

# EXHIBIT 5a(i)(6)

11-30-2011 Response to the DOT

November 30, 2011

Mr. Dominick J. Gatto, PE  
Director, Office of Program Management and Oversight  
U. S. Department of Transportation  
Federal Transit Administration, Region V  
200 West Adams Street, Suite 320  
Chicago, Illinois 60606-2789

**Re: Procurement System Review Final Report  
November 2011 Submittal**

Dear Mr. Gatto:

In our November 18<sup>th</sup> PSR response plan provided to FTA, Metra identified six deficient elements that we would respond to by November 30<sup>th</sup>. Attached please find responses to these six elements, numbers: 5, 36, 37, 39, 42, and 46. With this submittal, Metra has responded to a total of twenty elements found deficient in the Final Report, leaving four elements requiring an initial response. (Please see the attached response tracking table.) Metra is concurrently working to provide additional responses to previously submitted elements found to need additional remediation. Both the remaining four elements never submitted, and additional information for those previously submitted, are targeted for January 31, 2012.

We found the November 10<sup>th</sup> meeting between FTA, Calyptus Group, and Metra to be very informative, and trust that the materials submitted under this letter reflect our improved understanding.

Sincerely,



Lynnette H. Ciavarella  
Senior Division Director  
Strategic Capital Planning/Grants Development

Attach.

cc: w/o attachment  
Lisa Joiner, FTA  
Alexander Clifford, Metra  
Theresa Barnett, Metra  
Eric Fernandes, Metra  
Paul Kisielius, Metra  
David Simmons, Metra

## Status of PSR Findings

Updated: November 30, 2011

### General Deficiencies

#	Element	Response			Status	Closed
		Original Reques	Revised	Submitted		
2	Contract administration system	19-Oct-11	31-Jan-12			
5	System for ensuring most efficient and economic purchase	19-Oct-11	30-Nov-11	30-Nov-11		
6	Procurement policies & procedures	19-Oct-11	31-Jan-12			
7	Independent cost estimates	20-Aug-11	31-Jan-12	22-Aug-11	partially accepted	
12	Arbitrary action	20-Aug-11	31-Jan-12	21-Oct-11	partially accepted	
13	Brand name restrictions	20-Aug-11	31-Jan-12	21-Oct-11	partially accepted	
15	Contract term limitations - rolling stock	20-Aug-11	31-Jan-12	22-Aug-11	partially accepted	
16	Written procurement selection procedures	20-Aug-11		22-Aug-11		x
18	Award to responsible contractors	20-Aug-11		22-Aug-11		x
19	Sound & complete agreement	20-Aug-11	31-Jan-12	21-Oct-11	not accepted	
24	Clear, accurate, & complete specifications	20-Aug-11	31-Jan-12	22-Sep-11	partially accepted	
25	Adequate competition - two or more competitors	20-Aug-11	31-Jan-12	21-Oct-11	not accepted	
36	Evaluation (RFP)	20-Aug-11	30-Nov-11	30-Nov-11		
37	Price & other factors (RFP)	20-Aug-11	30-Nov-11	30-Nov-11		
39	Cost analysis required (sole source)	20-Aug-11	30-Nov-11	30-Nov-11		
41	Cost or price analysis	20-Aug-11	31-Jan-12	22-Aug-11	partially accepted	
42	Written record of procurement history	20-Aug-11	30-Nov-11	30-Nov-11		
44	Out of scope changes	20-Aug-11		21-Oct-11		x
46	Progress payments	20-Aug-11	30-Nov-11	30-Nov-11		
48	Cost plus percentages of costs	20-Aug-11	31-Jan-12			
52	Serial price negotiations (A&E)	20-Aug-11		10-Nov-11		x
56	Clauses	20-Aug-11	31-Jan-12			
59	Buy-America Pre-award review - bus	20-Aug-11		22-Aug-11	under FTA review	
60	Buy-America Post-award review - bus	20-Aug-11		22-Aug-11	under FTA review	

Next Monthly Submittal 30-Nov-11

Total Open 20  
Total Closed 4

Submitted to Date 20  
Submitted in Next 60 Days 4  
Remaining to Submit 0

### Specific Contracts

#	Element	Response			Status	Closed
		Requested		Submitted		
1	Utility Trucks and Cargo Vans - Terry's Ford	N/A	N/A	22-Aug-11	under FTA review	
2	Blanket Signal Engineering Contract - LTK	N/A	N/A	27-Oct-11	under FTA review	
3	Mfg Engineering Rehab of 176 Cars - Nippon Sharyo	N/A	N/A	27-Oct-11	under FTA review	
4	QA Oversight and General Program Support - EMS	N/A	N/A	21-Oct-11	under FTA review	

## **System for Ensuring Most Efficient and Economic Purchase (Element #5):**

**Metra's Revised Response:** The PSR noted that this was a system wide deficiency pertaining to this Element. The review noted that Metra should base contract prices on an independent cost estimate and anticipated future use rather than approved budgets. Please see proposed revised PU-05-RC, PU-06-RC, PU-07-RC, PU-08-RC, and PU-14-RC. Metra procedures now require an independent cost estimate that includes and documents, at a minimum, an analysis of elements to determine the amount of the contract, foreseeable requirements, past and current usage, and possible procurement methods. To assist providing the correct information in a contract file, Dr. Harris provided an Appendix H, "Contract/Purchase Order File Index," which Metra has revised and re-titled, "Checklist – IFB's and Checklist - RFP's" (see attached).

The Senior Division Director, General Administration will conduct an Element-by-Element review with all of the appropriate members of the Procurement and Professional Services staff. The training sessions will review each deficiency and the appropriate corrective action(s) to be implemented. The review will include an analysis of the PSR findings, as well as the purpose and execution of the corrective action. The Senior Director will document when they were held, which Elements were discussed, and who attended the training session. This documentation will be held in the PSR final report file. In addition, Metra will pursue available training provided by FTA, NTI, or other existing sources. We will offer to host courses so that we may include as many Metra Procurement staff as possible. To the extent that existing training does not cover certain topics, we will be issuing an RFP for a consultant to develop specialized training.

Lastly, Audit will commence an independent audit within 120 days of the acceptance of final corrective actions by the FTA. The 120 days should provide adequate time for selecting a sample of procurement awards for our audit to confirm that Metra is following procedures and corrective actions consistently and to issue the report as recommended.

**FORMAL QUOTATIONS AND AWARD**

**I. PURPOSE**

This procedure provides instructions for the solicitation and award of bids for purchases of materials and services, where the estimated cost is \$10,000.00 or more.

**II. POLICY**

This procedure will be used when the acquisition of materials or services will equal or exceed \$10,000.00, unless specifically exempted. See Purchasing Exemptions (Exhibit I).

Acquisitions under \$10,000.00 may be made utilizing Informal Quotations and Award PU-04-RC. If less than \$500.00, use Direct Purchases, PU-13-RC, or Procurement Card Purchases, PU-21-RC.

For the acquisition of professional services, see the appropriate procedure, PU-06-RC, PU-07-RC or PU-08-RC.

The bid solicitation process will contain procedures for including Disadvantaged Business Enterprises on bidders' list for the commodity or service being purchased, where appropriate.

Whenever possible and practical, Metra will endeavor to secure three or more bids (quotations) in the open market. If less than two bids are obtained, the reasons should be documented. When a specific, brand name or vendor is specified, a written memorandum explaining the reasons for the restriction must be provided. The memorandum must be signed by the manager of the Requisitioning Department, Division, or Office, the Senior Director or Deputy Executive Director, as appropriate, and the Executive Director.

For purchase orders that include capital funds, a price/cost analysis and history of procurement must be prepared and maintained on file for a single bid or sole source procurement.

A sole source must be the only available vendor that can provide the materials or services. If capital funding is involved, approval of a sole source may be required.

Only bids received by the announced due date and time will be considered.

Solicitation for bids among vendors will be made by media advertisements, (Invitation for Bids/Requests for Proposals). See Exhibit II in PU-04-RC, for Informal Quotations and Awards), and Metra's corporate website.

**II. POLICY (Continued)**

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
3f	12-1-11	Materials Management		1	6

**FORMAL QUOTATIONS AND AWARD**

Purchase orders will be awarded to the lowest responsive and responsible bidder.

**III. DEFINITIONS**

Blue Folder: See Glossary

Requisition: See Glossary

Sole Source: See Glossary

**IV. RESPONSIBILITIES**

Requisitioner/User

Submits requisition(s) and provides adequate specifications for items desired in accordance with Requisitioning of Materials and Services, PU-02-RC. Prepares memorandum justifying sole source requirements, signed by the Director of the Requisitioning Department, Division, or Office, the Senior Director or Deputy Executive Director as appropriate, and the Executive Director. Assists Procurement Division or Professional Services/Contracts Division in providing specifications and clarifying specifications, as required. Reviews bidders to verify their ability to meet technical specifications. Prepares independent cost estimate as required to establish a base cost that is to incorporate and document an analysis as partial elements to rationalize the amount of the contract; foreseeable requirements, past and current usage, and possible procurement methods that are relevant for the award of a Contract.

Budget Authority

Verifies availability of funds in the appropriate budget account. Review signatures and completeness of forms. Department Head, Director, or other similarly designated person signs approval in box #25 on requisition after checking budget. Maintains a record of all requisitions and purchases to ensure that budget limitations are not exceeded. Verifies proper account/distribution codes.

Procurement Division or Professional Services/Contracts Division

Determines the method of obtaining quotations. Solicits quotations and selects the lowest responsive and responsible bidder. Where possible, solicits bids to secure a minimum of three qualified vendors. Receives, opens and reads aloud and records all bids received. If capital funds are involved, makes the award with concurrence from General Development Department. For items that are sole source, prepares memorandum justifying sole source requirement to Materials Management Department Head. Ensures memorandum is signed by the Department Head, Materials Management, Deputy Executive Director, and the Executive Director. Prepares purchase order/contract and obtains signatures. Distributes

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
3f	12-1-11	Materials Management		2	6

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS)**

**I. PURPOSE**

This procedure sets forth policies and instructions for the acquisition, administration, and termination of professional service contracts and blanket professional service contracts (hereafter, collectively referred to as "Professional Service Contract(s)" unless otherwise stated) by Metra, which are funded by federal, state, or local grants and which do not involve Architectural and Engineering services (NOTE: See PU-07-RC for Professional Service Contracts that are not funded by capital funds, and PU-08-RC for Architectural and Engineering Service Contracts).

**II. POLICY:**

GENERAL:

Professional Service Contracts are exempt from competitive bidding pursuant to MET Ordinance 94-18 or NIRC Ordinance 94-1, but must follow grant requirements for the applicable competitive negotiations process. Professional Service Contracts using capital funds must be publicly advertised and competitively negotiated procurements in accordance with FTA guidelines. Proposals will be solicited in a newspaper with general circulation, and specific firms from lists of eligible vendors will be solicited, in order to reach an adequate number of professional firms. The solicitation and contract documents should follow FTA Circular 4220.1F and the Procurement Regulations.

Proposals will be evaluated, negotiated, selected and any award shall be made in accordance with the criteria and procedures described below. The approach and procedures are those which are applicable to a competitive negotiated procurement whereby proposals are evaluated to determine which proposals are within a competitive range. Discussions and negotiations may then be carried out with Offerors within the competitive range. The Offeror selected will be the Offeror whose proposal is found to be most advantageous to Metra, based upon consideration of the Evaluation Criteria.

Metra personnel will maintain ethical standards in their professional activities. Metra personnel must avoid personal and organizational conflict-of-interest situations and avoid the appearance of such situations. Metra personnel are required to be familiar with Metra's ethics policies and all circumstances and persons covered by any type of conflict-of-interest situation.

Any proprietary information, methodology, or application that is contained in a proposal shall remain strictly confidential, will be screened for distribution only to those Metra personnel who require it for work directly connected with the project, and will not be distributed to persons not relevant to the project and not within reporting hierarchies at

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	9-1-06	Materials Management		1	26

**PROFESSIONAL SERVICE CONTRACTS  
 (GRANT-FUNDED, NON-BROOKS)**

Metra which are relevant to the project. The confidentiality extends to the cost/profit figures contained in the proposals and the process of negotiations.

**NARRATIVE DESCRIPTION OF PROCESS:**

The process for a particular award of a Professional Service Contract will be described in the respective Request for Proposals ("RFP") prepared by the Requisitioner/User. Services which are A & E services according to the Brooks Act, even though performed by a non-A & E firm, shall be considered A & E services. (See PU-08-RC).

Each RFP will be submitted by the Requisitioner/User to the Professional Services/ Contracts Division, together with a list of the specific Evaluation Criteria for the subject project, a statement of work that clearly, accurately and unambiguously describes the technical requirements for the service(s) to be procured, an independent Cost Estimate prepared by the Requisitioner/User to establish a base cost for budgetary purposes, that is to incorporate and document an analysis as partial elements to rationalize the amount of the contract; foreseeable requirements, past and current usage, and possible procurement methods, and all other cost and non-cost related considerations the Requisitioner/User deems relevant for the award of a Professional Service Contract. The initial RFP prepared by the Requisitioner/User will be reviewed by the Professional Services/ Contracts Division who, after such review and in concert with the Requisitioner/User, will prepare the formal RFP. The formal RFP will be used by the Professional Services/ Contracts Division for the solicitation of proposals from Offerors.

Proposals with respect to a given RFP will be solicited through the use of advertisement in a newspaper of general circulation, e-mail notification to Offerors selected from Metra's vendor database, and posting on Metra's web site. The Professional Services/ Contracts Division, with the assistance of the Requisitioner/User, may coordinate the scheduling of a pre-proposal conference to clarify requirements and answer questions from potential Offerors. Attendance at such pre-proposal conference however, by potential Offeror(s) is not mandatory and absence at such a conference will not be used to treat an Offeror as non-responsive.

The evaluation of the proposals received with respect to a given RFP will be performed by the respective Evaluation Committee. Proposals with respect to an RFP will be first received by the Professional Services/ Contracts Division and first opened, in the presence of a witness, on the respective proposal due date. The Professional Services/ Contracts Division will perform an initial review and complete a Responsibility Determination Form with respect to each proposal. Any potential Offeror which does not demonstrate that they are a responsive Offeror necessary to assure achievement of the RFP objectives may be eliminated from further consideration. Proposals accepted by the Professional Services/

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	9-1-06	Materials Management		2	26

## PROFESSIONAL SERVICE CONTRACTS (NON-GRANT-FUNDED, NON-BROOKS)

### I. PURPOSE

This procedure sets forth policies and instructions for acquiring, administering, and terminating Professional Service Contracts and Blanket Professional Service Contracts (hereafter, collectively referred to as "Professional Service Contract(s)" unless otherwise stated) entered into by Metra, which are **not** funded by federal, state, or local (including RTA) grants.

For Professional Services funded by the capital funding, see PU-06-RC. If any Request for Proposals (RFP) is to be issued without competition, PU-02-RC should be followed.

### II. POLICY

All contracts (or purchase orders) for Professional Services under this PU-07-RC are exempt from competitive bidding pursuant to MET Ordinance 94-18 and NIRC Ordinance 94-1, but they should be let by competitive negotiation, after public notice, unless otherwise approved by the Executive Director. In employing an exception to this general policy and the procedures stated herein, a memorandum for approval by the Executive Director must be submitted by the concerned Department Head explaining the reason(s) why a non-competitive procurement of Professional Services should be made. Contracts for Professional Services to be awarded without competitive negotiation must be authorized and executed by the Executive Director, subject to the approval of the Metra Board of Directors.

A RFP should furnish a clear and accurate description of the Professional Services to be procured. It should also indicate the criteria for the evaluation of the proposals. A relative weighted value of importance for each of the foregoing criteria to be used by the Evaluation Committee when reviewing proposals received with respect to the subject project. Metra will award contracts on the basis of the evaluation of the proposals from the standpoint of cost and other relevant factors deemed most advantageous to Metra.

Metra may choose to call the Offerors for discussions or negotiations, or award the contract without negotiations. If Metra opts for negotiations, Metra may restrict the field of choice to Offerors within a particular range. The range should be determined prior to solicitation by parameters such as qualifications, capability, and experience required to perform the Professional Services, the dollar value of the contract, and the ability to adhere to the time frame stipulated by Metra. If Metra chooses to exclude any Offeror falling within the range from negotiation, the reasons for such exclusion should be documented in detail by the concerned department head and approved by Professional Services/Contracts. If Metra wishes to reserve the right to award the contract without negotiation, it will be so stated in the RFP and properly justified.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
3d	12-01-11	Materials Management		1	18

**PROFESSIONAL SERVICE CONTRACTS  
(NON-GRANT-FUNDED, NON-BROOKS)**

**II. POLICY (Continued)**

Any proposal that does not fall within the prescribed range or does not demonstrate the experience, expertise, and other factors necessary to assure achievement of project objectives may be eliminated from further consideration.

An independent Cost Estimate must be submitted with the requisition in order to establish a base cost for budgetary purposes that is to incorporate and document an analysis as partial elements to rationalize the amount of the contract; foreseeable requirements, past and current usage, and possible procurement methods. Metra should obtain a detailed cost break-up on Metra Form RC4400 or approved cost sheet, and then perform a Cost Analysis of a proposal before entering into negotiations to determine the reasonableness of the price.

If it is necessary to process the contract as a sole source Professional Services Contract, then a memorandum justifying that determination must be approved by the Executive Director.

Metra will detail the significant history of the procurement and retain these records. These records will include, but are not limited to: (1) the rationale for the method of procurement, (2) the selection of a contract type, (3) the basis for the contractor selection or rejection, and (4) the basis for the contract price.

Any proprietary information, methodology, or application that is contained in a proposal shall remain strictly confidential, will be screened for distribution only to those Metra personnel who require it for work directly connected with the project, and will not be distributed to persons not relevant to the project and not within reporting hierarchies at Metra which are relevant to the project. Personnel directly connected with the project will be advised of its proprietary character and their responsibility to ensure it. The confidentiality extends to the cost/profit figures contained in the proposals and the process of negotiations. Offerors are not to be advised of their relative standing with other Offerors.

Contracts will be awarded normally on a maximum compensation basis. The contract will reflect a specified maximum amount, payment schedule, and method of payment. If Metra makes progress payments based upon percentage of work completed, Metra will assume title of the work based on the percentage paid by Metra. No payments should be made prior to the consultant's incurrence of costs.

Assignment of any portion of the work by subcontract is not authorized unless explicitly approved in advance by the Director, Professional Services/Contracts and Requisitioner/User Department. When a subcontractor is proposed to be utilized by the Offeror, the correct subcontractor data must be presented on Metra Form RC4400 or an approved cost sheet.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
3d	12-01-11	Materials Management		2	18

**ARCHITECTURAL AND ENGINEERING  
SERVICES CONTRACTS  
(BROOKS METHOD)**

**I. PURPOSE**

This procedure sets forth policies and instructions for acquiring, administering, and terminating contracts for A & E services by Metra, regardless of the funding mechanism.

**II. POLICY:**GENERAL:

A & E services are acquired by Metra using the "Brooks" procurement method regardless of the funding mechanism. The Brooks procurement method is based on the award of contracts for services such as A & E services using a qualifications-based procurement analysis. Price is not a factor in determining the most qualified Offeror. Instead, each Offeror's qualifications are evaluated and the most qualified Offeror is selected subject to the negotiation of fair and reasonable compensation.

Proposals will be evaluated, negotiated, selected and any award shall be made in accordance with the criteria and procedures described below. The approach and procedures are those which are applicable to a competitive negotiated procurement whereby proposals are evaluated to determine which proposals are within a competitive range. Discussions may then be carried out with Offerors within the competitive range. The Offeror selected will be the Offeror whose proposal is found to be most advantageous to Metra, based upon consideration of the Evaluation Criteria. Negotiate the offer/contract with the highest ranked Offeror. In the event Professional Services/ Contracts Division is unable to reach an agreement with such Offeror, terminate negotiations with such Offeror and enter into negotiations with the next highest ranking Offeror (and so on).

Metra personnel will maintain ethical standards in their professional activities. Metra personnel must avoid personal and organizational conflict-of-interest situations and avoid the appearance of such situations. Metra personnel are required to be familiar with Metra's ethics policies and all circumstances and persons covered by any type of conflict-of-interest situation.

Any proprietary information, methodology, or application that is contained in a proposal shall remain strictly confidential, will be screened for distribution only to those Metra personnel who require it for work directly connected with the project, and will not be distributed to persons not relevant to the project and not within reporting hierarchies at Metra which are relevant to the project. The confidentiality extends to the cost/profit figures contained in the proposals and the process of negotiations.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		1	26

**ARCHITECTURAL AND ENGINEERING  
SERVICES CONTRACTS  
(BROOKS METHOD)**

NARRATIVE DESCRIPTION OF PROCESS:

The process for a particular award of an Architectural & Engineering (A & E) services contract will be described in the respective Request for Proposals ("RFP") prepared by the Requisitioner/User. Services which are not A & E services according to the Brooks Act, even though performed by an A & E firm, shall be considered professional services. (See PU-06-RC or PU-07-RC).

Each RFP will be submitted by the Requisitioner/User to the Professional Services/ Contracts Division, together with a list of the specific Evaluation Criteria for the subject project, a statement of work that is clear and an accurate description of the technical requirements for the service(s) to be procured, and an independent Cost Estimate prepared by the Requisitioner/User to establish a base cost for budgetary purposes that is to incorporate and document an analysis as partial elements to rationalize the amount of the contract; foreseeable requirements, past and current usage, and possible procurement methods. The initial RFP prepared by the Requisitioner/User will be reviewed by the Professional Services/ Contracts Division who, after such review and in concert with the Requisitioner/User, will prepare the formal RFP. No dollar value of any project will be directly or indirectly solicited in the formal RFP. The formal RFP will be used by the Professional Services/ Contracts Division for the solicitation of proposals from Offerors.

Proposals with respect to a given RFP will be solicited through the use of advertisement in a newspaper of general circulation, e-mail notification to Offerors selected from Metra's vendor database, and posting on Metra's web site. The Professional Services/ Contracts Division, with the assistance of the Requisitioner/User, may coordinate the scheduling of a pre-proposal conference to clarify requirements and answer questions from potential Offerors. Attendance at such pre-proposal conference however, by potential Offeror(s) is not mandatory and absence at such a conference will not be used to treat an Offeror as non-responsive.

