA’s notice to Proposer/Respondent. *See* 5 ILCS 140/3(d) and 3.1 for the statutory deadlines applicable to non-commercial and commercial FOIA requests. If Proposer/Respondent will require additional time to produce and/or review the records being requested, Proposer/Respondent must notify CTA immediately and provide CTA an explanation for the delay and the date when CTA can anticipate the records or the completion of Proposer/Respondent’s review.

If Proposer/Respondent fails to timely comply with any request by CTA to produce or review records necessary for CTA’s compliance with FOIA and Proposer/Respondent’s non-compliance results in any adverse consequences to CTA, including but not limited to, fines or penalties being imposed on CTA, Proposer/Respondent’s non-compliance will be an event of default on the underlying contract, if any, and will further be deemed a loss covered by any such underlying contract’s indemnification provisions.

HOW TO MARK AND IDENTIFY PROPRIETARY, PRIVILEGED OR CONFIDENTIAL INFORMATION:

In order to clearly mark and identify a record or portion of any record submitted to CTA in connection with this procurement that contains any Proposer/Respondent proprietary, privileged or confidential information, Proposer/Respondent must complete all of the following steps:

- A. To the extent that Proposer/Respondent submits any proprietary, privileged, or confidential information to CTA, Proposer/Respondent must mark the title pages of each proposal/letter of interest and qualification containing such information as follows: “This **[insert [Proposal] or [Letter of Interest and Qualification] or [Other Identification]]** includes proprietary, privileged, or confidential, that may not be disclosed outside CTA and may not be duplicated, used or disclosed in whole or in part for any purpose other than to evaluate this Proposal/Letter of Interest and Qualification. The pages that contain information subject to this restriction are **[insert page numbers or other identification]**.” For purposes of this provision, “CTA” will include any consultants assisting CTA with respect to CTA’s evaluation of the proposals/letters of interest and qualification submitted in connection with this procurement.
- B. Proposer/Respondent must also mark each page or portion of a page containing proprietary, privileged, or confidential information, as specifically as possible, with the following legend: “**[Proprietary] or [Privileged] or [Confidential]** Information: This page or the portion of the page indicated contains proprietary, privileged or confidential information.”
- C. Please note that CTA will not honor any request to redact information from records that does not meet the requirements of FOIA including, for example, a request that CTA redact the entire contents of a proposal/letter of interest and qualification. Excessive or indiscriminate marking of information as proprietary, privileged or confidential will be grounds for CTA to deem no information as being exempt from public disclosure under FOIA and disclosing all contents of the proposal/letter of interest and qualification.

FREEDOM OF INFORMATION DECLARATION

Place an “X” on the appropriate line and fill in the blanks:

There is no information contained in the attached proposal/letter of interest and qualification that is proprietary, privileged or confidential to Proposer/Respondent:

(Insert the name of your company)

pursuant to the Illinois Freedom of Information Act (“FOIA”), 5 ILCS 140/1 *et seq.* I acknowledge that the entire contents of the attached proposal/letter of interest and qualification may be publicly disclosed by CTA upon request pursuant to FOIA or may be published in whole or in part on CTA’s website or in any other format without further notice to Proposer/Respondent.

The attached proposal/letter of interest and qualification contains information that is proprietary, privileged, or confidential to Proposer/Respondent:

(Insert the name of your company)

pursuant to the Illinois Freedom of Information Act (“FOIA”), 5 ILCS 140/1 *et seq.* To the extent that proprietary, privileged or confidential information is being submitted to CTA in the attached proposal/letter of interest and qualification, the proposal/letter of interest and qualification has been marked as required by CTA’s Freedom of Information Act Notice. I acknowledge that the contents of the attached proposal/letter of interest and qualification that are not identified as containing proprietary, privileged or confidential information may be publicly disclosed by CTA upon request or may be published in whole or in part on CTA’s website or in any other format without further notice to Proposer/Respondent.

If CTA has any questions regarding the contents of the attached proposal/letter of interest and qualification or information marked as proprietary, privileged, or confidential by Proposer/Respondent, CTA’s Freedom of Information Officer should contact (Please Print):

Name: _____
Title: _____
Company: _____
Address: _____
Telephone: _____
Facsimile: _____
E-mail: _____