The evaluation of the proposals received with respect to a given RFP will be performed by the respective Evaluation Committee. Proposals with respect to an RFP will be first received by the Professional Services/ Contracts Division and first opened, in the presence of a witness, on the respective proposal due date. The Professional Services/ Contracts Division will perform an initial review and complete a Responsibility Determination Form with respect to each proposal. Any potential Offeror which does not demonstrate that they are a responsive Offeror necessary to assure achievement of the RFP objectives may be eliminated from further consideration. Proposals accepted by the Professional Services/ Contracts Division for consideration will be forwarded to the Evaluation Committee for review.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		2	26

**FORMAL SOLICITATION AND AWARD  
 FOR CONSTRUCTION CONTRACTS**
**I. PURPOSE**

This procedure provides instructions for the solicitation of bids for construction contracts where the estimated cost is \$10,000.00 or more.

**II. POLICY**

Metra will have and use an up-to-date list of firms registered in Metra's vendor database to use in the solicitation of construction contracts.

This procedure will be used when the acquisition of construction contracts will equal or exceed \$10,000.00, unless specifically exempted.

Any construction acquisitions under \$10,000.00 may be made utilizing Informal Quotations and Award (PU-04-RC), or if less than \$500, Direct Purchases, (PU-13-RC).

The bid solicitation process will contain procedures for including Disadvantaged Business Enterprises on bidders' lists for the project to be procured, where appropriate.

Whenever possible and practical, Metra will endeavor to secure three or more bids (quotations) in the open market. If less than two bids are obtained, the reasons should be documented. If the solicitation specified a vendor as a sole source, a written memorandum explaining the reasons for the restriction must be provided. The memorandum must be signed by the manager of the Requisitioning Department, Division, or Office, the Senior Director or Deputy Executive Director, as appropriate, and the Executive Director.

A sole source must be the only available contractor that can provide the goods or services.

If capital funding is involved, FTA/IDOT approval of a sole source may be required.

Only bids received by the announced due date and time will be considered.

Solicitation for bids from contractors will be made by media advertisements for Invitation for Bids. (See Exhibit II in PU-04-RC, Informal Quotations and Awards)

For contracts that include capital funds, a price/cost analysis and a history of procurement must be prepared and maintained on file.

Construction contracts will be awarded to the lowest, responsive and responsible bidder.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
2	12-1-11	Materials Management		1	10

## FORMAL SOLICITATION AND AWARD FOR CONSTRUCTION CONTRACTS

### III. DEFINITIONS

Requisition: See Glossary

Sole Source: See Glossary

### IV. RESPONSIBILITIES

#### Requisitioner/User

Submits requisition(s) and provides adequate specifications for items desired in accordance with Requisitioning of Materials and Services, PU-02-RC. Prepares memorandum justifying sole source requirements, signed by the Director of the Requisitioning Department, Division, or Office, the Senior Director or Deputy Executive Director, as appropriate, and the Executive Director. Assists Procurement Division or Professional Services/Contracts Division in providing specifications and clarifying specifications, as required. Reviews bidders to verify their ability to meet technical specifications. Prepares independent cost estimate as required that is to incorporate and document an analysis as partial elements to rationalize the amount of the contract; foreseeable requirements, past and current usage, and possible procurement methods.

#### Budget Authority

Verifies availability of funds in the appropriate budget account. Reviews signatures and completeness of forms. The Department Head, Director, Section Chief, or other similarly designated person signs approval in box #25 on requisition after checking budget. Maintains a record of all requisitions and purchases to ensure that budget limitations are not exceeded. Verifies proper Account/Distribution codes.

#### Professional Services/Contracts Division

Determines the method of obtaining quotations. Solicits quotations and selects the lowest responsive and responsible bidder. Where possible, solicits bids to secure a minimum of three qualified vendors. Receives, opens, reads aloud, and records all bids received. If capital funds are involved, makes the award with concurrence from General Development Department. For items that are sole source, prepares memorandum justifying sole source requirement to Materials Management Senior Director. The Professional Services/ Contracts Division will also perform a Cost Analysis of such bid before entering into a contract in order to measure the cost reasonableness of the subject bid. Ensures that justification memorandum is signed by the Senior Director, Materials Management, Deputy Executive Director, and the Executive Director. Prepares purchase order/contracts and obtains signatures. Distributes purchase order/contract copies. Advises the Risk Management Division of the purchase of real property, new equipment, construction activities, and other insurable items. Maintain all substantive records and correspondence with respect to each IFB. Such records include, but

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
2	12-1-11	Materials Management		2	10

## CHECK LIST – IFB’s

Applicable items should be entered in chronological order. Documents maintained in the file will be filed consecutively in each section with the highest number on top. When an item is not applicable, it will be designated with “NA” in the Tab column.

	IFB No. _____ Section A SOLICITATION DOCUMENTS	
Tab No.	Document(s)	Audited By
1.	Purchase Requisition	
2.	Specifications	
3.	DBE Goals	
4.	Requirement Justification – Contract/PO Term Does Not Extend Past 5 Years	
5.	Independent Cost Estimate	
6.	Bidder's List	
7.	Justification of Procurement Method	
8.	Copy of IFB	
9.	Proof of Publication	
10.	IFB Attachments/ Modifications	
11.	Pre-bid Minutes & List of Attendees	
12.	Correspondence with Bidders	
13.	Protests Prior to Bid Opening	
14.	Interoffice Correspondence	
15.	Review for Responsiveness (On Bid Tabulation)	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

## CHECK LIST – IFB’s

Applicable items should be entered in chronological order. Documents maintained in the file will be filed consecutively in each section with the highest number on top. When an item is not applicable, it will be designated with “NA” in the Tab column.

	IFB No. _____ Section B AWARD DOCUMENTS	
Tab No.	Document(s)	Audited By
1.	Copy of Each Bid	
2.	Letters of Returned Late Bids or Bid Errors	
3.	Bid Analysis/Tabulation Sheet	
4.	Technical Evaluation/Award Recommendation	
5.	Affirmative Action Evaluation/DBE Goal Exhibit Schedules	
6.	Bidder Responsibility Determination	
7.	Price Analysis or Cost Analysis	
8.	Record of Negotiation for Single Bid (If Applicable)	
9.	Justification of Contract Type Blanket P.O./Sole Source, etc.	
10.	Notice of Award	
11.	Notice to Unsuccessful Bidders (Bond, Check Returns) (If Applicable)	
12.	Legal Review of Contract Documents (Copy of Routing Slip)	
13.	Contract Document (Drawings not Required)	
14.	Performance/Material Bonds, Insurance Certificates (If Applicable)	
15.	Notice to Proceed (If Applicable)	
16.	Purchase Order (If Applicable)	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

## CHECK LIST - IFB's

Applicable items should be entered in chronological order. Documents maintained in the file will be filed consecutively in each section with the highest number on top. When an item is not applicable, it will be designated with "NA" in the Tab column.

IFB No. _____ Section C CONTRACT ADMINISTRATION DOCUMENTS		
Tab No.	Document(s)	Audited By
1.	Post Award Conference (If Applicable)	
2.	Status Reports (If Applicable)	
3.	Change Notices/Modification/Change Orders	
4.	Site Visit Reports (If Applicable)	
5.	Progress Meeting Minutes (If Applicable)	
6.	Quality Assurance Records (If Applicable)	
7.	Termination/Stop Work Notices or Resolution Plan (If Applicable)	
8.	Notice of Claims (If Applicable)	
9.	Release of Claims/Bonds (If Applicable)	
10.	Assignments (If Applicable)	
11.	Audit Reports (If Applicable)	
12.	Punch List Discrepancies	
13.	Liquidated Damages (If Applicable)	
14.	Close Out Documents (If Applicable)	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

## CHECK LIST – RFP’S

Applicable items should be entered in chronological order. Documents maintained in the file will be filed consecutively in each section with the highest number on top. When an item is not applicable, it will be designated with “NA” in the Tab column.

RFP No. _____ Section A SOLICITATION DOCUMENTS		
Tab No.	Document(s)	Audited By
1.	Purchase Requisition	
2.	Rationale for Method of Procurement: _____	
3.	Specifications/Statement of Work	
4.	Justification for Procurement	
5.	Term of Contract Does Not Exceed 5 Years.	
6.	Cost Estimate	
7.	Set Aside Decision/DBE Goal	
8.	Justification of Procurement Method	
9.	List of Prospective Proposers	
10.	Proof of Publication	
11.	Copy of RFP	
12.	Addenda	
13.	Pre-proposal Minutes & List of Attendees	
14.	Correspondence with Bidders	
15.	Interoffice Correspondence	
16.	Review of Responsiveness (On Bid Tabulation)	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

## CHECK LIST – RFP’S

Applicable items should be entered in chronological order. Documents maintained in the file will be filed consecutively in each section with the highest number on top. When an item is not applicable, it will be designated with “NA” in the Tab column.

RFP No. _____ Section B AWARD DOCUMENTS		
Tab No.	Document(s)	Audited By
1.	Copy of Each Proposal (In Storage)	
2.	Proposal Tabulation Sheet	
3.	Evaluation Team Certification Forms	
4.	Evaluation Sheet/Matrix	
5.	Determination of Competitive Range	
6.	Invitation of Oral Interviews/Presentations	
7.	Notice of Rejection	
8.	Minutes of Discussions	
9.	Correspondence with Proposers	
10.	Cost or Price Analysis	
11.	Justification for Contract Type	
12.	Negotiation Memorandum	
13.	Copy of Each Best and Final Offer (If Applicable)	
14.	Award Recommendation Memorandum	
15.	Board Consent	
16.	Legal Review of Contract Documents (Routing Slip)	
17.	Notice of Award	
18.	Notice to Unsuccessful Proposers	
19.	Procurement Summary	
20.	Bonds (If Applicable)	
21.	Certification of Insurance	
22.	Contract Document (Drawings not Required)	
23.	Notice to Proceed	
24.	Contract/Purchase Order	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

## CHECK LIST – RFP’S

Applicable items should be entered in chronological order. Documents maintained in the file will be filed consecutively in each section with the highest number on top. When an item is not applicable, it will be designated with “NA” in the Tab column.

	RFP No. _____ Section C CONTRACT ADMINISTRATION DOCUMENTS	
Tab No.	Document(s)	Audited By
1.	Post Award Conference	
2.	Quality Assurance Records	
3.	Change Notices/Modification/Change Orders	
4.	Periodic Status Reports	
5.	Site Visit Reports	
6.	Termination/Stop Work Notices or Resolution Plan	
7.	Notice of Claims	
8.	Release of Claims/Bonds	
9.	Assignments	
10.	Notice of Final Payment	
11.	Audit Reports	
12.	Liquidated Damages	
12.	Close out Documentation	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

### **Evaluation (RFP) (Element #36):**

**Metra's Revised Response:** The PSR noted three contracts with deficiencies pertaining to this Element. Metra's revised response for two of those contracts, the A&E procurement for manufacturing engineering in the rehabilitation of 176 bi-level passenger railcars (Nippon Sharyo) and the QA oversight and general program support procurement (EMS), are addressed in separate documents previously submitted to the FTA for review. The deficiency identified for the one remaining contract is the focus below.

With respect to the procurement for Construction Management Services for the Union Pacific North Line Bridges, the solicitation followed the Brooks Act process up to and through the recommendation of award to and receipt of a negotiated price from V3 Companies of Illinois. The PSR noted that there was no statement that the criteria were listed in order of importance in the **RFP** (although the requirement was in Metra procedures. See PU-08-RC). Metra respectfully disagrees with this conclusion. Metra's RFP for this procurement listed four elements as the evaluation criteria in the evaluation methodology. They were: A) Recognition of problems and objectives, B) Approach plan and time schedule, C) Firm's previous experience, and D) Proposed team's ability and expertise. **The following paragraph also stated, "Items A through D will receive equal weight in the ratings of each proposal" (see attached Evaluation Methodology).** However, in accordance with the reviewer's recommendation, we have revised our procedures to make it clearer that a relative **weighted** value for each of the evaluation criteria is to be listed in the **RFP** and used by the Evaluation Committee when reviewing proposals (see attached proposed revised PU-06-RC, PU-07-RC and PU-08-RC).

The Senior Division Director, General Administration will conduct an Element-by-Element review with all of the appropriate members of the Procurement and Professional Services staff. The training sessions will review each deficiency and the appropriate corrective action(s) to be implemented. The review will include an analysis of the PSR findings, as well as the purpose and execution of the corrective action. The Senior Director will document when they were held, which Elements were discussed, and who attended the training session. This documentation will be held in the PSR final report file. In addition, Metra will pursue available training provided by FTA, NTI, or other existing sources. We will offer to host courses so that we may include as many Metra Procurement staff as possible. To the extent that existing training does not cover certain topics, we will be issuing an RFP for a consultant to develop specialized training.

Lastly, Audit will commence an independent audit within 120 days of the acceptance of final corrective actions by the FTA. The 120 days should provide adequate time for selecting a sample of procurement awards for our audit to confirm that Metra is following procedures and corrective actions consistently and to issue the report as recommended.

## ARCHITECTURAL AND ENGINEERING SERVICES CONTRACTS (BROOKS METHOD)

### I. PURPOSE

This procedure sets forth policies and instructions for acquiring, administering, and terminating contracts for Architectural & Engineering services by Metra, regardless of the funding mechanism.

### II. POLICY

Architectural & Engineering services are acquired by Metra using the "Brooks" procurement method regardless of the funding mechanism. The Brooks procurement method is based on the award of contracts for services such as architectural and engineering skills using a qualifications-based procurement analysis. Price is not a factor in determining the most qualified Offeror. Instead, Offerors' qualifications are evaluated and the most qualified Offeror is selected subject to the negotiation of fair and reasonable compensation.

Proposals will be solicited in a newspaper of general circulation and from Metra's vendor database of potential firms through direct mailings. No dollar value of any project will be directly or indirectly solicited in the initial Request for Proposals.

Requisitioner/User must mutually agree with DBE Administration on DBE requirements prior to involving the Professional Services/Contracts Division.

The process for an award of an Architectural & Engineering services contract will be described in the Request for Proposals (RFP). The RFP will include a clear and accurate description of the technical requirements of the Architectural & Engineering services to be acquired and a statement of work. The evaluation criteria, their relative value, and all other considerations to be used in making the award of an Architectural and Engineering services contract will be determined prior to solicitations. A list of criteria with their relative importance will be included in the RFP.

The evaluation of the proposals will be performed by a designated group that is specific for the solicitation. Any proposal which does not demonstrate the experience, expertise, and other factors necessary to assure achievement of the contract objectives may be eliminated from further consideration.

Contracts will be generally awarded on a maximum compensation basis. The contract will reflect a specified maximum amount, payment schedule, and method of payment. Advance payments prior to the incurrence of costs by the consultant is prohibited. The contract should not exceed five years including options, if any.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	9-1-06	Materials Management		1	17

K91049

FOR PROFESSIONAL AND CONSULTING SERVICES AGREEMENT  
BLANKET CONTRACTS

NORTHEAST ILLINOIS REGIONAL COMMUTER RAILROAD CORPORATION  
D/B/A METRA  
547 WEST JACKSON BOULEVARD  
CHICAGO, ILLINOIS 60661

TABLE OF CONTENTS

1. SCOPE AND DESCRIPTION OF SERVICES..... 3

2. COMPENSATION ..... 3

3. PERFORMANCE OF THE WORK..... 4

    A. NOTICE TO PROCEED ..... 4

    B. SCHEDULE..... 4

    C. DELAY ..... 5

    D. RESPONSIBILITY FOR AGENTS AND EMPLOYEES ..... 6

    E. LICENSES AND PERMITS..... 6

    F. PROFESSIONAL AND PERSONAL SERVICES ..... 6

    G. PAYMENT OF SUBCONSULTANTS..... 6

    H. ASSIGNMENT..... 7

4. DOCUMENTS FORMING THIS AGREEMENT..... 7

5. TERMINATION ..... 7

    A. CONVENIENCE ..... 7

    B. BREACH ..... 8

6. INSURANCE..... 8

7. ETHICS..... 8

    A. NON-COLLUSION ..... 8

    B. PROHIBITED INTERESTS ..... 8

    C. AFFIDAVIT/CERTIFICATIONS ..... 8

    E. CONFLICTS OF INTEREST ..... 9

8. EMPLOYMENT AND CIVIL RIGHTS ..... 9

    A. ILLINOIS EQUAL EMPLOYMENT OPPORTUNITY REQUIREMENTS ..... 9

    B. FEDERAL CIVIL RIGHTS REQUIREMENTS ..... 11

    C. DISADVANTAGED BUSINESS ENTERPRISE..... 12

    D. INDEPENDENT CONTRACTOR..... 12

    E. REVOLVING DOOR PROHIBITION..... 12

    F. CONFIDENTIALITY ..... 12

9. RECORDS ..... 12

    A. RETENTION ..... 12

    B. AUDIT AND INSPECTION ..... 13

## AGREEMENT

### FOR PROFESSIONAL AND CONSULTING SERVICES BLANKET CONTRACTS

This Agreement is entered into this 25TH day of SEPTEMBER, 2009 in Chicago, Illinois, by and between the Northeast Illinois Regional Commuter Railroad Corporation d/b/a Metra, Metropolitan Rail ("Metra"), a public corporation under Illinois law, and V3 Companies of Illinois, Ltd. ("Consultant"), having offices located at 7325 Janes Avenue, Woodridge, IL 60517. Consultant and Metra are sometimes collectively referred to as "Parties." In consideration of the promises and agreements set forth, the Parties agree:

#### 1. SCOPE AND DESCRIPTION OF SERVICES.

Consultant will perform the following services ("Work"): Provide Blanket Professional Construction Management Services for Union Pacific North Line Bridges.

#### 2. COMPENSATION.

The total amount of this blanket Agreement including all individual tasks, shall not exceed \$8,400,000.00.

Once specific tasks have been assigned, Metra agrees to pay, and Consultant agrees to accept the prices stipulated on the cost or price schedule, which is attached as Exhibit 2. With respect to the overhead rate described on the attached schedule, Consultant will list the immediate prior year overhead rate. The immediate prior year rate will be a provisional rate until audited by and/or accepted by Metra. Consultant may apply the provisional rate until such time as Metra's Audit Department audits and/or accepts Consultant's actual individual yearly overhead rate as computed under the Illinois Department of Transportation guidelines for computation of overhead rates. Once Metra audits and/or accepts the provisional overhead rate, the actual overhead rate for each year will be applied to each year's respective billings. Payments made using the provisional overhead rate will be subject to change and adjusted to conform with the audited and/or accepted overhead rate for each year. Consultant shall be paid only for the actual Work performed at the prescribed rates during the preceding billing period, not to exceed the percentage of the Work completed as of the end of the billing period. The full payment for each task shall not exceed the total price as stated in the applicable Metra Form 4400 for that particular task(s) assigned ("**Total Price**"). The Metra Form 4400, agreed to by Metra and submitted by Consultant in response to Metra's request for a specific task, and the subsequent Notice to Proceed (defined below), are incorporated into this Agreement by reference. The Total Price also includes the cost of all applicable taxes (where Metra is not exempt), bonds, if required, and other charges of every kind and nature. The Total Price shall not include, and Metra shall not pay, taxes or fees from which Metra is exempt. Metra is exempt from various federal taxes, all state and unit of local government taxes, and registration and license fees. Consultant shall promptly notify Metra, and afford it the opportunity, before payment of any taxes, to contest said claims in the manner and to the extent it may elect, and to settle or satisfy such claims.

experience and resumes of key staff. This section should be **limited to approximately thirty (30), single sided pages**. All other information, such as exhibits, references, etc. shall be placed at the end of your proposal. It is encouraged to keep your proposal as brief and concise as possible.

V. **PROPOSAL SUBMITTAL**

- A. Proposals are due no later than **10:00 am on Tuesday June 30, 2009**.
- B. All proposals received after **10:00 am** will be returned unopened.
- C. Proposal must be submitted to:

Mr. Ed Remus, Senior Contracting Agent  
Metra- Materials Department  
11th Floor East  
547 West Jackson Blvd.  
Chicago, Illinois 60661

VI. **QUESTIONS**

All Technical and Administrative questions must be received before **4:00 p.m. Monday June 8, 2009** by fax only to:

Mr. Ed Remus, Senior Contracting Agent  
(312) 322-6619

Questions concerning DBE aspects may be directed to:

Ms. Sandi Llano  
Director  
DBE Administration  
Telephone: (312) 322-6323

VII. **EVALUATION METHODOLOGY**

Metra's consideration for an award of a Professional Service Contract will be made on the following basis:

- A. Recognition of problems and objectives
- B. Approach plan and time schedule
- C. Firm's previous experience
- D. Proposed team's ability and expertise

Any proposal which does not clearly document the approach, expertise and other factors necessary to assure achievement of project objectives and successful completion within the allotted time and budget will be given lower ratings in the corresponding categories designated as Items A through D, inclusive. Items A through D will receive equal weight in the ratings of each proposal. Based on the completed evaluation, the proposal which clearly demonstrates the experience, expertise, planned work scope and other factors necessary to assure successful completion of the project will be offered a contract.

A contract will not be awarded without interviewing the three highest ranking proposers on each contract.

**VIII. ATTACHMENTS**

Attachment A – Project and Subconsultant Listing

**IX. CONTRACT EXHIBITS**

The following Exhibits are attached hereto and made a part hereof in addition to this Master Request for Proposal. The Exhibits shall become a part of the contract resulting from this Master Request for Proposal:

- EXHIBIT 1A - Public Notice of Request for Proposal
- EXHIBIT 1B - Affidavits/Certifications
- EXHIBIT 1C - Metra Disadvantage Business Compliance Requirements
- EXHIBIT 1D - D. O. T. Title VI Assurance
- EXHIBIT 1E - Consultant Insurance Requirements
- EXHIBIT 1F - Railroad Contractor Safety Requirements
- EXHIBIT 1G - Sample Agreement
- EXHIBIT 1H - Form 4400 - This is a sample, do not submit this form with your proposal.
- EXHIBIT 1I - Phase Funding Agreement(s).

**X. PREPROPOSAL MEETING**

A preproposal meeting will be held on **Wednesday June 3, 2009 at 10:00 a.m.** at the Metropolitan Health Care Association of Chicago, 222 S Riverside Plaza, 19th floor, Chicago, IL.

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

**I. PURPOSE**

This procedure sets forth policies and instructions for the acquisition, administration, and termination of professional service contracts and blanket professional service contracts (hereafter, collectively referred to as "Professional Service Contract(s)" unless otherwise stated) by Metra, which are funded by federal, state, or local grants and which do not involve Architectural and Engineering services (NOTE: See PU-07-RC for Professional Service Contracts that are not funded by capital funds, and PU-08-RC for Architectural and Engineering Service Contracts).

**II. POLICY:**

GENERAL:

Professional Service Contracts are exempt from competitive bidding pursuant to MET Ordinance 94-18 or NIRC Ordinance 94-1, but must follow grant requirements for the applicable competitive negotiations process. Professional Service Contracts using capital funds must be publicly advertised and competitively negotiated procurements in accordance with FTA guidelines. Proposals will be solicited in a newspaper with general circulation, and specific firms from lists of eligible vendors will be solicited, in order to reach an adequate number of professional firms. The solicitation and contract documents should follow FTA Circular 4220.1F and the Procurement Regulations.

Proposals will be evaluated, negotiated, selected and any award shall be made in accordance with the criteria and procedures described below. The approach and procedures are those which are applicable to a competitive negotiated procurement whereby proposals are evaluated to determine which proposals are within a competitive range. Discussions and negotiations may then be carried out with Offerors within the competitive range. The Offeror selected will be the Offeror whose proposal is found to be most advantageous to Metra, based upon consideration of the Evaluation Criteria.

Metra personnel will maintain ethical standards in their professional activities. Metra personnel must avoid personal and organizational conflict-of-interest situations and avoid the appearance of such situations. Metra personnel are required to be familiar with Metra's ethics policies and all circumstances and persons covered by any type of conflict-of-interest situation.

Any proprietary information, methodology, or application that is contained in a proposal shall remain strictly confidential, will be screened for distribution only to those Metra personnel who require it for work directly connected with the project, and will not be distributed to persons not relevant to the project and not within reporting hierarchies at

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		1	26

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS)**

Metra which are relevant to the project. The confidentiality extends to the cost/profit figures contained in the proposals and the process of negotiations.

NARRATIVE DESCRIPTION OF PROCESS:

The process for a particular award of a Professional Service Contract will be described in the respective Request for Proposals ("RFP") prepared by the Requisitioner/User. Services which are A & E services according to the Brooks Act, even though performed by a non-A & E firm, shall be considered A & E services. (See PU-08-RC).

Each RFP will be submitted by the Requisitioner/User to the Professional Services/ Contracts Division, together with a list of the specific Evaluation Criteria for the subject project, a statement of work that clearly, accurately and unambiguously describes the technical requirements for the service(s) to be procured, an independent Cost Estimate prepared by the Requisitioner/User to establish a base cost for budgetary purposes, that is to incorporate and document an analysis as partial elements to rationalize the amount of the contract; foreseeable requirements, past and current usage, and possible procurement methods, and all other cost and non-cost related considerations the Requisitioner/User deems relevant for the award of a Professional Service Contract. The initial RFP prepared by the Requisitioner/User will be reviewed by the Professional Services/ Contracts Division who, after such review and in concert with the Requisitioner/User, will prepare the formal RFP. **A list of criteria with their relative importance will be included in the RFP.** The formal RFP will be used by the Professional Services/ Contracts Division for the solicitation of proposals from Offerors.

Proposals with respect to a given RFP will be solicited through the use of advertisement in a newspaper of general circulation, e-mail notification to Offerors selected from Metra's vendor database, and posting on Metra's web site. The Professional Services/ Contracts Division, with the assistance of the Requisitioner/User, may coordinate the scheduling of a pre-proposal conference to clarify requirements and answer questions from potential Offerors. Attendance at such pre-proposal conference however, by potential Offeror(s) is not mandatory and absence at such a conference will not be used to treat an Offeror as non-responsive.

The evaluation of the proposals received with respect to a given RFP will be performed by the respective Evaluation Committee. Proposals with respect to an RFP will be first received by the Professional Services/ Contracts Division and first opened, in the presence of a witness, on the respective proposal due date. The Professional Services/ Contracts Division will perform an initial review and complete a Responsibility Determination Form with respect to each proposal. Any potential Offeror which does not demonstrate that they are a responsive Offeror necessary to assure achievement of the RFP objectives may be eliminated from further consideration. Proposals accepted by the Professional Services/

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	9-1-06	Materials Management		2	26

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

Capital Funds/Capital Funding: See Glossary.

Checklist - RFP's: See Exhibit II hereto.

Clarification: See Glossary.

Contact Person means the individual(s) with technical expertise and/or experience in the subject matter of the RFP, selected and designated by the Requisitioner/User, in cooperation with the Professional Services/ Contracts Division, to respond to the technical inquiries of Offerors.

Consultant: See Glossary.

Contract Completion Form: See Exhibit III hereto.

Cost Analysis: See Glossary.

Cost Estimate: See Glossary.

Discussion: See Glossary.

Evaluation Committee means a group of individuals selected and designated by Requisitioner/User, in cooperation with the Professional Services/ Contracts Division, for their expertise in the subject matter of the respective solicitation.

Evaluation Criteria means a clear and accurate description prepared by the Requisitioner/User of: (a) all technical requirements of the subject professional services to be acquired; (b) all required or requested experience and expertise qualifications; (c) all key elements (if any) required by Requisitioner/User; (d) all other considerations to be used in making the award of the subject Professional Service Contract; and (e) as necessary or desired by the requesting division/department, an order of importance for each of the foregoing criteria to be used by the Evaluation Committee when reviewing Offeror proposals received with respect to the subject project.

Insurance Requirement Request Form: See Exhibit IV hereto.

Negotiation: See Glossary.

Notice to Proceed Letter: See Exhibit V hereto.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		5	26

## PROFESSIONAL SERVICE CONTRACTS (NON-GRANT-FUNDED, NON-BROOKS)

### I. PURPOSE

This procedure sets forth policies and instructions for acquiring, administering, and terminating Professional Service Contracts and Blanket Professional Service Contracts (hereafter, collectively referred to as "Professional Service Contract(s)" unless otherwise stated) entered into by Metra, which are **not** funded by federal, state, or local (including RTA) grants.

For Professional Services funded by the capital funding, see PU-06-RC. If any Request for Proposals (RFP) is to be issued without competition, PU-02-RC should be followed.

### II. POLICY

All contracts (or purchase orders) for Professional Services under this PU-07-RC are exempt from competitive bidding pursuant to MET Ordinance 94-18 and NIRC Ordinance 94-1, but they should be let by competitive negotiation, after public notice, unless otherwise approved by the Executive Director. In employing an exception to this general policy and the procedures stated herein, a memorandum for approval by the Executive Director must be submitted by the concerned Department Head explaining the reason(s) why a non-competitive procurement of Professional Services should be made. Contracts for Professional Services to be awarded without competitive negotiation must be authorized and executed by the Executive Director, subject to the approval of the Metra Board of Directors.

A RFP should furnish a clear and accurate description of the Professional Services to be procured. It should also indicate the criteria for the evaluation of the proposals. An order of importance for each of the foregoing criteria to be used by the Evaluation Committee when reviewing proposals received with respect to the subject project. Metra will award contracts on the basis of the evaluation of the proposals from the standpoint of cost and other relevant factors deemed most advantageous to Metra.

Metra may choose to call the Offerors for discussions or negotiations, or award the contract without negotiations. If Metra opts for negotiations, Metra may restrict the field of choice to Offerors within a particular range. The range should be determined prior to solicitation by parameters such as qualifications, capability, and experience required to perform the Professional Services, the dollar value of the contract, and the ability to adhere to the time frame stipulated by Metra. If Metra chooses to exclude any Offeror falling within the range from negotiation, the reasons for such exclusion should be documented in detail by the concerned department head and approved by Professional Services/Contracts. If Metra wishes to reserve the right to award the contract without negotiation, it will be so stated in the RFP and properly justified.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
3d	12-01-11	Materials Management		1	18

**PROFESSIONAL SERVICE CONTRACTS  
 (NON-GRANT-FUNDED, NON-BROOKS)**

**II. POLICY (Continued)**

Metra personnel must maintain ethical standards in their professional activities. Metra personnel must avoid personal and organizational conflict-of-interest situations and avoid the appearance of such situations. Metra personnel are required to be familiar with Metra's ethics policies and all circumstances and persons covered by any type of conflict-of-interest situation.

**III. DEFINITIONS**

Blue Folder: See Glossary

Canvass: See Glossary

Clarification: See Glossary

Competitive Negotiation: See Glossary

Competitive Range: See Glossary

Consultant: See Glossary

Cost Estimate: See Glossary

Discussion: See Glossary

Evaluation Criteria: means a clear and accurate description prepared by the Requisitioner/User of: (a) all technical requirements of the subject professional services to be acquired; (b) all required or requested experience and expertise qualifications; (c) all key elements (if any) required by Requisitioner/User; (d) all other considerations to be used in making the award of the subject Professional Service Contract; and (e) as necessary or desired by the requesting division/department, an order of importance for each of the foregoing criteria to be used by the Evaluation Committee when reviewing Offeror proposals received with respect to the subject project.

Price/Cost Analysis: See Glossary

Professional Services: See Glossary

**IV. RESPONSIBILITIES**

Office of the General Counsel

Reviews contracts for legal compliance and provides clearance as appropriate.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
3d	12-01-11	Materials Management		3	18

## ARCHITECTURAL AND ENGINEERING SERVICES CONTRACTS (BROOKS METHOD)

### I. PURPOSE

This procedure sets forth policies and instructions for acquiring, administering, and terminating contracts for A & E services by Metra, regardless of the funding mechanism.

### II. POLICY:

#### GENERAL:

A & E services are acquired by Metra using the "Brooks" procurement method regardless of the funding mechanism. The Brooks procurement method is based on the award of contracts for services such as A & E services using a qualifications-based procurement analysis. Price is not a factor in determining the most qualified Offeror. Instead, each Offeror's qualifications are evaluated and the most qualified Offeror is selected subject to the negotiation of fair and reasonable compensation.

Proposals will be evaluated, negotiated, selected and any award shall be made in accordance with the criteria and procedures described below. The approach and procedures are those which are applicable to a competitive negotiated procurement whereby proposals are evaluated to determine which proposals are within a competitive range. Discussions may then be carried out with Offerors within the competitive range. The Offeror selected will be the Offeror whose proposal is found to be most advantageous to Metra, based upon consideration of the Evaluation Criteria. Negotiate the offer/contract with the highest ranked Offeror. In the event Professional Services/ Contracts Division is unable to reach an agreement with such Offeror, terminate negotiations with such Offeror and enter into negotiations with the next highest ranking Offeror (and so on).

Metra personnel will maintain ethical standards in their professional activities. Metra personnel must avoid personal and organizational conflict-of-interest situations and avoid the appearance of such situations. Metra personnel are required to be familiar with Metra's ethics policies and all circumstances and persons covered by any type of conflict-of-interest situation.

Any proprietary information, methodology, or application that is contained in a proposal shall remain strictly confidential, will be screened for distribution only to those Metra personnel who require it for work directly connected with the project, and will not be distributed to persons not relevant to the project and not within reporting hierarchies at Metra which are relevant to the project. The confidentiality extends to the cost/profit figures contained in the proposals and the process of negotiations.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		1	26

**ARCHITECTURAL AND ENGINEERING  
 SERVICES CONTRACTS  
 (BROOKS METHOD)**

**NARRATIVE DESCRIPTION OF PROCESS:**

The process for a particular award of an Architectural & Engineering (A & E) services contract will be described in the respective Request for Proposals ("RFP") prepared by the Requisitioner/User. Services which are not A & E services according to the Brooks Act, even though performed by an A & E firm, shall be considered professional services. (See PU-06-RC or PU-07-RC).

Each RFP will be submitted by the Requisitioner/User to the Professional Services/ Contracts Division, together with a list of the specific Evaluation Criteria for the subject project, a statement of work that is clear and an accurate description of the technical requirements for the service(s) to be procured, and an independent Cost Estimate prepared by the Requisitioner/User to establish a base cost for budgetary purposes that is to incorporate and document an analysis as partial elements to rationalize the amount of the contract; foreseeable requirements, past and current usage, and possible procurement methods. The initial RFP prepared by the Requisitioner/User will be reviewed by the Professional Services/ Contracts Division who, after such review and in concert with the Requisitioner/User, will prepare the formal RFP. **A list of criteria with their order of importance will be included in the RFP.** No dollar value of any project will be directly or indirectly solicited in the formal RFP. The formal RFP will be used by the Professional Services/ Contracts Division for the solicitation of proposals from Offerors.

Proposals with respect to a given RFP will be solicited through the use of advertisement in a newspaper of general circulation, e-mail notification to Offerors selected from Metra's vendor database, and posting on Metra's web site. The Professional Services/ Contracts Division, with the assistance of the Requisitioner/User, may coordinate the scheduling of a pre-proposal conference to clarify requirements and answer questions from potential Offerors. Attendance at such pre-proposal conference however, by potential Offeror(s) is not mandatory and absence at such a conference will not be used to treat an Offeror as non-responsive.

The evaluation of the proposals received with respect to a given RFP will be performed by the respective Evaluation Committee. Proposals with respect to an RFP will be first received by the Professional Services/ Contracts Division and first opened, in the presence of a witness, on the respective proposal due date. The Professional Services/ Contracts Division will perform an initial review and complete a Responsibility Determination Form with respect to each proposal. Any potential Offeror which does not demonstrate that they are a responsive Offeror necessary to assure achievement of the RFP objectives may be eliminated from further consideration. Proposals accepted by the Professional Services/ Contracts Division for consideration will be forwarded to the Evaluation Committee for review.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		2	26

**ARCHITECTURAL AND ENGINEERING  
SERVICES CONTRACTS  
(BROOKS METHOD)**

Clarification: See Glossary.

Contact Person means the individual(s) with technical expertise and/or experience in the subject matter of the RFP, selected and designated by the Requisitioner/User, in cooperation with the Professional Services/ Contracts Division, to respond to the technical inquiries of Offerors.

Consultant: See Glossary.

Cost Analysis: See Glossary.

Cost Estimate: See Glossary.

Discussion: See Glossary.

Evaluation Committee means a group of individuals selected and designated by Requisitioner/User, in cooperation with the Professional Services/ Contracts Division, for their expertise in the subject matter of the respective solicitation.

Evaluation Criteria means a clear and accurate description prepared by the Requisitioner/User of: (a) all technical requirements of the subject A & E services to be acquired; (b) all required or requested experience and expertise qualifications; (c) all key elements (if any) required by Requisitioner/User; (d) all other considerations to be used in making the award of the subject Architectural and Engineering services contract; and (e) as necessary or desired by the requesting division/department, an order of importance for each of the foregoing criteria to be listed in the RFP and used by the Evaluation Committee when reviewing Offeror proposals received with respect to the subject project.

Negotiation: See Glossary.

Offeror means the subject potential vendor with respect to a given RFP. Once an Offeror has entered into a contract with Metra said Offeror will be deemed a Consultant for purposes of this procedure.

Price Analysis Documentation: See Exhibit III.

Qualified Range: See Glossary.

Request for Proposals ("RFP"): See Exhibit I. The initial draft of the RFP shall be completed by the Requisitioner/User. The Professional Services/ Contracts Division shall

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		5	26

**Price and Other Factors (RFP) (Element #37):**

**Metra's Revised Response:** The PSR referenced four Metra contracts pertaining to this Element. Please note that Metra's revised response for the A&E procurement for Blanket Signal Engineering Services (LTK Engineering contract), is addressed in a separate document previously submitted to the FTA for review. The deficiency identified for the three remaining contracts are the focus below.

Two contracts (V3 and AECOM) were clearly engineering design contracts for Real Estate (Bridges and Construction Management Services respectfully). The awards were for blanket type contracts and a not-to-exceed total dollar amount was determined before the solicitation process started. Moreover, Metra's procedures require offer negotiations with the highest ranked proposer (see attached Procedure PU-08-RC), and there **were** rate negotiations **before** the award date (September 25, 2009) of the V3 contract. In fact, V3 submitted hourly rates for its employees (see attached V3 Companies of Illinois Employee Compensation Hourly Rate Schedule), but the rates for two subconsultants (Cotter Consulting, Inc. and Geoservices, Inc.) in part were rejected as too high (see attached memo from Metra dated September 11, 2009). Thereafter, the firm reduced those rates so those individuals could work on the project (see attached invoice showing the lower, negotiated rates for those individuals). Although the memo does not specifically use the term "negotiate," this process required negotiation before a recommendation for award could be made. (See attached letter to V3 and pages from the contract showing the execution date of 9/25/2009.)

With respect to the AECOM contract, please note again that Metra's procedures require offer negotiations with the highest ranked proposer, and there **were** rate negotiations **before** the award date (see attached pages from the contract showing the execution date of 4/1/2010) of the AECOM contract. In fact, AECOM submitted hourly rates for its employees (see attached AECOM Employee Compensation Schedule), but the rates for four positions were rejected as too high (see attached memo from Metra dated September 10, 2009). Thereafter, the firm reduced those rates so those individuals could work on the project (see attached May, 2010 letter containing Metra's 4400 and invoice showing the lower, negotiated rates for those individuals). Although the memo does not specifically use the term "negotiate," this process required negotiation before a recommendation for award could be made. Metra will document future negotiations for A & E type blanket contracts in the procurement file.

With respect to the third contract (AST Corp.), the PSR stated that Metra used the Brooks Method improperly for non A&E services. Metra respectfully disagrees with this conclusion. Metra never designated this solicitation, or treated it, as an A & E contract requiring the Brooks Method. In this contract, Metra notified the public through the RFP process that cost **would** be an element of the evaluation and it was. However, the technical portion was opened, evaluated, and scored first, and then the cost portion was opened, evaluated, and scored. Finally, the two portions, technical and cost, determined the total score for the proposer. The RFP set forth the evaluation criteria, which **included** price; the proposals were evaluated on their technical qualifications and then ranked; and

price was then ranked to produce a total score for the proposers. The strategy and result were to evaluate the technical portion first, and then evaluate cost as part of the combined score, so as to limit the influence that price might have on the evaluators. After these steps, the former Executive Director made a recommendation to the Board of Directors for award of the contract to AST Corp., which explained the evaluation process and that cost was an element in the evaluation criteria (see attached RFP with evaluation criteria and the Executive Director's memo dated April 23, 2009 to the Board of Directors recommending award of the contract to AST Corp.). We believe this process is endorsed by the FTA Best Practices Manual (see attached). Metra has amended its procedures (see attached proposed revised PU-02-RC) to require the Materials Management and user departments to analyze each specific procurement and determine whether the Brooks Method should be utilized, and that the documentation of that assessment be kept in the procurement file. Also, please see revised procedure, PU-06-RC for Non-Brooks Method Professional Service Contracts that requires that cost be included in the evaluation ranking of the proposal. In addition, please note the attached new Checklist, which ensures that the procedures are properly followed.

The Senior Division Director, General Administration will conduct an Element-by-Element review with all of the appropriate members of the Procurement and Professional Services staff. The training sessions will review each deficiency and the appropriate corrective action(s) to be implemented. The review will include an analysis of the PSR findings, as well as the purpose and execution of the corrective action. The Senior Director will document when they were held, which Elements were discussed, and who attended the training session. This documentation will be held in the PSR final report file. In addition, Metra will pursue available training provided by FTA, NTI, or other existing sources. We will offer to host courses so that we may include as many Metra Procurement staff as possible. To the extent that existing training does not cover certain topics, we will be issuing an RFP for a consultant to develop specialized training.

Lastly, Audit will commence an independent audit within 120 days of the acceptance of final corrective actions by the FTA. The 120 days should provide adequate time for selecting a sample of procurement awards for our audit to confirm that Metra is following procedures and corrective actions consistently and to issue the report as recommended.

**ARCHITECTURAL AND ENGINEERING  
SERVICES CONTRACTS  
(BROOKS METHOD)**

**I. PURPOSE**

This procedure sets forth policies and instructions for the acquisition, administration, and termination of contracts for A & E services by Metra, regardless of the funding mechanism.

**II. POLICY:**

GENERAL:

A & E services are acquired by Metra using the "Brooks" procurement method regardless of the funding mechanism. The Brooks procurement method is based on the award of contracts for services such as A & E services using a qualifications-based procurement analysis. Price is not a factor in determining the most qualified Offeror. Instead, each Offeror's qualifications are evaluated and the most qualified Offeror is selected subject to the negotiation of fair and reasonable compensation.

Proposals will be evaluated, negotiated, selected and any award shall be made in accordance with the criteria and procedures described below. The approach and procedures are those which are applicable to a competitive negotiated procurement whereby proposals are evaluated to determine which proposals are within a competitive range. Discussions and negotiations may then be carried out with Offerors within the competitive range. The Offeror selected will be the Offeror whose proposal is found to be most advantageous to Metra, based upon consideration of the Evaluation Criteria.

Metra personnel will maintain ethical standards in their professional activities. Metra personnel must avoid personal and organizational conflict-of-interest situations and avoid the appearance of such situations. Metra personnel are required to be familiar with Metra's ethics policies and all circumstances and persons covered by any type of conflict-of-interest situation.

Any proprietary information, methodology, or application that is contained in a proposal shall remain strictly confidential, will be screened for distribution only to those Metra personnel who require it for work directly connected with the project, and will not be distributed to persons not relevant to the project and not within reporting hierarchies at Metra which are relevant to the project. The confidentiality extends to the cost/profit figures contained in the proposals and the process of negotiations.

NARRATIVE DESCRIPTION OF PROCESS:

The process for a particular award of an Architectural & Engineering (A & E) services contract will be described in the respective Request for Proposals ("RFP") prepared by the

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-1-11	Materials Management		1	26



September 2, 2009

Mr. Edward Remus  
Metra  
547 West Jackson Boulevard , 5<sup>th</sup> Floor  
Chicago, Illinois 60661

Re: Metra Contract No. K91049  
Blanket Construction Management Services – Union Pacific Railroad North Line Bridges

Dear Mr. Remus:

Enclosed are the two signed Contracts for Metra Contract No. K91049. Also enclosed are employee compensation schedules and IDOT overhead letters from V3 and its subconsultants.

Please call me at 630-724-9200 or email me at [lgallucci@v3co.com](mailto:lgallucci@v3co.com) if you have any questions or would like additional information.

Sincerely,  
V3 COMPANIES OF ILLINOIS LTD.

A handwritten signature in cursive script that reads "Louis J. Gallucci".

Louis J. Gallucci  
Principal/Director of Public Sector Services

LJG/kjf

Cc: S. Llano



# Illinois Department of Transportation

2300 South Dirksen Parkway / Springfield, Illinois / 62764

January 23, 2009

Subject: PRELIMINARY ENGINEERING  
Consultant Unit  
Prequalification File

Mr. David Heslinga  
V3 Companies Of Illinois, Ltd.  
7325 Janes Ave.  
Woodridge, IL 60517-

Dear Mr. Heslinga:

We have completed our review of the corporate and financial information portion of your "Statement of Experience and Financial Condition" (SEFC) which you submitted for the fiscal year ending December 31, 2007. Your firm's total annual transportation fee capacity will be \$59,600,000.

Your firm's payroll burden and fringe expense rate and general and administrative expense rate totaling 163% are approved on a provisional basis and will be used in evaluating your Statement(s) of Interest in our selection process. The actual rate used in agreement negotiations may be determined by our Bureau of Budget and Fiscal Management in a pre-award audit.

Your firm is required to report to this office any additions or deletions of your licensed professional staff or any other key personnel that would affect your firm's prequalification in a particular category. This report must be submitted within 15 calendar days of the change.

Your firm is prequalified until December 31, 2008. You will be given an additional six months from this date to submit the entire "Statement of Experience and Financial Condition" (SEFC) to remain prequalified.

Very truly yours,

A handwritten signature in cursive script that reads "Cheryl Cathey".

Cheryl Cathey P.E.  
Chief of Preliminary Engineering

V3 COMPANIES OF ILLINOIS EMPLOYEE COMPENSATION			
COMPANY			HOURLY
NAME	EMPLOYEE NAME	Classification	RATE
V3	Larry Mitchell	Senior Technician	\$29.50
V3	Cheryl A. Ludwig	Construction Administrator	\$26.00
V3	Chris Bartosz	Survey Project Manager	\$51.93
V3	Sean G Ludwig	Technician I / II	\$26.00
V3	Edward R. Benesh Jr.	Engineer I / II	\$27.00
V3	Borut Vujic	Engineer I / II	\$28.40
V3	Eric M Borgman	Project Manager Constr Public	\$41.50
V3	Matthew E Powers	Resident Engineer	\$43.30
V3	Tom R Valaitis	Division Director	\$70.00
V3	Louis J. Gallucci	Principal	\$70.00

September 11, 2009

## Memorandum

To: File

From: E.H. Remus *EHR*  
Sr. Contracting Agent  
Professional Services & Contracts

Subject: Contract No. K91049  
Construction Management Services for U.P. North Line Bridges  
V3 Companies of Illinois, Ltd.  
Not-to-Exceed \$8,400,000.00

### Cost Review

The attached Wage and Overhead Rates submitted for the subject contract have been reviewed and most appear to be acceptable. The hourly Wage Rates for the Prime and some Subconsultants are within the range of those from other Metra consultants performing similar tasks.

Cotter Consulting, Inc. has a 2010 rate that exceeds the \$70.00/hour maximum and Geoservices, Inc. has five (5) rates which are not allowable under this contract.

The chart below lists the Prime and Subconsultant Overhead Rates, which are provisionally approved by IDOT or WDOT per copies of the attached letters:

<u>Company Name</u>	<u>Overhead Rate</u>	<u>Date of IDOT or *WDOT Letter</u>
V3 Companies of Illinois, Ltd.	163.0%	January 23, 2009
Alfred Benesch & Co.	157.26%	September 18, 2008
Cotter Consulting, Inc.	127.48%	May 7, 2009
GeoServices, Inc.	199.83%	May 22, 2009
Hanno Webber & Associates	149.60%	*WDOT - May 21, 2007

Attachments

EHR/jrz

cc: C. Gamboa, Professional Services/Contracts  
J. L. Lorenzini, Engineering  
E. Fernandes, Audit  
Vendor File

Project 09178.02 Bill Group X101



OK MEP

September 17, 2010

Matt Powers /Accounts Payable  
V3 Companies of Illinois, Inc.  
7325 Janes Avenue  
Woodridge, IL 60517

Phone: (630) 729-6294  
Fax: (630) 724-9202

Geo Services, Inc.  
EIN 36-4390972

Invoice Number 10198

Construction Inspection and Materials Testing  
METRA Contract K91049  
UP North Line  
Chicago, IL

Progress Billing

GSI Project Number 10022

Charges for the month of Aug 10

\$3,504.38

Please remit payment to:

Evobony

Geo Services, Inc.  
Accounts Receivable  
805 Amherst Court, Suite 204  
Naperville, IL 60565-3488 USA

This invoice is due and payable upon presentation  
Please return a copy of this page with your payment

Date	9 23 10
Project	Bill Group
Account	
Date	Approver Initials

RECEIVED
SEP 22 2010
By

Construction Inspection and Materials Testing (GSI 10022)  
 V3 Companies of Illinois, Inc.

UP North Line METRA K91049  
 Chicago, IL

Invoice period from 01-Aug-10 to 31-Aug-10

PROFESSIONAL SERVICES

Quantity Unit Rate Amount

*DIRECT LABOR*

Senior Project Engineer (A Devia)	2.75 hrs	\$ 35.25	\$ 96.94
Materials Tester II (PW Regular M-F) (See Field Reports)	21.50 hrs	\$ 34.94	\$ 751.21
Administrative Assistant (B Taylor)	1.75 hrs	\$ 23.75	\$ 41.56

SUBTOTAL DIRECT LABOR \$ 889.71

OVERHEAD = SUBTOTAL DIRECT LABOR x 199.83% \$ 1,777.91

FIXED FEE = (SUBTOTAL DIRECT LABOR + OVERHEAD) x 10.00% \$ 266.76

DIRECT LABOR TOTAL	\$ 2,934.38
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*DIRECT COSTS*

Concrete Strength Tests	15.00 each	\$ 17.00	\$ 255.00
Support Vehicle	7.00 days	\$ 45.00	\$ 315.00

TOTAL AMOUNT DUE THIS INVOICE \$ 3,504.38

Contract	\$ 196,074.86
Previously Invoiced	\$ -
Current Invoice	\$ 3,504.38
Total Invoiced-to-Date	<u>\$ 3,504.38</u>
Contract Balance	\$ 192,570.48

**FIELD INSPECTION SUMMARY**  
 (See attached Field Reports)

DATE	NAME	Field Inspector		Vehicle (days)	Nuclear Gauge (days)
		Material Tester II (Regular)	Material Tester II (Overtime)		
TOTAL		21.50	-	7	-
05-Aug-10	Devia, A.	3.00		1	
06-Aug-10	Singla, R.	4.50		1	
09-Aug-10	Badsing, B.	2.00		1	
10-Aug-10	Singla, R.	4.00		1	
11-Aug-10	Badsing, B.	2.00		1	
13-Aug-10	Badsing, B.	4.00		1	
16-Aug-10	Badsing, B.	2.00		1	

**LABORATORY TESTING SUMMARY**  
 (See attached lab reports)

Laboratory Service	TOTALS
Date Cast	Tested
TOTALS	15
06-Aug-10	3
10-Aug-10	6
13-Aug-10	6

**PROJECT DAILY TIME RECORD**  
 Period From 01-Aug-10 to 31-Aug-10

<b>NAME</b>	DEVIA, Antonio	
<b>TITLE</b>	Senior Project Engineer	
<b>Project</b>	Construction Inspection UP North Line METRA K91049, Chicago IL	Job No. 10022

**PROJECT HOURS**

WEEK ENDING		SUN	MON	TUE	WED	THU	FRI	SAT	TOTAL
07-Aug-10	REGULAR						0.50		0.50
14-Aug-10	REGULAR			0.50	0.50		1.00		2.00
21-Aug-10	REGULAR			0.25					0.25
<b>TOTAL HOURS</b>									2.75

**WORK PERFORMED**  
 Project Engineer, Coordination, Telephone Discussions, Field Investigations, Report Preparation, Borings Log Preparation and Related Traveling

Employee Signature \_\_\_\_\_

**PROJECT DAILY TIME RECORD**  
 Period From 01-Aug-10 to 31-Aug-10

<b>NAME</b>	TAILOR, Bhavika	
<b>TITLE</b>	Administrative Assistant	
<b>Project</b>	Construction Inspection UP North Line METRA K91049, Chicago IL	Job No. 10022

**PROJECT HOURS**

WEEK ENDING		SUN	MON	TUE	WED	THU	FRI	SAT	TOTAL
14-Aug-10	REGULAR						1.00		1.00
21-Aug-10	REGULAR				0.50	0.25			0.75
<b>TOTAL HOURS</b>									1.75

**WORK PERFORMED**  
 Secretary, Administrative Assistant, Office Support, Report Preparation

Employee Signature \_\_\_\_\_



## COMPRESSIVE STRENGTH REPORT

Project Name	Metra Union Pacific North Line	Job Number 10022
Location	Addison to Balmoral Ave., Chicago, Illinois	
Client	V 3 Company	

Cast Date	06-Aug-10	5,000 psi @	14 Days
Location	Caisson - Lawrence & Ravenswood		
Slump	8.00 inches	Concrete Temperature	87.0 F
		Ambient Temperature	80.0 F
Air	8.00 %	Cast By	Raj S.
		Mix Number	71PCC403Z

Cylinder Number	Date Tested	Age of Concrete (days)	Load (lbs)	Sample Height (in)	Sample Dia. (in)	H/D Ratio	Area (sq in)	Compressive Strength (psi)	Tested By	Fracture Type (1)
5196	13-Aug-10	7	129,680	12.00	6.00	2.00	28.27	4,590	JE	2
5197	20-Aug-10	14	137,910	12.00	6.00	2.00	28.27	4,880	JE	6
5198	20-Aug-10	14	140,160	12.00	6.00	2.00	28.27	4,960	JE	6
5199	03-Sep-10	28	150,830	12.00	6.00	2.00	28.27	5,330	JE	1
5200	03-Sep-10	28	146,250	12.00	6.00	2.00	28.27	5,170	JE	1
Note: 14 day compressive strength result below the minimum requirement.										

**Notes:**

- 1) Fracture Types: 1 - Cone; 2 - Cone and Split; 3 - Columnar; 4 - Shear; 5 - Top & Bottom Side Fractures; 6 - End Point Fracture
- 2) Tests performed in accordance with ASTM C-39/C-42 test methods.
- 3) Field testing performed in accordance with ASTM/AASHTO Test Methods: C29/T19, C31/T23, C138/T121, C172/T141, C231/T152, C173/T196, C143/T119 and C1064/T309.

## COMPRESSIVE STRENGTH REPORT

Project Name	Metra Union Pacific North Line	Job Number	10022
Location	Addison to Balmoral Ave., Chicago, Illinois		
Client	V 3 Company		

Cast Date	10-Aug-10	5,000 psi @	14 Days
Location	Caisson - Lawrence & Ravenswood		
Slump	7.00 inches	Concrete Temperature	87.0 F
		Ambient Temperature	85.0 F
Air	7.50 %	Cast By	Raj S.
		Mix Number	71PCC403Z

Cylinder Number	Date Tested	Age of Concrete (days)	Load (lbs)	Sample Height (in)	Sample Dia. (in)	H/D Ratio	Area (sq in)	Compressive Strength (psi)	Tested By	Fracture Type (1)
5206	17-Aug-10	7	180,020	12.00	6.00	2.00	28.27	6,370	JE	1
5207	17-Aug-10	7	166,340	12.00	6.00	2.00	28.27	5,880	JE	2
5208	24-Aug-10	14	204,910	12.00	6.00	2.00	28.27	7,250	JE	1
5209	24-Aug-10	14	186,040	12.00	6.00	2.00	28.27	6,580	JE	2
5210	X									
5211	X									

- Notes:
- 1) Fracture Types: 1 - Cone; 2 - Cone and Split; 3 - Columnar; 4 - Shear; 5 - Top & Bottom Side Fractures; 6 - End Point Fracture
  - 2) Tests performed in accordance with ASTM C-39/C-42 test methods.
  - 3) Field testing performed in accordance with ASTM/AASHTO Test Methods: C29/T19, C31/T23, C138/T121, C172/T141, C231/T152, C173/T196, C143/T119 and C1064/T309.
  - 4) X: Final compressive strength result meets the minimum requirement, samples disposed.

## COMPRESSIVE STRENGTH REPORT

<b>Project Name</b>	Metra Union Pacific North Line	<b>Job Number</b> 10022
<b>Location</b>	Addison to Balmoral Ave., Chicago, Illinois	
<b>Client</b>	V 3 Company	

<b>Cast Date</b>	13-Aug-10	<b>5,000 psi @</b>	14 Days
<b>Location</b>	Caisson - Northeast Platform		
<b>Slump</b> 6.00 inches	<b>Concrete Temperature</b> 90.0 F	<b>Ambient Temperature</b> 85.0 F	
<b>Air</b> 6.00 %	<b>Cast By</b> Bart B.	<b>Mix Number</b>	71PCC403Z

Cylinder Number	Date Tested	Age of Concrete (days)	Load (lbs)	Sample Height (in)	Sample Dia. (in)	H/D Ratio	Area (sq in)	Compressive Strength (psi)	Tested By	Fracture Type (1)
5270	20-Aug-10	7	197,200	12.00	6.00	2.00	28.27	6,970	JE	1
5271	20-Aug-10	7	190,330	12.00	6.00	2.00	28.27	6,730	JE	2
5272	27-Aug-10	14								
5273	27-Aug-10	14								
5274	RES									
5275	RES									

**Notes:**

- 1) Fracture Types: 1 - Cone; 2 - Cone and Split; 3 - Columnar; 4 - Shear; 5 - Top & Bottom Side Fractures; 6 - End Point Fracture
- 2) Tests performed in accordance with ASTM C-39/C-42 test methods.
- 3) Field testing performed in accordance with ASTM/AASHTO Test Methods: C29/T19, C31/T23, C138/T121, C172/T141, C231/T152, C173/T196, C143/T119 and C1064/T309.



GSI Job Name	GSI Job Number
UP Northline Metra Station	10022

Day	Date
Thursday	080510

Location Ravenswood and Lawrence

Contractor Walsh Constructions Client V3 Companies

Start Time	<u>9 AM</u>	Mileage	<u>---</u>	Regular Hours	<u>3.0</u>
Lunch Break	<u>—</u>	Toll Expenses	<u>---</u>	Over Time Hours	<u>---</u>
Finish Time	<u>11:45 AM</u>	Nuclear Gauge	<u>Yes / No</u>	TOTAL HOURS	<u>3.0</u>
Travel Time	<u>1.5</u>	Vehicle	<u>1.0</u>		
Office Time	<u>0.25</u>	Other Equip.	<u>SCP</u>		
Total Hours	<u>3.0</u>	Other	<u>_____</u>		

**Summary of Technical and/or Engineering Services performed**

Field Test Data is estimated pending final laboratory test results. Field Locations, Elevations and depths are estimated

Geo Services personnel performed soil test inspection for the wood deck platform at the above location.

See attached report.

Resident Engineer  
 Signature Borut Vujic  
 Resident Engineer  
 Company V3 Companies

By Antonio Devia  
 Geo Services, Inc. Field Technician



GSI Job Name	GSI Job Number	Day	Date
Metra UPRR Northline	10022	FRI	080610

Location W. Lawrence Ave & N. Ravenswood Ave, Chicago, IL  
 Contractor Walsh Const. Client V3 Consult.

Start Time	<u>10:00</u>	Mileage	_____	Regular Hours	<u>4.5</u>
Lunch Break	<u>—</u>	Toll Expenses	<u>—</u>	Over Time Hours	<u>—</u>
Finish Time	<u>4.5</u>	Nuclear Gauge	<u>Yes (No)</u>	TOTAL HOURS	<u>4.5</u>
Travel Time	<u>1.0</u>	Vehicle	<u>#351</u>		
Office Time	<u>—</u>	Other	_____		
Total Hours	<u>2:30</u>	Other	_____		

**Summary of Technical and/or Engineering Services performed**

Field Test Data is estimated pending final laboratory test results. Field Locations, Elevations and depths are estimated

Geo Services personal performed Concrete tests on  
 - Mix Design: 71PC 4032 w/F.A. - Ozinga Plant #120.  
 - Mix Design Specs:  
 - Slump - 6-8" / Air - 5 to 8% / 5000psi @ 14 days.  
 - Concrete test results are as follow:

Ld#	Truck#	Ticket#	Slump	Air	C.T.	D.T.
<u>1</u>	<u>2113</u>	<u>105673</u>	<u>8.0"</u>	<u>4.7%</u>	<u>87°F</u>	<u>80°F</u>
<u>#</u>			<u>Added 8.0oz Air</u>			
<u>1R</u>			<u>—</u>	<u>8.0%</u>		

Made 1 set of 6 Cyls on Ld#1  
 2 @ 7 days, 2 @ 14 days, & 2 @ Res.  
 Ld#1 also tested after Pump at top  
 Air - 5.5%

<u>2</u>	<u>646</u>	<u>105688</u>	<u>7.0"</u>	<u>5.0%</u>	<u>87°F</u>	<u>80°F</u>
<u>2R</u>			<u>Added 8.0oz Air</u>			
			<u>—</u>	<u>7.8%</u>		
<u>3</u>	<u>2408</u>	<u>105704</u>	<u>7.0"</u>	<u>7.5%</u>	<u>88°F</u>	<u>82°F</u>

Resident Engineer  
 Signature Raj Singla  
 Resident Engineer  
 Company V3

By RAJ SINGLA  
 Geo Services, Inc. Field Technician



GSI Job Name	GSI Job Number	Day	Date
Metra U.P. Northline	10022	Mon	080910

Location Lawrence & Ravenswood Chicago, IL  
 Contractor Walsh Client \_\_\_\_\_

Start Time _____	Mileage <u>15</u>	Regular Hours	<u>2.0</u>
Lunch Break <u>/</u>	Toll Expenses <u>40¢</u>	Over Time Hours	<u>-</u>
Finish Time _____	Nuclear Gauge <u>Yes/No</u>	TOTAL HOURS	<u>2.0</u>
Travel Time <u>2.0</u>	Vehicle <u>301</u>		
Office Time _____	Other _____		
Total Hours _____	Other _____		

**Summary of Technical and/or Engineering Services performed**

Field Test Data is estimated pending final laboratory test results. Field Locations, Elevations and depths are estimated

Picked up 1 set of 6 cyl. and delivered  
to lab.

Resident Engineer  
 Signature \_\_\_\_\_  
 Resident Engineer  
 Company \_\_\_\_\_

By [Signature]  
 Geo Services, Inc. Field Technician



GSI Job Name	GSI Job Number	Day	Date
Metra UPRR Northline	10022	TUES.	081010

Location W. Lawrence Ave & N. Ravenswood; Chicago, IL  
 Contractor Walsh Const. Client V3 Consul.

Start Time	11:00	Mileage		Regular Hours	4.0
Lunch Break	—	Toll Expenses	—	Over Time Hours	—
Finish Time	3:00	Nuclear Gauge	Yes/No	TOTAL HOURS	4.0
Travel Time	1.0	Vehicle	#351		
Office Time	—	Other			
Total Hours	4.0	Other			

**Summary of Technical and/or Engineering Services performed**

Field Test Data is estimated pending final laboratory test results. Field Locations, Elevations and depths are estimated

- Geo Services personal performed concrete tests on following mix design.
- Mix # 71PCG4032 / Ozing plant #120
- Pour type? Caissons
- Total: 18.0 C.y. were placed.
- Test results are as follow:

	Ld #1	truck #	ticket #	Slump	Air	C.T.	D.T.
Before Pump	1	629	105978	7.0	5.0%	87°P	85°P
			12 oz Air was Added				
	1R	—	—	—	7.5%	—	—
After Pump	Made 1 set of 6 cys - 2@7days, 2@14days, 2@Res.						
	Load #1 was tested after pump. Air test only 5.2%						
Before Pump	2	646	105995	7.0	4.5%	87°P	85°P
			15oz Air was added				
	2R	—	—	—	8.0%	—	—

Resident Engineer Signature Karelyp E. ...  
 Resident Engineer Company V3

By Raj Singla  
 Geo Services, Inc. Field Technician



GSI Job Name	GSI Job Number	Day	Date
<u>Metra UP Northline</u>	<u>10022</u>	<u>WENS</u>	<u>08/11/10</u>

Location Lawrence Ave AT Ravenswood Chicago, IL

Contractor Walsh Client Kenny Const

Start Time	<u>7:45</u>	Mileage	<u>44</u>	Regular Hours	<u>2.0</u>
Lunch Break	<u>    </u>	Toll Expenses	<u>80¢</u>	Over Time Hours	<u>-</u>
Finish Time	<u>9:45</u>	Nuclear Gauge	<u>Yes <del>NO</del></u>	TOTAL HOURS	<u>2.0</u>
Travel Time	<u>1.75</u>	Vehicle	<u>301</u>		
Office Time	<u>.25</u>	Other	<u>    </u>		
Total Hours	<u>2.0</u>	Other	<u>    </u>		

**Summary of Technical and/or Engineering Services performed**

Field Test Data is estimated pending final laboratory test results. Field Locations, Elevations and depths are estimated

Picked up 1 set of 6 cyl and delivered to  
office.

Resident Engineer  
 Signature \_\_\_\_\_  
 Resident Engineer  
 Company \_\_\_\_\_

By [Signature]  
 Geo Services, Inc. Field Technician



GSI Job Name	GSI Job Number	Day	Date
Metra VP Northline	10022	Fri	08/13/10

Location Lawrence & Ravenswood Chicago IL  
 Contractor Walsh Client V3

Start Time	<u>9:30</u>	Mileage	<u>42</u>	Regular Hours	<u>4.0</u>
Lunch Break	<u>—</u>	Toll Expenses	<u>Bad</u>	Over Time Hours	<u>—</u>
Finish Time	<u>1:30</u>	Nuclear Gauge	<u>Yes (No)</u>	TOTAL HOURS	<u>4.0</u>
Travel Time	<u>2.0</u>	Vehicle	<u>307</u>		
Office Time	<u>—</u>	Other	<u>—</u>		
Total Hours	<u>4.0</u>	Other	<u>—</u>		

**Summary of Technical and/or Engineering Services performed**

Field Test Data is estimated pending final laboratory test results. Field Locations, Elevations and depths are estimated

Sunny 85-95°F  
Concrete pour caissons for North East  
platforms that are temporary.  
Concrete producer: Ozings 120 mix # 71PC4037  
Performed inspection of concrete Slump & Air Test  
Cone & Amb temp checks, Test the 1st & 2nd loads  
cast (set of 6' 24"). on the 1st load. Tested  
for AE before & after pump on 1st load. 2.5%  
drop after pump. ~~2.5%~~ from 6' → 2.5. Since temporary  
let it go. 2nd load tested before pump. 4.5%. Added  
2402 AE & retest. 8.0%

Load	Slump	AE	Cone	Amb
1	6.0	6.0/35	90	85
2	—	4.5 add AE 8.0'±	90	87

Resident Engineer  
 Signature Kathy Green  
 Resident Engineer  
 Company V3

By Bart Bading  
 Bart Bading  
 Geo Services, Inc. Field Technician



GSI Job Name	GSI Job Number	Day	Date
Metra VP Northside	10022	Mon	08/16/10

Location Lawrence & Ravenswood Chicago, IL  
 Contractor Walsh Client V3

Start Time _____	Mileage _____	Regular Hours	2.0
Lunch Break _____	Toll Expenses _____	Over Time Hours	
Finish Time _____	Nuclear Gauge Yes / No _____	TOTAL HOURS	2.0
Travel Time <u>1.25</u>	Vehicle _____		
Office Time _____	Other _____		
Total Hours <u>2.0</u>	Other _____		

**Summary of Technical and/or Engineering Services performed**  
 Field Test Data is estimated pending final laboratory test results. Field Locations, Elevations and depths are estimated

Picked up 1 set of 6 cyl. and  
delivered to lab

Resident Engineer  
 Signature \_\_\_\_\_  
 Resident Engineer  
 Company \_\_\_\_\_

By [Signature]  
 Geo Services, Inc. Field Technician

Project 09178.02 Bill Grp X101



**Geo Services, Inc.**  
Geotechnical, Environmental and Civil Engineering  
An MBE - DBE Firm

OK MEB

October 7, 2010

Matt Powers /Accounts Payable  
V3 Companies of Illinois, Inc.  
7325 Janes Avenue  
Woodridge, IL 60517

Phone: (630) 729-6294  
Fax: (630) 724-9202

Geo Services, Inc.  
EIN 36-4390972

Invoice Number 10223

Construction Inspection and Materials Testing  
METRA Contract K91049  
UP North Line  
Chicago, IL

Progress Billing

GSI Project Number-10022

Charges for the month of Sep 10

\$986.16 ✓

Please remit payment to:

Geo Services, Inc.  
Accounts Receivable  
805 Amherst Court, Suite 204  
Naperville, IL 60565-3488 USA

09/20/10

This invoice is due and payable upon presentation  
Please return a copy of this page with your payment

Construction Inspection and Materials Testing (GSI 10022)  
 V3 Companies of Illinois, Inc.

UP North Line METRA K91049  
 Chicago, IL

Invoice period from 01-Sep-10 to 30-Sep-10

PROFESSIONAL SERVICES

*DIRECT LABOR*

	Quantity	Unit	Rate	Amount
Senior Project Engineer (A Devia)	0.75	hrs	\$ 35.25	\$ 26.44
Materials Tester II (PW Regular M-F) (See Field Reports)	5.50	hrs	\$ 34.94	\$ 192.17
Administrative Assistant (B Tailor)	0.50	hrs	\$ 23.75	\$ 11.88
			<b>SUBTOTAL DIRECT LABOR</b>	<b>\$ 230.49</b>
			OVERHEAD = SUBTOTAL DIRECT LABOR x 199.83%	\$ 460.57
			FIXED FEE = (SUBTOTAL DIRECT LABOR + OVERHEAD) x 10.00%	\$ 69.11

<b>DIRECT LABOR TOTAL</b>	<b>\$ 760.16</b>
---------------------------	------------------

*DIRECT COSTS*

Concrete Strength Tests	8.00	each	\$ 17.00	\$ 136.00
Support Vehicle	2.00	days	\$ 45.00	\$ 90.00

<b>TOTAL AMOUNT DUE THIS INVOICE</b>	<b>\$ 986.16</b>
--------------------------------------	------------------

Contract	\$ 196,074.86
Previously Invoiced	\$ 3,504.38
Current Invoice	\$ 986.16
Total Invoiced-to-Date	\$ 4,490.54
Contract Balance	\$ 191,584.32

**FIELD INSPECTION SUMMARY**  
 (See attached Field Reports)

DATE	NAME	Field Inspector		Vehicle (days)	Nuclear Gauge (days)
		Material Tester II (Regular)	Material Tester II (Overtime)		
TOTAL		5.50	-	2	-
10-Sep-10	Realeza, R.	3.50		1	
14-Sep-10	Realeza, R.	2.00		1	

**LABORATORY TESTING SUMMARY**  
 (See attached lab reports)

Laboratory Service	Sep-10
TOTALS	8
06-Aug-10	2
10-Sep-10	6

PROJECT DAILY TIME RECORD  
 Period From 01-Sep-10 to 30-Sep-10

NAME	DEVIA, Antonio	
TITLE	Senior Project Engineer	
Project	Construction Inspection UP North Line METRA K91049, Chicago IL	Job No. 10022

PROJECT HOURS

WEEK ENDING		SUN	MON	TUE	WED	THU	FRI	SAT	TOTAL
11-Sep-10	REGULAR						0.75		0.75
TOTAL HOURS									0.75

WORK PERFORMED

Project Engineer, Coordination, Telephone Discussions, Field Investigations, Report Preparation, Boring Log Preparation and Related Traveling

Employee Signature \_\_\_\_\_

PROJECT DAILY TIME RECORD  
 Period From 01-Sep-10 to 30-Sep-10

NAME	TAILOR, Bhavika	
TITLE	Administrative Assistant	
Project	Construction Inspection UP North Line METRA K91049, Chicago IL	Job No. 10022

PROJECT HOURS

WEEK ENDING		SUN	MON	TUE	WED	THU	FRI	SAT	TOTAL
18-Sep-10	REGULAR						0.50		0.50
TOTAL HOURS									0.50

WORK PERFORMED

Secretary, Administrative Assistant, Office Support, Report Preparation

Employee Signature \_\_\_\_\_



**FIELD TEST DATA REPORT**  
Page 1 of 1

GSI Job Name	GSI Job Number
METRA UP NORTHLINE	10422

Day	Date
FRIDAY	3/10/10

Location METRA, LAWRENCE & WINNEMAC  
 Contractor \_\_\_\_\_ Client \_\_\_\_\_

Start Time	<u>9:00 AM</u>	Mileage	_____	Regular Hours	<u>3.5</u>
Lunch Break	<u>-</u>	Toll Expenses	_____	Over Time Hours	_____
Finish Time	<u>10:15 AM</u>	Nuclear Gauge	<u>Yes</u> <u>No</u>	TOTAL HOURS	<u>3.5</u>
Travel Time	<u>2.0</u>	Vehicle	_____		
Office Time	<u>0.25</u>	Other	_____		
Total Hours	<u>3.50</u>	Other	_____		

**Summary of Technical and/or Engineering Services performed**  
 Field Test Data is estimated pending final laboratory test results. Field Locations, Elevations and depths are estimated

GSI personnel reported to the above referenced site to monitor the placement of concrete and perform field quality control tests for project specification compliance

**Concrete Placement Summary**

Location: LAWRENCE & WINNEMAC  
 Supplier: 0ZINGA Mix # 71-PC-102 Yards Placed: 120Y Cubic Yards  
 Cylinders Cast: 1 Sets of 6 Cylinders, on Load # 2  
 Spec: 5000 PSI @ 14 Days

The concrete was monitored and tested for proper mix, slump, air content, and temperature and batch-to-placement time. In addition, 1 sets of 6 concrete test cylinders were cast for laboratory strength testing. Results of concrete tests are listed below:

LOAD # 1: SLUMP = 8"      LOAD # 2: AIR ENTRAINMENT ADDED:  
 AIR % = 3.5%      AIR % = 5.0%  
 TEMP = 75°F

Based on the field observations and testing, the concrete placed on this date was in general accordance with the project specifications.

Remarks :-

Resident Engineer  
 Signature Katelyn Green  
 Resident Engineer  
 Company \_\_\_\_\_

By [Signature]  
 Geo Services, Inc. Field Technician



GSI Job Name	GSI Job Number
METRA UP NORTHLINE	10022

Day	Date
TUESDAY	9/14/10

Location LAWRENCE & RAVENSWOOD/WINNEMAC  
 Contractor WALSH Client \_\_\_\_\_

Start Time	<u>2:00 PM</u>	Mileage	_____	Regular Hours	<u>2.0</u>
Lunch Break	<u>-</u>	Toll Expenses	_____	Over Time Hours	_____
Finish Time	<u>4:00 PM</u>	Nuclear Gauge	<u>Yes/No</u>	TOTAL HOURS	<u>2.0</u>
Travel Time	<u>2.0</u>	Vehicle	_____		
Office Time	_____	Other	_____		
Total Hours	<u>2.0</u>	Other	_____		

**Summary of Technical and/or Engineering Services performed**

Field Test Data is estimated pending final laboratory test results. Field Locations, Elevations and depths are estimated

CONCRETE CYLINDERS (1 SET OF 6) WERE PICKED UP W/C WERE CASTED LAST  
FRIDAY (9/10/10) AT LAWRENCE & RAVENWOOD/WINNEMAC LOCATION.

ALL CYLINDERS WERE FOUND TO BE COVERED & UNDISTURBED. ALL CYLINDERS  
ARE SUBJECT FOR FURTHER TESTING.

Resident Engineer  
 Signature \_\_\_\_\_  
 Resident Engineer  
 Company \_\_\_\_\_

By  \_\_\_\_\_  
 Geo Services, Inc. Field Technician

## COMPRESSIVE STRENGTH REPORT

Project Name	Metra Union Pacific North Line	Job Number	10022
Location	Addison to Balmoral Ave., Chicago, Illinois		
Client	V 3 Company		

Cast Date	06-Aug-10		5,000 psi @	14 Days	
Location	Caisson - Lawrence & Ravenswood				
Slump	8.00 inches	Concrete Temperature	87.0 F	Ambient Temperature	80.0 F
Air	8.00 %	Cast By	Raj S.	Mix Number	71PCC403Z

Cylinder Number	Date Tested	Age of Concrete (days)	Load (lbs)	Sample Height (in)	Sample Dia. (in)	H/D Ratio	Area (sq in)	Compressive Strength (psi)	Tested By	Fracture Type (1)
5196	13-Aug-10	7	129,680	12.00	6.00	2.00	28.27	4,590	JE	2
5197	20-Aug-10	14	137,910	12.00	6.00	2.00	28.27	4,880	JE	6
5198	20-Aug-10	14	140,160	12.00	6.00	2.00	28.27	4,960	JE	6
5199	03-Sep-10	28	150,830	12.00	6.00	2.00	28.27	5,330	JE	1
5200	03-Sep-10	28	146,250	12.00	6.00	2.00	28.27	5,170	JE	1
Note: 14 day compressive strength result below the minimum requirement.										

Notes:

- 1) Fracture Types: 1 - Cone; 2 - Cone and Split; 3 - Columnar; 4 - Shear; 5 - Top & Bottom Side Fractures; 6 - End Point Fracture
- 2) Tests performed in accordance with ASTM C-39/C-42 test methods.
- 3) Field testing performed in accordance with ASTM/AASHTO Test Methods: C29/T19, C31/T23, C138/T121, C172/T141, C231/T152, C173/T196, C143/T119 and C1064/T309.

## COMPRESSIVE STRENGTH REPORT

Project Name	Metra Union Pacific North Line	Job Number 10022
Location	Addison to Balmoral Ave., Chicago, Illinois	
Client	V 3 Company	

Cast Date	10-Sep-10		5,000	psi @	14	Days
Location	Column B5 at Lawrence & Winnemac					
Slump	8.00	Inches	Concrete Temperature		75.0	F
			Ambient Temperature		70-80 F	
Air	5.00	%	Cast By		Richard R.	
			Mix Number		71PCC403Z	

Cylinder Number	Date Tested	Age of Concrete (days)	Load (lbs)	Sample Height (in)	Sample Dia. (in)	H/D Ratio	Area (sq in)	Compressive Strength (psi)	Tested By	Fracture Type (1)
5896	17-Sep-10	7	153,120	12.00	6.00	2.00	28.27	5,420	JE	6
5897	17-Sep-10	7	154,200	12.00	6.00	2.00	28.27	5,450	JE	1
5898	24-Sep-10	14	188,840	12.00	6.00	2.00	28.27	6,680	TOB	6
5899	24-Sep-10	14	170,850	12.00	6.00	2.00	28.27	6,040	TOB	3
5900	08-Oct-10	28	191,180	12.00	6.00	2.00	28.27	6,760	TOB	6
5901	08-Oct-10	28	204,660	12.00	6.00	2.00	28.27	7,240	TOB	6

**Notes:**

- 1) Fracture Types: 1 - Cone; 2 - Cone and Split; 3 - Columnar; 4 - Shear; 5 - Top & Bottom Side Fractures; 6 - End Point Fracture
- 2) Tests performed in accordance with ASTM C-39/C-42 test methods.
- 3) Field testing performed in accordance with ASTM/AASHTO Test Methods: C29/T19, C31/T23, C138/T121, C172/T141, C231/T152, C173/T196, C143/T119 and C1064/T309.



Project 09178.02  
Bill to X103

INVOICE

OK

September 29, 2010  
Invoice No: 20100693

V3 Consultants/Illinois  
7325 Janes Avenue  
Woodridge, IL 60517

Project Manager George Panages

Project 2010-037 Metra Construction Management - V3 Metra Contract K91049  
Metra Project ET2112

Professional Services from August 28, 2010 to September 24, 2010

Fee 931.04

Professional Personnel

Russell, Christine

10/1/10

Hours	Rate	Amount
145.00	28.00	4,060.00
Totals 145.00		4,060.00

Totals

Total Labor

4,060.00

Reimbursable Expenses

Verizon Wireless

9/21/10 Verizon Wireless C.Russell 55.05

Total Reimbursables

55.05 55.05

Additional Fees

Overhead 129.32% of 4,060.00 5,250.39

Total Additional Fees

5,250.39

5,250.39 *AMT* →

Billing Limits

	Current	Prior	To-Date
Fees	931.04	1,637.35	2,568.39
Limit			29,173.83
Remaining			26,605.44
Labor	4,060.00	7,140.00	11,200.00
Limit			128,247.90
Remaining			117,047.90

Please remit to :

Cotter Consulting, Inc., Department 20-1003, P.O. Box 5940, Carol Stream, IL 60197-5940, (P) 630-724-9730

Project 2010-037 Metra Construction Management - V3 Metra Invoice 20100693  
 Contract K91049 Metra Project ET2112

Expenses	55.05	109.45	164.50
Limit			1,820.00
Remaining			1,655.50
Units	0.00	0.00	0.00
Limit			23,760.00
Remaining			23,760.00
Additional Fees	5,250.39	9,233.45	14,483.84
Limit			163,490.42
Remaining			149,006.58

**Total this Invoice** **\$10,296.48**

**Outstanding Invoices**

Number	Date	Balance
20100563	8/6/10	7,894.63
20100630	9/3/10	10,225.62
<b>Total</b>		<b>18,120.25</b>

**Total Now Due** **\$28,416.73**

**Billings to Date**

	Current	Prior	Total
Fee	931.04	1,637.35	2,568.39
Labor	4,060.00	7,140.00	11,200.00
Expense	55.05	109.45	164.50
Add-on	5,250.39	9,233.45	14,483.84
<b>Totals</b>	<b>10,296.48</b>	<b>18,120.25</b>	<b>28,416.73</b>

Please remit to :

Cotter Consulting, Inc., Department 20-1003, P.O. Box 5940, Carol Stream, IL 60197-5940, (P) 630-724-9730

# Billing Backup

Wednesday, September 29, 2010

Cotter Consulting Inc.

Invoice 20100693 Dated 9/29/10

6:15:01 PM

Project 2010-037 Metra Construction Management - V3 Metra Contract K91049  
Metra Project ET2112

## Professional Personnel

		Hours	Rate	Amount	
Russell, Christine	8/30/10	8.00	28.00	224.00	
Russell, Christine	8/31/10	8.00	28.00	224.00	
Russell, Christine	9/1/10	8.00	28.00	224.00	
Russell, Christine	9/2/10	8.00	28.00	224.00	
Russell, Christine	9/3/10	8.00	28.00	224.00	
Russell, Christine	9/7/10	8.00	28.00	224.00	
Russell, Christine	9/8/10	8.00	28.00	224.00	
Russell, Christine	9/9/10	7.00	28.00	196.00	
Russell, Christine	9/10/10	8.00	28.00	224.00	
Russell, Christine	9/13/10	8.00	28.00	224.00	
Russell, Christine	9/14/10	8.00	28.00	224.00	
Russell, Christine	9/15/10	8.00	28.00	224.00	
Russell, Christine	9/16/10	8.00	28.00	224.00	
Russell, Christine	9/17/10	8.00	28.00	224.00	
Russell, Christine	9/20/10	8.00	28.00	224.00	
Russell, Christine	9/21/10	4.00	28.00	112.00	
Russell, Christine	9/22/10	8.00	28.00	224.00	
Russell, Christine	9/23/10	6.00	28.00	168.00	
Russell, Christine	9/24/10	8.00	28.00	224.00	
	Totals	145.00		4,060.00	
	<b>Total Labor</b>				<b>4,060.00</b>

## Reimbursable Expenses

Verizon Wireless					
13929	9/21/10 Verizon Wireless / Invoice: 2457967540, 9/12/2010			55.05	
	<b>Total Reimbursables</b>			<b>55.05</b>	<b>55.05</b>
			<b>Total this report</b>		<b>\$4,115.05</b>

Please remit to :

Cotter Consulting, Inc., Department 20-1003, P.O. Box 5940, Carol Stream, IL 60197-5940, (P) 630-724-9730

**Detailed Timesheet for the Period Ending 9/3/10**

Friday, September 03, 2010

8:08:28 AM

Coffier Consulting Inc.

Employee CR Russell, Christine

Signed

*Christine Russell*

Approved

*[Signature]*

Russell, Christine

**Submitted**

Organization INFR.TRAN

Total Hr

2010-037 PROF Metra Construction Management - V3  
Metra Construction Management - V3

Company: V3 Consultants/Illinois

110

Reg 40.00

Sat	Sun	Mon	Tue	Wed	Thu	Fri
08/28	08/29	08/30	08/31	09/01	09/02	09/03

		8.00	8.00	8.00	8.00	8.00
--	--	------	------	------	------	------

DAILY TOTALS

Reg 40.00

		8.00	8.00	8.00	8.00	8.00
--	--	------	------	------	------	------

# Detailed Timesheet for the Period Ending 9/10/10

Tuesday, September 14, 2010

Cotter Consulting Inc.

2:43:18 PM

Employee CR Russell, Christine

Signed  Russell, Christine  
 Approved 

Submitted

Organization	INFR, TRAN	Total Hr	Sat 09/04	Sun 09/05	Mon 09/06	Tue 09/07	Wed 09/08	Thu 09/09	Fri 09/10
Holiday	Holiday	Reg 8.00			8.00				
Personal	Personal	Reg 1.00						1.00	
2010-037 PROF	Metra Construction Management - V3 Metra Construction Management - V3	Reg 31.00			8.00	8.00	8.00	7.00	8.00
110	Company: V3 Consultants/Illinois								
<b>DAILY TOTALS</b>		Reg 40.00			8.00	8.00	8.00	8.00	8.00

# Detailed Timesheet for the Period Ending 9/17/10

Friday, September 17, 2010

Colter Consulting Inc.

9:48:43 AM

Employee CR Russell, Christine

Signed 

Russell, Christine

Approved 

**Submitted**

Organization INFR. TRAN

Sat	Sun	Mon	Tue	Wed	Thu	Fri
09/11	09/12	09/13	09/14	09/15	09/16	09/17

Company: V3 Consultants/Illinois

Total Hr

Metra Construction Management - V3

Metra Construction Management - V3

110

40.00

Reg

		8.00	8.00	8.00	8.00	8.00
--	--	------	------	------	------	------

DAILY TOTALS

40.00

Reg

		8.00	8.00	8.00	8.00	8.00
--	--	------	------	------	------	------

**Detailed Timesheet for the Period Ending 9/24/10**

Friday, September 24, 2010

8:51:14 AM

Cotter Consulting Inc.

Employee CR

Russell, Christine

Signed



Approved



Russell, Christine

**Submitted**

Organization INFR. TRAN

Total Hr

Sat	Sun	Mon	Tue	Wed	Thu	Fri
09/18	09/19	09/20	09/21	09/22	09/23	09/24

2010-037 PROF Metra Construction Management - V3  
Metra Construction Management - V3

Company: V3 Consultants/Illinois

110

Reg 34.00

		8.00	4.00	8.00	6.00	8.00
--	--	------	------	------	------	------

ADMINISTRATION TR

Administration  
Administration Transportation

110

Reg 6.00

			6.00			
--	--	--	------	--	--	--

DAILY TOTALS

Reg 40.00

		8.00	10.00	8.00	6.00	8.00
--	--	------	-------	------	------	------



cotter

Project 03178.02  
Bill Grp X103

INVOICE

OK map 11/8/10

November 2, 2010  
Invoice No: 20100789

Dawn Hannigan  
V3 Consultants/Illinois  
7325 Janes Avenue  
Woodridge, IL 60517

Project Manager George Panages

Project 2010-037 Metra Construction Management - V3 Metra Contract K91049  
Metra Project ET2112

**Professional Services from September 25, 2010 to October 29, 2010**

Fee 1,168.62

**Professional Personnel**

	Hours	Rate	Amount
Russell, Christine	182.00	28.00	5,096.00
Totals	182.00		5,096.00
<b>Total Labor</b>			<b>5,096.00</b>

**Reimbursable Expenses**

Verizon Wireless			
10/27/10 Verizon Wireless	Christine Russell		54.74
<b>Total Reimbursables</b>			<b>54.74</b>

**Additional Fees**

Overhead	129.32% of 5,096.00		6,590.15
<b>Total Additional Fees</b>			<b>6,590.15</b>

**Billing Limits**

	Current	Prior	To-Date
Fees	1,168.62	2,568.39	3,737.01
Limit			29,173.83
Remaining			25,436.82
Labor	5,096.00	11,200.00	16,296.00
Limit			128,247.90
Remaining			111,951.90

Please remit to :  
Cotter Consulting, Inc., Department 20-1003, P.O. Box 5940, Carol Stream, IL 60197-5940, (P) 630-724-9730

Project 2010-037 Metra Construction Management - V3 Metra Invoice 20100789  
 Contract K91049 Metra Project ET2112

Expenses	54.74	164.50	219.24
Limit			1,820.00
Remaining			1,600.76
Units	0.00	0.00	0.00
Limit			23,760.00
Remaining			23,760.00
Additional Fees	6,590.15	14,483.84	21,073.99
Limit			163,490.42
Remaining			142,416.43

**Total this Invoice** \$12,909.51

**Outstanding Invoices**

Number	Date	Balance
20100563	8/6/10	7,894.63
20100630	9/3/10	10,225.62
20100693	9/29/10	10,296.48
<b>Total</b>		<b>28,416.73</b>

**Total Now Due** **\$41,326.24**

**Billings to Date:**

	Current	Prior	Total
Fee	1,168.62	2,568.39	3,737.01
Labor	5,096.00	11,200.00	16,296.00
Expense	54.74	164.50	219.24
Add-on	6,590.15	14,483.84	21,073.99
<b>Totals</b>	<b>12,909.51</b>	<b>28,416.73</b>	<b>41,326.24</b>

Please remit to :  
 Cotter Consulting, Inc., Department 20-1003, P.O. Box 5940, Carol Stream, IL 60197-5940, (P) 630-724-9730

# Billing Backup

Tuesday, November 02, 2010

Cotter Consulting Inc.

Invoice 20100789 Dated 11/2/10

4:52:39 PM

Project 2010-037 Metra Construction Management - V3 Metra Contract K91049  
Metra Project ET2112

## Professional Personnel

		Hours	Rate	Amount	
Russell, Christine	9/27/10	8.00	28.00	224.00	
Russell, Christine	9/29/10	8.00	28.00	224.00	
Russell, Christine	9/30/10	6.00	28.00	168.00	
Russell, Christine	10/1/10	8.00	28.00	224.00	
Russell, Christine	10/4/10	8.00	28.00	224.00	
Russell, Christine	10/5/10	8.00	28.00	224.00	
Russell, Christine	10/6/10	8.00	28.00	224.00	
Russell, Christine	10/7/10	8.00	28.00	224.00	
Russell, Christine	10/8/10	8.00	28.00	224.00	
Russell, Christine	10/11/10	8.00	28.00	224.00	
Russell, Christine	10/12/10	8.00	28.00	224.00	
Russell, Christine	10/13/10	8.00	28.00	224.00	
Russell, Christine	10/14/10	8.00	28.00	224.00	
Russell, Christine	10/15/10	8.00	28.00	224.00	
Russell, Christine	10/19/10	8.00	28.00	224.00	
Russell, Christine	10/20/10	8.00	28.00	224.00	
Russell, Christine	10/21/10	8.00	28.00	224.00	
Russell, Christine	10/22/10	8.00	28.00	224.00	
Russell, Christine	10/25/10	8.00	28.00	224.00	
Russell, Christine	10/26/10	8.00	28.00	224.00	
Russell, Christine	10/27/10	8.00	28.00	224.00	
Russell, Christine	10/28/10	8.00	28.00	224.00	
Russell, Christine	10/29/10	8.00	28.00	224.00	
Totals		182.00		5,096.00	
<b>Total Labor</b>					<b>5,096.00</b>

## Reimbursable Expenses

Verizon Wireless					
14078	10/27/10 Verizon Wireless / Invoice: 2472178544, 10/12/2010			54.74	
<b>Total Reimbursables</b>				<b>54.74</b>	<b>54.74</b>
			<b>Total this report</b>		<b>\$5,150.74</b>

Please remit to :

Cotter Consulting, Inc., Department 20-1003, P.O. Box 5940, Carol Stream, IL 60197-5940, (P) 630-724-9730

# Detailed Timesheet for the Period Ending 10/1/10

Friday, October 01, 2010

1:07:25 PM

Cotter Consulting Inc.

Employee: CR Russell, Christine

Signed

*[Signature]*  
Russell, Christine

Approved

*[Signature]*

Submitted

Organization: INFR. TRAN

Total Hr	Sat 09/25	Sun 09/26	Mon 09/27	Tue 09/28	Wed 09/29	Thu 09/30	Fri 10/01
8.00				8.00			

Vacation: Reg 8.00

Personal: Reg 2.00

2010-037 PROF

Metra Construction Management - V3  
Metra Construction Management - V3

Company: V3 Consultants/Illinois

110

Reg 30.00

8.00	8.00	8.00	6.00	8.00
------	------	------	------	------

DAILY TOTALS

Reg 40.00

8.00	8.00	8.00	8.00	8.00
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**Detailed Timesheet for the Period Ending 10/8/10**

Friday, October 08, 2010

12:30:45 PM

Cotter Consulting Inc.

Employee CR Russell, Christine

Signed  Russell, Christine

Approved 

**Submitted**

Organization INFR. TRAN

Total Hr										
----------	--	--	--	--	--	--	--	--	--	--

2010-037 PROF Meira Construction Management - V3  
 Meira Construction Management - V3  
 Company: V3 Consultants/Illinois

Reg	40.00									
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110	40.00									
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DAILY TOTALS	Reg	40.00								
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# Detailed Timesheet for the Period Ending 10/15/10

Friday, October 15, 2010

Cotter Consulting Inc.

1:12:11 PM

Employee CR Russell, Christine

Signed

*Christine Russell*

Approved

*Christine Russell*

Russell, Christine

Submitted

Organization INFR. TRAN

Total Hr	Sat 10/09	Sun 10/10	Mon 10/11	Tue 10/12	Wed 10/13	Thu 10/14	Fri 10/15
40.00			8.00	8.00	8.00	8.00	8.00

Company: V3 Consultants/Illinois

2010-037 PROF Metra Construction Management - V3  
Metra Construction Management - V3

110

Reg 40.00

DAILY TOTALS

Reg 40.00

**Detailed Timesheet for the Period Ending 10/22/10**

Friday, October 22, 2010

9:58 31 AM

Cotter Consulting Inc.

Employee CR Russell, Christine

Signed

*Christine Russell*

Russell, Christine

Approved

*Christine Russell*

**Submitted**

Organization INFR. TRAN

Total Hr	Sat 10/16	Sun 10/17	Mon 10/18	Tue 10/19	Wed 10/20	Thu 10/21	Fri 10/22
8.00			8.00				

Vacation Reg 8.00

2010-037  
PROF

Metra Construction Management - V3  
Metra Construction Management - V3

Company: V3 Consultants/Illinois

110

Reg				8.00	8.00	8.00	8.00	8.00
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**DAILY TOTALS**

Reg	40.00			8.00	8.00	8.00	8.00	8.00
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**Detailed Timesheet for the Period Ending 10/29/10**

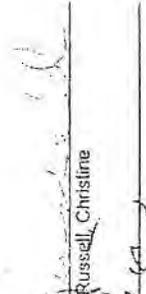
Thursday, October 28, 2010

3:48:00 PM

Coiter Consulting Inc.

Employee: GR Russell, Christine

Submitted

Signed:  Russell, Christine

Approved: 

Organization	INFR,TRAN	Total Hr	Sat 10/23	Sun 10/24	Mon 10/25	Tue 10/26	Wed 10/27	Thu 10/28	Fri 10/29
2010-037	Melra Construction Management - V3	40.00			2.00	8.00	8.00	8.00	8.00
PROF	Melra Construction Management - V3	Reg			2.00	8.00	8.00	8.00	8.00

Company: V3 Consultants/Illinois

**DAILY TOTALS** Reg 40.00 8.00 8.00 8.00 8.00



Invoice Number Account Number Date Due Page  
 2472178544 686056074-00001 11/07/10 70 of 73

**Summary for Russell Christine: 773-617-3341**

10-237

**Your Calling Plan**

**Nationwide Business Talk 450**  
 \$44.99 monthly access charge  
 450 monthly allowance minutes  
 \$.25 per minute after allowance

**Friends & Family**

**Pay As You Use Megabyte Data**  
 \$1.99 per megabyte

**Push to Talk Service**  
 \$5.00 monthly access charge  
 Unlimited monthly minutes

**Beginning on 09/30/09:**  
 10% Access Discount

**M2M National Unlimited**  
 Unlimited monthly Mobile to Mobile

**UNL Night & Weekend Min**  
 Unlimited monthly OFFPEAK

Have more questions about your charges?  
 Get details for all your Usage Charges at  
[vzw.com/mybusinessaccount](http://vzw.com/mybusinessaccount).

**Charges**

**Monthly Access Charges**

Nationwide Business Talk 450 10/13 - 11/12	44.99
10% Access Discount 10/13 - 11/12	-4.50
Push to Talk Service 10/13 - 11/12	5.00
	<b>\$45.49</b>

**Usage Charges**

Voice	Allowance	Used	Billable	Cost
SharePlan <i>minutes</i>	450 (shared)	56	---	---
Friends & Family <i>minutes</i>	---	14	---	---
Mobile to Mobile <i>minutes</i>	unlimited	17	---	---
<b>Total Voice</b>				<b>\$0.00</b>

**Messaging**

Text - Rcv'd	messages				Cost
	---	1	1		.20
<b>Total Messaging</b>					<b>\$0.20</b>

**Total Usage Charges**

**\$0.20**

**Verizon Wireless' Surcharges**

Fed Universal Service Charge	1.15
Regulatory Charge	.13
Administrative Charge	.83
	<b>\$2.11</b>

**Taxes, Governmental Surcharges and Fees**

IL State E911 Fee	.73
IL State Telecom Excise Tax	3.34
Darien MTT	2.87
	<b>\$6.94</b>

**Total Current Charges for 773-617-3341**

**\$54.74**



cotter

Project 09178.02

Bill Corp X103

INVOICE

December 1, 2010  
Invoice No: 20100918

Dawn Hannigan  
V3 Consultants/Illinois  
7325 Janes Avenue  
Woodridge, IL 60517

Project Manager George Panages

Project 2010-037

Metra Construction Management - V3 Metra Contract K91049  
Metra Project ET2112

Professional Services from October 30, 2010 to November 26, 2010

**Professional Personnel**

	<b>Hours</b>	<b>Rate</b>	<b>Amount</b>	
Russell, Christine	108.50	28.00	3,038.00	
Totals	108.50		3,038.00	
	<b>Overhead</b>	<b>129.32</b>	<b>3,928.74</b>	
	<b>Profit</b>	<b>10%</b>	<b>696.67</b>	
<b>Total Labor</b>				<b>7,663.41</b>

**Reimbursable Expenses**

Verizon Wireless				
11/26/10 Verizon Wireless	C.Russell		54.97	
<b>Total Reimbursables</b>			<b>54.97</b>	<b>54.97</b>

**Total this Invoice \$7,718.38**

Please remit to :

Cotter Consulting, Inc., Department 20-1003, P.O. Box 5940, Carol Stream, IL 60197-5940, (P) 630-724-9730

Project 2010-037 Metra Construction Management - V3 Metra Invoice <Draft>  
Contract K91049 Metra Project ET2112

---

**Outstanding Invoices**

<b>Number</b>	<b>Date</b>	<b>Balance</b>
20100563	8/6/10	7,894.63
20100630	9/3/10	10,225.62
20100693	9/29/10	10,296.48
20100789	11/2/10	12,909.51
<b>Total</b>		<b>41,326.24</b>

**Total Now Due \$49,044.62**

Please remit to :  
Cotter Consulting, Inc., Department 20-1003, P.O. Box 5940, Carol Stream, IL 60197-5940, (P) 630-724-9730

**Detailed Timesheet for the Period Ending 11/5/10**

Coffer Consulting Inc.

Friday, November 05, 2010

11:39:59 AM

Employee CR Russell, Christine

Signed

*Christine Russell*

Approved

*Christine Russell*

Russell, Christine

*Christine Russell*

Submitted

Organization INFR.TRAN

Sat	Sun	Mon	Tue	Wed	Thu	Fri
10/30	10/31	11/01	11/02	11/03	11/04	11/05

Total Hr

2010-037 PROF Meira Construction Management - V3  
Meira Construction Management - V3

Company: V3 Consultants/Illinois

110	Reg	40.00	8.00	8.00	8.00	8.00	8.00
-----	-----	-------	------	------	------	------	------

DAILY TOTALS

Reg	40.00	8.00	8.00	8.00	8.00	8.00
-----	-------	------	------	------	------	------



Detailed Timesheet for the Period Ending 11/19/10

Cotter Consulting Inc.

Friday, November 19, 2010

Employee

CR

Russell, Christine

11:21:16 AM

Signed

*Christine Russell*

Approved

*Christine Russell*

Russell, Christine

Submitted

Organization IFR,TRAN

Personal

Personal

Total Hr	Sat 11/13	Sun 11/14	Mon 11/15	Tue 11/16	Wed 11/17	Thu 11/18	Fri 11/19
Reg 1.00							

2010-037 PROF

Molva Construction Management - V3  
Metra Construction Management - V3

Company: V3 Consultants/Illinois

110

Reg 36.50

			6.50	8.00	8.00	6.00	8.00
--	--	--	------	------	------	------	------

OVERHEAD TN

Misc. Overhead  
Misc. Overhead Transportation

110

Reg 1.50

						1.50	
--	--	--	--	--	--	------	--

ADMINISTRATION TR

Administration  
Administration Transportation

110

Reg 1.00

						1.00	
--	--	--	--	--	--	------	--

DAILY TOTALS

Reg 40.00

			7.50	8.00	8.00	8.50	8.00
--	--	--	------	------	------	------	------



Invoice Number Account Number Date Due Page  
 2487143070 686056074-00001 12/07/10 71 of 74

**Summary for Russell Christine: 773-617-3341**

10-037

**Your Calling Plan**

Nationwide Business Talk 450  
 \$44.99 monthly access charge  
 450 monthly allowance minutes  
 \$.25 per minute after allowance

**Friends & Family**

Pay As You Use Megabyte Data  
 \$1.99 per megabyte

Push to Talk Service  
 \$5.00 monthly access charge  
 Unlimited monthly minutes

Beginning on 09/30/09:  
 10% Access Discount

M2M National Unlimited  
 Unlimited monthly Mobile to Mobile

UNL Night & Weekend Min  
 Unlimited monthly OFFPEAK

Have more questions about your charges?  
 Get details for all your Usage Charges at  
[vzw.com/mybusinessaccount](http://vzw.com/mybusinessaccount).

**Charges**

**Monthly Access Charges**

Nationwide Business Talk 450 11/13 - 12/12	44.99
10% Access Discount 11/13 - 12/12	-4.50
Push to Talk Service 11/13 - 12/12	5.00
	<b>\$45.49</b>

**Usage Charges**

Voice	Allowance	Used	Billable	Cost
SharePlan <i>minutes</i>	450 (shared)	6	--	--
Mobile to Mobile <i>minutes</i>	unlimited	13	--	--
<b>Total Voice</b>				<b>\$0.00</b>

**Messaging**

Text - Rcv'd <i>messages</i>	--	2	2	.40
<b>Total Messaging</b>				<b>\$0.40</b>

**Total Usage Charges**

**\$0.40**

**Verizon Wireless' Surcharges**

Fed Universal Service Charge	1.15
Regulatory Charge	.13
Administrative Charge	.83
	<b>\$2.11</b>

**Taxes, Governmental Surcharges and Fees**

IL State E911 Fee	.73
IL State Telecom Excise Tax	3.36
Darien MTT	2.88
	<b>\$6.97</b>

**Total Current Charges for 773-617-3341**

**\$54.97**

K91048

FOR PROFESSIONAL AND CONSULTING SERVICES AGREEMENT  
BLANKET CONTRACTS

NORTHEAST ILLINOIS REGIONAL COMMUTER RAILROAD CORPORATION  
D/B/A METRA  
547 WEST JACKSON BOULEVARD  
CHICAGO, ILLINOIS 60661

TABLE OF CONTENTS

1. SCOPE AND DESCRIPTION OF SERVICES..... 3

2. COMPENSATION ..... 3

3. PERFORMANCE OF THE WORK..... 4

    A. NOTICE TO PROCEED ..... 4

    B. SCHEDULE..... 4

    C. DELAY..... 5

    D. RESPONSIBILITY FOR AGENTS AND EMPLOYEES ..... 6

    E. LICENSES AND PERMITS..... 6

    F. PROFESSIONAL AND PERSONAL SERVICES ..... 6

    G. PAYMENT OF SUBCONSULTANTS..... 6

    H. ASSIGNMENT..... 7

4. DOCUMENTS FORMING THIS AGREEMENT..... 7

5. TERMINATION..... 7

    A. CONVENIENCE ..... 7

    B. BREACH ..... 8

6. INSURANCE..... 8

7. ETHICS..... 8

    A. NON-COLLUSION ..... 8

    B. PROHIBITED INTERESTS ..... 8

    C. AFFIDAVIT/CERTIFICATIONS ..... 8

    E. CONFLICTS OF INTEREST ..... 9

8. EMPLOYMENT AND CIVIL RIGHTS ..... 9

    A. ILLINOIS EQUAL EMPLOYMENT OPPORTUNITY REQUIREMENTS ..... 9

    B. FEDERAL CIVIL RIGHTS REQUIREMENTS ..... 11

    C. DISADVANTAGED BUSINESS ENTERPRISE..... 12

    D. INDEPENDENT CONTRACTOR..... 12

    E. REVOLVING DOOR PROHIBITION..... 12

    F. CONFIDENTIALITY..... 12

9. RECORDS ..... 12

    A. RETENTION ..... 12

    B. AUDIT AND INSPECTION ..... 13

	C.	<u>OWNERSHIP</u> .....	14
	D.	<u>COPYRIGHT AND RIGHTS IN DATA</u> .....	14
10.		<u>INDEMNIFICATION AND WAIVER</u> .....	14
11.		<u>ACCURACY OF WORK</u> .....	15
	A.	<u>REVISIONS REQUIRED</u> .....	15
	B.	<u>DRAWINGS &amp; SPECIFICATIONS</u> .....	16
	C.	<u>NOTIFICATION OF ERROR</u> .....	16
	D.	<u>PROJECT MANAGEMENT PLAN/QUALITY MANAGEMENT PLAN</u> .....	16
12.		<u>FUNDING</u> .....	16
	B.	<u>SUBJECT TO FINANCIAL ASSISTANCE</u> .....	16
	C.	<u>NO LIABILITY</u> .....	17
	D.	<u>DESIGN WITHIN FUNDING LIMITS</u> .....	17
13.		<u>CONTRACT CHANGES</u> .....	18
	A.	<u>CHANGE ORDERS</u> .....	18
	B.	<u>CHANGE ORDER PROCEDURES</u> .....	18
	C.	<u>INELIGIBLE CHANGE ORDER COSTS</u> .....	19
	D.	<u>CONSULTANT TO CONTINUE WORK</u> .....	19
	E.	<u>CONTRACT CHANGE EFFECTIVE DATE</u> .....	19
	A.	<u>DISPUTE RESOLUTION</u> .....	19
	B.	<u>JOINDER</u> .....	20
	C.	<u>AUTHORITY OF THE ARBITRATOR</u> .....	20
	D.	<u>FINAL BINDING DECISION</u> .....	20
	E.	<u>DEMAND FOR ARBITRATION</u> .....	20
	F.	<u>WORK SHALL CONTINUE</u> .....	20
	G.	<u>JURISDICTIONAL CHALLENGE</u> .....	20
	H.	<u>ADDITIONAL RULES</u> .....	20
	I.	<u>FEES AND EXPENSES</u> .....	21
	J.	<u>CONSENT BY FUNDING AGENCIES</u> .....	21
15.		<u>SAFETY REQUIREMENTS</u> .....	21
	A.	<u>COMPLIANCE</u> .....	21
	B.	<u>DEFINITION</u> .....	21
	C.	<u>NOTICE</u> .....	22
	D.	<u>IN EMERGENCY</u> .....	22
16.		<u>MISCELLANEOUS</u> .....	22
	A.	<u>COMPLIANCE WITH LAWS</u> .....	22
	B.	<u>GOVERNING LAWS</u> .....	22
	C.	<u>NOTICES</u> .....	22
	D.	<u>HEADINGS</u> .....	22
	E.	<u>SET-OFF RIGHTS</u> .....	22
	F.	<u>SEVERABILITY</u> .....	22
	G.	<u>WAIVER</u> .....	22
	H.	<u>CONSTRUCTION</u> .....	23

K 91048

## AGREEMENT

### FOR PROFESSIONAL AND CONSULTING SERVICES BLANKET CONTRACTS

This Agreement is entered into this 1<sup>ST</sup> day of APRIL, 2010 in Chicago, Illinois, by and between the Northeast Illinois Regional Commuter Railroad Corporation d/b/a Metra, Metropolitan Rail ("Metra"), a public corporation under Illinois law, and AECOM USA, Inc. ("Consultant"), having offices located at 303 E. Wacker Drive, Suite 600, Chicago, IL 60601. Consultant and Metra are sometimes collectively referred to as "Parties." In consideration of the promises and agreements set forth, the Parties agree:

#### 1. SCOPE AND DESCRIPTION OF SERVICES.

Consultant will perform the following services ("Work"): Provide Blanket Professional Construction Management Services related to the BNSF Belmont Road Grade Separation in Downers Grove, IL.

#### 2. COMPENSATION.

The total amount of this blanket Agreement including all individual tasks, shall not exceed \$2,500,000.00.

Once specific tasks have been assigned, Metra agrees to pay, and Consultant agrees to accept the prices stipulated on the cost or price schedule, which is attached as Exhibit 2. With respect to the overhead rate described on the attached schedule, Consultant will list the immediate prior year overhead rate. The immediate prior year rate will be a provisional rate until audited by and/or accepted by Metra. Consultant may apply the provisional rate until such time as Metra's Audit Department audits and/or accepts Consultant's actual individual yearly overhead rate as computed under the Illinois Department of Transportation guidelines for computation of overhead rates. Once Metra audits and/or accepts the provisional overhead rate, the actual overhead rate for each year will be applied to each year's respective billings. Payments made using the provisional overhead rate will be subject to change and adjusted to conform with the audited and/or accepted overhead rate for each year. Consultant shall be paid only for the actual Work performed at the prescribed rates during the preceding billing period, not to exceed the percentage of the Work completed as of the end of the billing period. The full payment for each task shall not exceed the total price as stated in the applicable Metra Form 4400 for that particular task(s) assigned ("Total Price"). The Metra Form 4400, agreed to by Metra and submitted by Consultant in response to Metra's request for a specific task, and the subsequent Notice to Proceed (defined below), are incorporated into this Agreement by reference. The Total Price also includes the cost of all applicable taxes (where Metra is not exempt), bonds, if required, and other charges of every kind and nature. The Total Price shall not include, and Metra shall not pay, taxes or fees from which Metra is exempt. Metra is exempt from various federal taxes, all state and unit of local government taxes, and registration and license fees. Consultant shall promptly notify Metra, and afford it the opportunity, before payment of any taxes, to contest said claims in the manner and to the extent it may elect, and to settle or satisfy such claims.

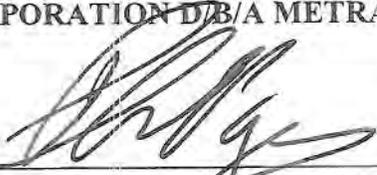
IN WITNESS WHEREOF, THE PARTIES HERETO HAVE EXECUTED THIS AGREEMENT ON THE DATES RECITED BELOW:

NORTHEAST ILLINOIS REGIONAL  
COMMUTER RAILROAD  
CORPORATION D/B/A METRA

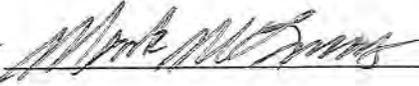
CONSULTANT

RG

BY



BY



PHILINDA A. PAGANO

MARK M. LUCAS

PRINT NAME

PRINT NAME

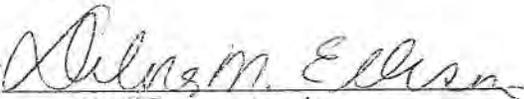
TITLE EXECUTIVE DIRECTOR

TITLE VICE PRESIDENT

ATTEST

ATTEST

BY



BY



DATE 4/1/10

DATE 9/4/09

TITLE ASSISTANT SECRETARY  
TO THE BOARD

TITLE Assistant Secretan

**AECOM**

303 East Wacker Drive, Suite 600, Chicago, IL 60601  
T 312.938.0300 F 312.938.1109 www.aecom.com

September 4, 2009

Mr. Carlos Gamboa, C.P.M.  
Department Head  
Professional Services & Contracts  
Metra  
547 W. Jackson Blvd.  
Chicago, Illinois 60661

Attn: Mr. Ed Remus

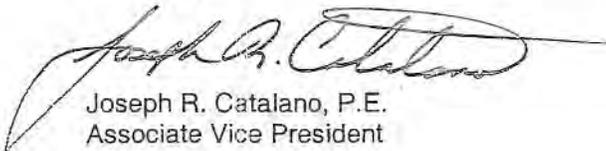
**RE: Metra RFP No. 01793  
Blanket Construction Management Services  
BNSF/Belmont Road Grade Separation**

Dear Mr. Remus,

In accordance with your pre-award notice dated August 28, 2009 for the referenced project, AECOM is pleased to submit two (2) signed contracts, an Employee Compensation Schedule and the latest overhead rates for AECOM, URS, Wight, APS Consulting, CivCon Services and Wang Engineering. The salary rates detailed in the Employee Compensation Schedules represent existing rates and are current through December 31, 2009. Average salary increases are estimated at 5%, typically beginning January 1, 2010.

If you have any questions or need additional information, please contact me at 312-373-6853 or joe.catalano@aecom.com.

Sincerely,



Joseph R. Catalano, P.E.  
Associate Vice President

Enclosures

c: Amar Rajpurkar  
Mark Lucas  
Mike Sweeney

2009 SEP - 9 10:42

MATERIALS

**EXHIBIT 2**

**EMPLOYEE COMPENSATION SCHEDULE**

**2009 DIRECT HOURLY WAGE RATES**

Metra RFP No. 01793

Name	Classification	Hourly Rate	
Joe Catalano	Project Director	\$ 77.66	for 2009 - salary adjustments on January 1 of every year
Jim Powers	Project Manager	\$ 51.26	for 2009 - salary adjustments on January 1 of every year
Duane Buchko	QA/QC	\$ 68.58	for 2009 - salary adjustments on January 1 of every year
Scott Wheeler	Constructability	\$ 67.14	for 2009 - salary adjustments on January 1 of every year
Peter Josefchak	Metra Liaison\Agency Coordination	\$ 89.24	for 2009 - salary adjustments on January 1 of every year
Dennis Gary	Metra Liaison\Agency Coordination	\$ 113.61	for 2009 - salary adjustments on January 1 of every year
Peter Jensen	Construction Inspection	\$ 52.43	for 2009 - salary adjustments on January 1 of every year
Greg Dieter	Construction Inspection	\$ 38.31	for 2009 - salary adjustments on January 1 of every year
Bob Sturm	Project Controls	\$ 45.20	for 2009 - salary adjustments on January 1 of every year
Michael Myrieckes	Project Controls	\$ 43.35	for 2009 - salary adjustments on January 1 of every year
Brad Radovich	Structural Lead	\$ 60.01	for 2009 - salary adjustments on January 1 of every year
Woody Brock	Structural Engineer	\$ 49.72	for 2009 - salary adjustments on January 1 of every year
Matt Pregmon	Structural Engineer	\$ 50.32	for 2009 - salary adjustments on January 1 of every year
Frank Noonan	Mechanical Engineer	\$ 71.57	for 2009 - salary adjustments on January 1 of every year
Bill Sterner	Electrical Engineer	\$ 57.01	for 2009 - salary adjustments on January 1 of every year
Todd Lentz	Signals Engineer	\$ 33.16	for 2009 - salary adjustments on January 1 of every year
Patrick Bagliere	Surveying	\$ 46.83	for 2009 - salary adjustments on January 1 of every year
<b>Wang Engineering</b>			
Jerry Wang	Geotechnical	\$ 24.04	for 2009 - salary adjustments on January 1 of every year
Bob Flood	Materials Testing	\$ 50.48	for 2009 - salary adjustments on January 1 of every year
Koshy Jacob	Laboratory Testing	\$ 48.10	includes \$17.90 Cook County Prevailing Wage Fringe
<b>Wight &amp; Company</b>			
Matt Shelton	Canopy Inspection	\$ 40.37	for 2009 - salary adjustments on April 1 of every year
<b>URS Corporation</b>			
Michael Delemont	Construction Inspection	\$ 37.44	for 2009 - salary adjustments on January 1 of every year
Don Yetter	Shop Drawing Review	\$ 67.08	for 2009 - salary adjustments on January 1 of every year
Randel Ziliz	Track Engineer	\$ 31.20	for 2009 - salary adjustments on January 1 of every year
Jim LeVan	Civil\Traffic Signals Engineer	\$ 47.36	for 2009 - salary adjustments on January 1 of every year
Dan Duzan	Electrical Engineer	\$ 48.08	for 2009 - salary adjustments on January 1 of every year
<b>APS Consulting</b>			
Saurabh Dixit	Construction Inspection	\$ 36.00	for 2009/2010 - salary adjustments on September 1 of every year
<b>CivCon Services</b>			
Adel Gholeh	Construction Inspection	\$ 35.20	for 2009 - salary adjustments on January 1 of every year

September 10, 2009

## Memorandum

To: File

*EHR*

From: E. H. Remus

Subject: Construction Mgmt. Svcs. For Belmont Road Grade Separation  
Aecom USA, Inc. - \$2,500,000.00  
K 91048

### Cost/Price Review

The attached hourly wage rates and overhead rates have been reviewed. The overhead rates for the prime and -5- subconsultants have all been preliminarily approved by recent IDOT audits (copy of IDOT letters attached).

The hourly wage rates from AECOM exceeding \$70.00/hr. are not acceptable under this contract. All other submitted rates appear to be fair & reasonable.

EHR/jz

Attachments

cc: J. L. Lorenzini, Engineering  
C. Gamboa, Prof. Svcs./Contracts  
E. Fernandes, Audit

May 17, 2010

Mr. Ken Diemer  
Metra  
547 West Jackson Blvd.  
Chicago, IL 60661

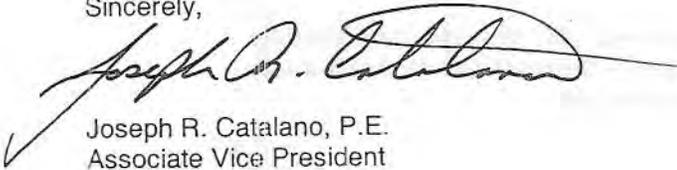
Re: Metra Contract K91048 Blanket CM Services  
Task No. 1 – BNSF Belmont Grade Separation Work

Dear Mr. Diemer:

Please find attached the proposed Scope of Services and 4400 form for the BNSF Belmont Grade Separation Work.

If you have any questions or need additional information, please contact me at 312-373-6853 or [joe.catalano@cte.aecom.com](mailto:joe.catalano@cte.aecom.com). We look forward to working with you on this project.

Sincerely,



Joseph R. Catalano, P.E.  
Associate Vice President

c: Bill Archer, Metra  
Jim Powers, AECOM  
File

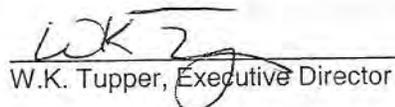
H:\Construction\Metra\2010 Belmont CM Services\K91048\_4400 Transmittal Letter - Task 1.Doc

Approved:



J. Lorenzini, Chief Engineering Officer

Approved:

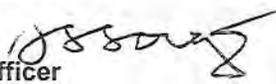


W.K. Tupper, Executive Director

**Memorandum**

**DATE:** May 18, 2010

**TO:** Paul Kisielius, Sr. Division Director  
General Administration

**FROM:** Joseph L. Lorenzini   
Chief Engineering Officer

**SUBJECT:** AECOM USA  
**TITLE:** Construction Management Services for Belmont Grade Separation  
**CONTRACT #:** K91048 - Task 1  
**PROJECT #:** Metra/Project No. ED 2933

**Scope**

**Task 1:** AECOM USA was requested to provide construction management services for the Belmont Grade Separation Project in Downers Grove, Illinois.

Task Summary - Task 1

**Amount:** \$2,500,000.00

**Duration:** 32 months (April 1, 2010 to December 31, 2012)

Contract Summary

<b>Contract Amount:</b>	\$2,500,000.00
<b>Previously Authorized</b>	\$ 0.00
<b>Current Authorized (Task #1)</b>	\$2,500,000.00
<b>Total Authorized:</b>	\$2,500,000.00
<b>Contract Amount Remaining:</b>	\$ 0.00

JLL/WTA/dmm0029

**Attachments:** Metra Estimate, Approved 4400 Form and Scope of Work

**cc:** M. Cinabro w/attachments  
W. Archer w/attachments  
C. Riney w/attachments



**Contract K91048**  
**Metra Blanket Construction Management Services**  
**Task 1 – BNSF Belmont Avenue Grade Separation Work**

## Scope of Services

CTE will provide administrative, management and related services, as required, to coordinate the work of the Contractor with the activities and responsibilities of Metra to complete the project in accordance with the Construction Documents. The Construction Manager shall not be responsible for construction means, methods, techniques, sequences and procedures employed by the Contractor in performance of the contract. The Contractor shall be responsible for ensuring its work is completed in conformance with its contract with Metra. The extent of the duties, responsibilities and limitations of authority of the Construction Manager as a representative of Metra during construction shall not be modified or extended without the written consent of Metra.

Based on information discussed at the pre-construction meeting on March 25, 2010 with Metra and Contractor representatives, CTE has developed a scope of services and staffing plan to accommodate the schedule discussed for the proposed work. The following assumptions were made in developing the plan:

- A) The BNSF Belmont Avenue Grade Separation Work in Downers Grove, IL is anticipated to begin April 1, 2010. The CM Services contract completion date is December 31, 2012.
- B) CTE will perform Construction Management and Inspection including but not limited to the following:
  - a. Review and monitor
    - i. Work progress
    - ii. Two-week look-ahead schedule
    - iii. Overall construction schedule
    - iv. Delivery schedules
    - v. Request for information (RFI) items
    - vi. Submittals status
    - vii. Maintenance of quality standards
    - viii. Contract modifications
    - ix. Approved construction budget
  - b. Required coordination between Metra, the general contractor, subcontractors, and any other agencies or railroads
  - c. Interface with the general contractor
  - d. Report to Metra observations made by CTE
  - e. Upon request from Metra, recommend options Metra may take when a non-performing party is not complying with the construction documents
  - f. Submit monthly progress reports and daily work progress reports
  - g. Update the Project Management Plan and Quality Management Plan to reflect actual construction administration procedures being implemented
  - h. Coordinate project closeout procedures and requirements



- i. Attending meetings
- j. Schedule off-site inspections per the construction schedule
- k. Verify the contractor's payment requests
- l. Prepare daily progress reports
- m. Prepare punch lists
- n. Collect final waivers of lien and all required warranties, guaranties, and operation and maintenance manuals.

C) CTE and it's team will provide the following staff:

- a. Project Manager
- b. Resident Engineer
- c. Field Office Engineer
- d. Construction Inspectors – as required
- e. Office Support – as required,

Based on these assumptions, CTE has prepared the attached 4400 form including CivCon Services and APS Consulting, our DBE subconsultants as well as URS and Wight & Company. We understand that we are expected to achieve 25% DBE participation for this project.





ESTIMATE OF ENGINEERING SERVICES  
 FOR  
 AECOM USA, INC.  
 METRA BURLINGTON NORTHERN & SANTA FE LINE  
 GRADE SEPARATION OF BELMONT ROAD  
 IN DOWNERS GROVE, ILLINOIS  
 METRA CONTRACT NO. K91048

TASK 1	HOURS
1. Project Management 36 months	9000
2. Testing	1200
3. Construction Inspection	4800
4. Structural Review	1500
5. Quality Management and Oversight	500
<hr/>	
Total Hours	18000

Estimate of Cost:

Assume: Average hourly rate for all engineering disciplines of \$50.00 per hour.

Average Overhead Burden Rate of 160%.

Direct Labor Costs	18,000 hrs. x \$50.00/hr.	\$ 900,000.00
Overhead Burden	Direct Labor x 160%	\$ 1,440,000.00
Fee 10%	(Direct Labor + Overhead Burden) x 10%	\$ 234,000.00
<hr/>		
TOTAL ESTIMATED COST		\$2,574,000.00





**CONSULTANT: AECOM USA**      CONTR. NO: K86588      METRA PROJECT: K91048      P.E. NO:      INVOICE NO: 60155656-02  
 06/15/10  
 INVOICE PERIOD: START: 05/01/10  
 END: 05/28/10  
 INVOICE AMOUNT: \$ 71,441.21  
 ACCOUNT CODES:

**CONSULTANT ADDRESS:** 1178 PAYSHERE CIRCLE      CHICAGO, IL 60674  
**DESCRIPTION:** BNSF Belmont Ave Grade Separation - Downers Grove  
**TYPE OF SERVICES:** Grade Separation  
**PROJECT AMOUNT:** \$ 2,500,000.00  
**ADDITIONAL AMOUNT:** \$  
**ORIGINAL AMOUNT:** \$ 2,500,000.00  
**PROJECT END DATE:**

**CONTRACT AMOUNT:** \$ 2,500,000.00  
**MODIFICATIONS:** \$  
**ORIGINAL AMOUNT:** \$ 2,500,000.00  
**PROJECT END DATE:**

**METRA APPROVAL BOX**

u/28/10  
 BATCH # R9 VO # XDL 9152  
 VENDOR # 000 4327 607  
 1093 AREA/ACT/REF:  
 Ed 2933 5710 3003  
 HNP LLC P.O. # K 91048  
 TRMDUE 85 DISC. AMT.  
 ATT SP CK GIL ACT H  
 MAN GK # QK CK #  
 P.O. REL VER CLK ACC. 10/20-24/10  
 SUPRV. APPR. a/27/10

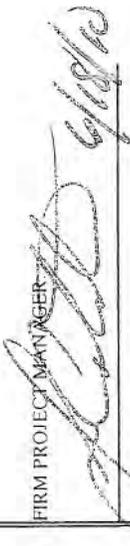
APPROVED ENGINEERING  
 7-1-10  
 BY: [Signature]  
 ACCT.

FIRM PROJECT MANAGER: [Signature] 6/18/10  
 APPROVAL/DATE: 2010 JUN 22 P 2:01  
 METRA PROJECT MANAGER: JOE OIT  
 APPROVAL/DATE:

PROJECT APPROVAL BOX  
 % OF WORK COMPLETED TO DATE: 3.12%  
 % OF WORK COMPLETED LAST PERIOD: 0.26%

CONSULTANT: AECOM USA CONTR. NO: K86588	METRA PROJECT: K91048 P.E. NO:	06/15/10 INVOICE NO: 60155656-02
CONSULTANT ADDRESS: 1178 PAYSPIHERE CIRCLE CHICAGO, IL 60674	DESCRIPTION: BNSF Belmont Ave Grade Separation - Downers Grove TYPE OF SERVICES: Grade Separation	INVOICE PERIOD: START: 05/01/10 END: 05/28/10
CONTRACT AMOUNT: \$ 2,500,000.00	PROJECT AMOUNT: \$ 2,500,000.00	INVOICE AMOUNT: \$ 71,441.21
MODIFICATIONS: \$	ADDITIONAL AMOUNT: \$	ACCOUNT CODES:
ORIGINAL AMOUNT \$ 2,500,000.00	ORIGINAL AMOUNT: \$ 2,500,000.00	
END DATE	PROJECT END DATE:	

**METRA APPROVAL BOX**

PROJECT APPROVAL BOX	
% OF WORK COMPLETED TO DATE:	3.12%
% OF WORK COMPLETED LAST PERIOD:	0.26%
FIRM PROJECT MANAGER: 	
APPROVAL/DATE	
METRA PROJECT MANAGER: JOE OTT	
APPROVAL/DATE	

CONTINUATION PAGE -

WORK ACCOMPLISHED THIS PERIOD

LIST TASKS:

% COMPLETE

WORK SCHEDULED NEXT PERIOD

LIST TASKS:

PROJECTED COST & SCHEDULE PROBLEMS

COST & SCHEDULE PROBLEMS THIS PERIOD:



A PROJECT DESCRIPTION	B 4400(\$)	C %	D EXPENDED AMOUNT	E REMAINING AMOUNT	F VENDOR	G 4400(\$)	H EXPENDED AMOUNT	I %
BNSF Belmont Ave Grade Separation - Downer	\$2,500,000.00	3.12%	78,044.17	\$ 2,421,955.83	APS CONSULTING	\$ 350,000.00	\$ -	0.00%
					CIVCON SERVICES	\$ 275,000.00	\$ 14,717.22	5.35%
	\$ -		\$ -	\$ -	URS	\$ 375,000.00	\$ -	0.00%
	\$ -		\$ -	\$ -	Wight	\$ 10,000.00	\$ -	0.00%
	\$ -		\$ -	\$ -		\$ -	\$ -	
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BLANKET CONTRACT SUMMARY

CONTRACT DBE SUMMARY

1. CONTRACT AMOUNT:	\$ 2,500,000.00	1. CONTRACT AMOUNT:	\$ 1,100,000.00
2. OBLIGATED TO DATE:	\$ 2,500,000.00	2. OBLIGATED TO DATE:	\$ 1,100,000.00
3. % OBLIGATED TO DATE:	100.00%	3. % OBLIGATED TO DATE:	100.00%
4. UNOBLIGATED FUNDS:	-	4. UNOBLIGATED TO FUNDS:	-
5. EXPENDED TO DATE:	\$ 78,044.17	5. EXPENDED TO DATE:	\$ 14,717.22
6. UNEXPENDED TO DATE:	\$ 2,421,955.83	6. UNEXPENDED TO DATE:	\$ 1,085,282.78

A	B	C	D	E	F	G	H	I
			4400 COSTS	BILLED TO DATE	PREVIOUSLY BILLED	CURRENT INVOICE AMOUNT	PROJECT BALANCE (D-F-G)	% COMPL
SUMMARY								
DIRECT LABOR			\$ 487,300.00	\$ 21,919.48	\$ 2,299.00	\$ 19,620.48	\$ 405,380.52	4.50%
BURDEN	161.10%		\$ 785,040.30	\$ 35,312.28	\$ 3,703.69	\$ 31,608.59	\$ 749,728.02	4.50%
SUBTOTAL DIRECT			\$ 1,272,340.30	\$ 57,231.76	\$ 6,002.69	\$ 51,229.07	\$ 1,215,108.54	4.50%
PROFIT	10%		\$ 127,234.03	\$ 5,723.18	\$ 600.27	\$ 5,122.91	\$ 121,510.85	4.50%
OTHER DIRECT:			\$ 425.67					
SUBTOTAL OTHER DIRECT:			\$ 425.67	\$ 372.01	\$ -	\$ 372.01	\$ 53.66	87.39%
SUBCONSULTANTS:								
DBE			\$ 625,000.00	\$ 14,717.22	\$ -	\$ 14,717.22	\$ 610,282.78	2.35%
OTHER			\$ 475,000.00	\$ -	\$ -	\$ -	\$ 475,000.00	0.00%
SUBTOTAL SUBCONSULTANTS			\$ 1,100,000.00	\$ 14,717.22	\$ -	\$ 14,717.22	\$ 1,085,282.78	1.34%
TOTAL PROJECT			\$ 2,500,000.00	\$ 78,044.17	\$ 6,602.96	\$ 71,441.21	\$ 2,421,955.83	3.12%
LESS PREVIOUS PAYMENT			\$ 6,602.96	\$ 6,602.96	\$ 6,602.96			
BALANCE DUE			\$ 2,421,955.83	\$ 71,441.21	\$ -	\$ 71,441.21	\$ 2,421,955.83	

METRA CONTRACT NO: K91048

DBE COMPANY	DBE CONTRACT AMOUNT	THIS PERIOD INVOICE AMOUNT OR DATE WHEN DBE WILL START WORK	PREVIOUS PAYMENTS TOTAL TO DBE	AMOUNT REMAINING IN DBE CONTRACT
APS CONSULTING	350,000.00	-		350,000.00
CIVCON SERVICES	275,000.00	14,717.22		260,282.78
URS, INC.	375,000.00	-		375,000.00
WIGHT & COMPANY	100,000.00	-		100,000.00
<b>TOTAL FOR THIS CONTRACT</b>	1,100,000.00	14,717.22	-	1,085,282.78

**NOTES:**

**SEE ATTACHED WORKSHEET FOR DETAILS OF THE PROJECTS UNDER THIS CONTRACT**

AECOM TECHNOLOGY CORPORATION  
Employee Timesheet

Timecard Period : 01-MAY-10 - 07-MAY-10  
 Organization : 46.CTE INC.USCH01,1015  
 Assign Category : A - Full Time  
 Employee Category : Exempt  
 Work Schedule :  
 Employee Name : Catalano, Joseph R  
 Employee Number : 637455

Project	Task	Type	SAT 01-MAY	SUN 02-MAY	MON 03-MAY	TUE 04-MAY	WED 05-MAY	THUR 06-MAY	FRI 07-MAY	Total
04601070 Midwest Office Administration	1015 OFFICE ADMIN 1015	Regular Hrs	0.00	0.00	3.00	3.00	1.00	2.00	3.00	12.00
04601070 Midwest Office Administration	1018 OFFICE ADMIN 1018	Regular Hrs	0.00	0.00	2.00	2.00	3.00	2.00	3.00	12.00
04601264 MW Hwy Bridge-B&P-IL, IN,OH,MI	0055 Illinois Tollway	Regular Hrs	0.00	0.00	0.00	1.00	0.00	1.00	0.00	2.00
04601793 MW Reg. - Hwy Bridge - S&A	0001 General Overhead	Regular Hrs	0.00	0.00	1.00	1.00	0.00	2.00	0.00	4.00
60039558 Assist Bureau of Admin/Plan	0001 Assist CDOT/ADMIN	Regular Hrs	0.00	0.00	0.00	1.00	0.00	1.00	0.00	2.00
60049849 R-60110596-441027 CONSTR ENGR	0002 ADMIN & MANAGEMENT	Regular Hrs	0.00	0.00	1.00	0.00	1.00	0.00	0.00	2.00
60147816 Mannheim Rd. Bldg. Replacement	01 QA/QC AECOM	Regular Hrs	0.00	0.00	1.00	0.00	1.00	0.00	0.00	2.00
60159256 BNSF BELMONT GRADE SEPARATION	1000 CM SERVICES	Regular Hrs	0.00	0.00	0.00	0.00	2.00	0.00	0.00	2.00
<b>Total:</b>			0.00	0.00	8.00	8.00	8.00	8.00	8.00	40.00

Catalano, Joseph R  
 Employee Signature

Lucas, Mark M  
 Approver Signature

Total Regular Hours : 40.00  
 Total Overtime Hours : 0.00  
 Total Non-Worked Hours : 0.00

AECOM TECHNOLOGY CORPORATION  
Employee Timesheet

Timecard Period : 01-MAY-10 - 07-MAY-10  
 Organization : 46.CTE INC USCHG1.1018  
 Assign Category : A - Full Time  
 Employee Category : Exempt  
 Work Schedule :  
 Employee Name : O'Connor, Kathleen N (Katie)  
 Employee Number : 657533

Project : 60131714 106444-WASHINGTON & 75TH STREET  
 Task : 02 RESIDENT ENGINEER  
 1000 CM SERVICES

Total: 0.00 0.00 0.00 8.00 8.00 8.00 8.00 8.00 8.00 8.00 8.00 40.00

O'Connor, Kathleen N (Katie)

Employee Signature

Approver For Employee Signature

Catalano, Joseph R

Approver Signature

Total Regular Hours : 40.00  
 Total Overtime Hours : 0.00  
 Total Non-Worked Hours: 0.00

Total  
 16.00  
 24.00

AECOM TECHNOLOGY CORPORATION  
Employee Timest

Timescard Period : 01-MAY-10 - 07-MAY-10  
 Organization : 46.CTE INC.USCHGI.1018  
 Assign Category : A - Full Time  
 Employee Category : Exempt  
 Work Schedule :

Employee Name : Powers, James I  
 Employee Number : 637537

Project :  
 60155656 BNSF BELMONT GRADE SEPARATION Task  
 60155656 BNSF BELMONT GRADE SEPARATION 1000 CM SERVICES  
 1000 CM SERVICES

SAT	SUN	MON	TUE	WED	THUR	FRI
01-MAY	02-MAY	03-MAY	04-MAY	05-MAY	06-MAY	07-MAY
0.00	0.00	1.00	1.00	1.00	1.00	1.00
0.00	0.00	8.00	8.00	8.00	8.00	8.00
						5.00
						40.00

Total: 0.00 0.00 9.00 9.00 9.00 9.00 9.00 45.00

-----  
 Employee Signature : Seals, Michelle  
 -----  
 Approver For Employee Signature : Seals, Michelle  
 -----  
 Approver Signature :  
 -----

Total Regular Hours : 40.00  
 Total Overtime Hours : 5.00  
 Total Non-Worked Hours: 0.00

AECOM TECHNOLOGY CORPORATION  
Employee Timeshe

08-MAY-10 - 14-MAY-10  
46.DMOM+HARRIS INC. USCHSI.1294  
A - Full Time  
Exempt

Employee Name : Buchko, Duane E  
Employee Number : 637829

Project :  
C4601338 MA Hwy Bridge -B&P-Metro DC/MO  
0312273 90819-C/HARE DESIGN-JV BRIDGE  
0312273 90819-C/HARE DESIGN-JV BRIDGE  
0312273 90819-C/HARE DESIGN-JV BRIDGE  
0314590 IL Tollway 2010 GEC ITS  
4155556 BNSF BELMONT GRADE SEPARATION

Task :  
0001 B&P General  
17 CENTRAL DESIGN PACKA  
18 CARGO TUNNEL MOD  
19 PROJECT MANAGEMENT  
01.001230 Unmanned Pilz-Generat  
1000 CM SERVICES

SAT	SUN	MON	TUE	WED	THUR	FRI	Total
08-MAY	09-MAY	10-MAY	11-MAY	12-MAY	13-MAY	14-MAY	
0.00	0.00	2.00	0.00	4.00	2.00	2.00	10.00
0.00	0.00	0.00	2.00	0.00	2.00	0.00	4.00
0.00	0.00	2.00	0.00	0.00	0.00	0.00	2.00
0.00	0.00	0.00	2.00	2.00	4.00	4.00	15.00
0.00	0.00	0.00	0.00	0.00	0.00	2.00	2.00
0.00	0.00	0.00	4.00	2.00	0.00	0.00	6.00
0.00	0.00	0.00	4.00	2.00	0.00	0.00	6.00

Total: 0.00 0.00 8.00 8.00 8.00 8.00 40.00

Buchko, Duane E  
Employee Signature

Seals, Michelle  
Approver Signature

Total Regular Hours : 40.00  
Total Overtime Hours : 0.00  
Total Non-Worked Hours : 0.00

AECOM TECHNOLOGY CORPORATION

Employee Timesheet

Timecard Period : 08-MAY-10 - 14-MAY-10  
 Organization : 46.CTE INC.USCHG1.1015  
 Assign Category : A - Full Time  
 Employee Category : Exempt  
 Work Schedule :

Employee Name : Catalano, Joseph R  
 Employee Number : 637458

Project :  
 04601070 Midwest Office Administration  
 04601070 Midwest Office Administration  
 04601554 MW Hwy Bridge-B&P-IL, IN,OH,MI  
 04601554 MW Hwy Bridge-B&P-IL, IN,OH,MI  
 04601733 MW Reg. - Hwy Bridge - G&A  
 60039558 Assist Bureau of Admin/Plan  
 60049849 R-60019596-441027 CONSTR ENGR  
 60145090 IL Tollway 2010 GEC TS  
 60147816 Mannheim Rd. Brdg. Replacement  
 60155656 BNSF BELMONT GRADE SEPARATION

Task :  
 1015 OFFICE ADMIN 1015  
 1018 OFFICE ADMIN 1018  
 0055 Illinois Tollway  
 0034 IDOT P/B 156  
 0001 General Overhead  
 0001 Assist CDOT/ADMIN  
 0002 ADMIN & MANAGEMENT  
 02.000002 Multi-Yr Prog Dev  
 01 QA/QC AECOM  
 1000 CM SERVICES

Type	SAT 08-MAY	SUN 09-MAY	MON 10-MAY	TUE 11-MAY	WED 12-MAY	THUR 13-MAY	FRI 14-MAY	Total
Regular Hrs	0.00	0.00	2.00	2.00	3.00	2.00	1.00	10.00
Regular Hrs	0.00	0.00	3.00	1.00	2.00	1.00	1.00	8.00
Regular Hrs	0.00	0.00	0.00	2.00	0.00	0.00	0.00	2.00
Regular Hrs	0.00	0.00	1.00	2.00	1.00	1.00	0.00	5.00
Regular Hrs	0.00	0.00	0.00	0.00	0.00	2.00	0.00	2.00
Regular Hrs	0.00	0.00	0.00	1.00	0.00	1.00	0.00	2.00
Regular Hrs	0.00	0.00	1.00	0.00	1.00	0.00	0.00	2.00
Regular Hrs	0.00	0.00	0.00	0.00	0.00	0.00	6.00	6.00
Regular Hrs	0.00	0.00	0.00	0.00	1.00	1.00	0.00	2.00
Regular Hrs	0.00	0.00	1.00	0.00	0.00	0.00	0.00	1.00
Total:	0.00	0.00	8.00	8.00	8.00	8.00	8.00	40.00

Catalano, Joseph R

Employee Signature

Lucas, Mark M

Approver Signature

Total Regular Hours : 40.00  
 Total Overtime Hours : 0.00  
 Total Non-Worked Hours : 0.00

AECOM TECHNOLOGY CORPORATION  
Employee Timeshe

Timecard Period : 08-MAY-10 - 14-MAY-10  
 Organization : 46.CTE INC.USCHG1.1015  
 Assign Category : A - Full Time  
 Employee Category : Exempt  
 Work Schedule :  
 Employee Name : Nash, Cheryl M  
 Employee Number : 637533

Project :  
 04501070 Midwest Office Administration  
 04549801 R-44140781-44140781 WD/IF/RR/  
 02098028 MWS-HERITAGE PK CONCEPT DSN  
 00345080 IL Tollway 2010 DEC TS  
 00145080 IL Tollway 2010 DEC TS  
 00145080 IL Tollway 2010 DEC TS  
 02155856 BNSF BELMONT GRADE SEPARATION  
 00155877 71st Street Grade Separation

Task :  
 1015 OFFICE ADMIN 1015  
 1100.0100 DRAFT REPORT  
 04 WELAND PERMIT-ET  
 01.0000004 Guidelines&Criteria  
 01.0000110 NPDES Permit  
 01.0004037 Env Std Upd Reg  
 1000 CM SERVICES  
 07.10 Env-PSI

SAT 08-MAY	SUN 09-MAY	MON 10-MAY	TUE 11-MAY	WED 12-MAY	THUR 13-MAY	FRI 14-MAY	Total
0.00	0.00	8.00	4.00	1.00	1.00	0.00	14.00
0.00	0.00	0.00	0.00	3.00	0.00	2.00	5.00
0.00	0.00	0.00	0.00	0.00	0.00	3.00	3.00
0.00	0.00	0.00	0.00	2.00	0.00	0.00	2.00
0.00	0.00	0.00	0.00	0.00	2.00	0.00	2.00
0.00	0.00	0.00	4.00	2.00	4.00	0.00	10.00
0.00	0.00	0.00	0.00	0.00	0.00	3.00	3.00
0.00	0.00	0.00	0.00	0.00	1.00	0.00	1.00
Total:							40.00

Total: 0.00 6.00 8.00 8.00 8.00 8.00 8.00 40.00

Nash, Cheryl M

Employee Signature

Smith, Brian J

Approver Signature

Total Regular Hours : 40.00  
 Total Overtime Hours : 0.00  
 Total Non-Marked Hours: 0.00

AECOM TECHNOLOGY CORPORATION  
Employee Timesheet

Timecard Period : 08-MAY-10 - 14-MAY-10  
 Organization : 46.CTE INC.USCHG1.1018  
 Assign Category : A - Full Time  
 Employee Category : Exempt  
 Work Schedule :

Employee Name : O'Connor, Kathleen N (Katie)  
 Employee Number : 657533

Project : 04601001 46.ATG-Fringe Hours  
 60131714 106444-WASHINGTON & 75TH STREE  
 60155656 BNSF BELMONT GRADE SEPARATION

Task : 10 PTO  
 02 RESIDENT ENGINEER  
 1000 CM SERVICES

Type	SAT 08-MAY	SUN 09-MAY	MON 10-MAY	TUE 11-MAY	WED 12-MAY	THUR 13-MAY	FRI 14-MAY	Total
PTO	0.00	0.00	0.00	0.00	8.00	8.00	8.00	24.00
Regular Hrs	0.00	0.00	0.00	0.00	0.00	0.00	0.00	0.00
Regular Hrs	0.00	0.00	8.00	0.00	0.00	0.00	0.00	8.00

Total: 0.00 0.00 8.00 8.00 8.00 8.00 8.00 40.00

O'Connor, Kathleen N (Katie)  
 Employee Signature

Catalano, Joseph R  
 Approver Signature

Total Regular Hours : 16.00  
 Total Overtime Hours : 0.00  
 Total Non-Worked Hours: 24.00

AECOM TECHNOLOGY CORPORATION  
Employee Timesheet

Timecard Period : 08-MAY-10 - 14-MAY-10  
 Organization : 46.CIE INC.USCHG1.1018  
 Assign Category : A - Full Time  
 Employee Category : Exempt  
 Work Schedule :

Employee Name : Powers, James T  
 Employee Number : 637537

Project :  
 60155656 BNSF BELMONT GRADE SEPARATION  
 60155656 BNSF BELMONT GRADE SEPARATION

Task :  
 1000 CM SERVICES  
 1000 CM SERVICES

Type	SAT	SUN	MON	TUE	WED	THUR	FRI	Total
OT Straight Time Hrs	0.00	0.00	0.00	1.00	1.00	1.00	1.00	4.00
Regular Hrs	0.00	0.00	8.00	8.00	8.00	8.00	8.00	40.00

Total: 0.00 0.00 8.00 9.00 9.00 9.00 9.00 44.00

Seals, Michelle

Approver For Employee Signature

Employee Signature

Total Regular Hours : 40.00  
 Total Overtime Hours : 4.00  
 Total Non-Worked Hours: 0.00

AECOM TECHNOLOGY CORPORATION  
Employee Timesheet

15-MAY-10 - 21-MAY-10  
46.DJMHARRIS\_INC.USCHGI.1294  
A - Full Time  
Exempt

Buchko, Duane E  
637829

Project	Task	Type	SAT 15-MAY	SUN 16-MAY	MON 17-MAY	TUE 18-MAY	WED 19-MAY	THUR 20-MAY	FRI 21-MAY	Total
04631001 46.ATG Fringe Hours	10 PTO	PTO	0.00	0.00	0.00	0.00	0.00	0.00	0.00	8.00
04631504 MW Hwy Bridge-B&P-IL, IN,OR,MI	0055 Illinois Tollway	Regular Hrs	0.00	0.00	0.00	0.00	2.00	0.00	0.00	2.00
04631733 NW Reg. - Hwy Bridge - GAA	0001 General Overhead	Regular Hrs	0.00	0.00	4.00	2.00	0.00	0.00	0.00	6.00
04632588 Traffic Signals and Proc	2096 Bridge Veil., Clear	Regular Hrs	0.00	0.00	0.00	0.00	2.00	0.00	0.00	2.00
50132273 90819-0/HARE DESIGN-JV BRIDGE	19 PROJECT MANAGEMENT	Regular Hrs	0.00	0.00	4.00	2.00	2.00	4.00	0.00	12.00
50145090 IL Tollway 2010 GEO TS	01.001230 Unmanned Plz-Generat	Regular Hrs	0.00	0.00	0.00	2.00	0.00	0.00	0.00	2.00
60155656 BNSF BELMONT GRADE SEPARATION	1000 CM SERVICES	Regular Hrs	0.00	0.00	0.00	2.00	2.00	4.00	0.00	8.00

Total: 0.00 0.00 8.00 8.00 8.00 8.00 40.00

Buchko, Duane E

Employee Signature

Casalino, Denise M

Approver Signature

Total Regular Hours : 32.00  
Total Overtime Hours : 0.00  
Total Non-Marked Hours: 8.00

AECOM TECHNOLOGY CORPORATION  
Employee Timesheet

Timesheet Period : 15-MAY-10 - 21-MAY-10  
 Organization : 46.CTE INC.USCHG1.1015  
 Assign Category : A - Full Time  
 Employee Category : Exempt  
 Work Schedule :

Employee Name : Catalano, Joseph R  
 Employee Number : 637459

Project :  
 04601070 Midwest Office Administration  
 04601070 Midwest Office Administration  
 34601584 MW Hwy Bridge-B&P-IL, IN, OH, MI  
 34601584 MW Hwy Bridge-B&P-IL, IN, OH, MI  
 04601793 MW Req. - Hwy Bridge - G&A  
 60332538 Assaist Bureau of Admin/Plan  
 60049849 R-60019596-441027 CONSTR ERGR  
 60102058 PTB 152-003 CM Services  
 60147816 Mannheim Rd. Bldg. Replacement  
 60155656 BNSF BELMONT GRADE SEPARATION

Task :  
 1015 OFFICE ADMIN 1015  
 1018 OFFICE ADMIN 1018  
 0055 Illinois Tollway  
 6034 IGGT PTB 156  
 0001 General Overhead  
 0001 Assist CDOT/ADMIN  
 0002 ADMIN & MANAGEMENT  
 01 Project Principal  
 01 QA/QC AECOM  
 1000 CM SERVICES

Type :  
 Regular Hrs  
 Regular Hrs

SAT 15-MAY	SUN 16-MAY	MON 17-MAY	TUE 18-MAY	WED 19-MAY	THUR 20-MAY	FRI 21-MAY	Total
0.00	0.00	1.00	3.00	1.00	2.00	2.00	9.00
0.00	0.00	1.00	2.00	1.00	3.00	2.00	9.00
0.00	0.00	1.00	0.00	1.00	0.00	0.00	2.00
0.00	0.00	1.00	1.00	1.00	1.00	1.00	5.00
0.00	0.00	1.00	0.00	1.00	0.00	0.00	2.00
0.00	0.00	1.00	0.00	1.00	1.00	0.00	2.00
0.00	0.00	1.00	1.00	0.00	1.00	0.00	2.00
0.00	0.00	1.00	0.00	0.00	1.00	0.00	2.00
0.00	0.00	1.00	0.00	0.00	1.00	0.00	2.00
0.00	0.00	1.00	0.00	0.00	0.00	3.00	4.00
0.00	0.00	1.00	0.00	2.00	0.00	0.00	3.00
Total:							40.00

Catalano, Joseph R  
 Employee Signature

Lucas, Mark M  
 Approver Signature

Total Regular Hours : 40.00  
 Total Overtime Hours : 0.00  
 Total Non-Worked Hours : 3.00

AECOM TECHNOLOGY CORPORATION  
Employee Timesheet

Timecard Period : 15-MAY-10 - 21-MAY-10  
 Organization : 46.CTE INC.USCHCL1.1018  
 Assign Category : A - Full Time  
 Employee Category : Exempt  
 Work Schedule :

Employee Name : Fowers, James T  
 Employee Number : 637537

Project : 60155656 BNSF BELMONT GRADE SEPARATION  
 Task : 1000 CM SERVICES  
 1000 CM SERVICES

SAT	SUN	MON	TUE	WED	THUR	FRI	Total
15-MAY	16-MAY	17-MAY	18-MAY	19-MAY	20-MAY	21-MAY	
0.00	0.00	0.00	1.00	1.00	1.00	1.00	4.00
0.00	0.00	8.00	8.00	8.00	8.00	8.00	40.00

Total: 0.00 0.00 8.00 9.00 9.00 9.00 9.00 44.00

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 Seals, Michelle  
 Approver For Employee Signature

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 Employee Signature  
 Total Regular Hours : 40.00  
 Total Overtime Hours : 4.00  
 Total Non-Worked Hours: 0.00

AECOM TECHNOLOGY CORPORATION  
Employee TimeShe

22-MAY-10 - 28-MAY-10  
46.CTE INC.USCHGI.1015  
A - Full Time  
Exempt

Timecard Period  
Organization  
Assign Category  
Employee Category  
Work Schedule

Catalano, Joseph R  
637458

Employee Name  
Employee Number

Subject  
34603070 Midwest Office Administration  
34603070 Midwest Office Administration  
44601584 MW Hwy Bridge-B&P-IL, IN, OH, MI  
04601584 MW Hwy Bridge-B&P-IL, IN, OH, MI  
04601584 MW Hwy Bridge-B&P-IL, IN, OH, MI  
00032558 Assist Bureau of Admin/Plan  
50942849 R-63619596-441027 CONSTR ENGR  
60103058 FTB 152-003 CM Services  
60145080 IL Tollway 2010 GEC TS  
60155656 BNSF BELMONT GRADE SEPARATION

Task  
1015 OFFICE ADMIN 1015  
1018 OFFICE ADMIN 1018  
0055 Illinois Tollway  
0057 RCHA Areas 10-12  
0094 IDOT FTB 156  
0001 Assist CDOT/ADMIN  
0002 ADMIN & MANAGEMENT  
01 Project Principal  
02.000002 Multi-Yr Prog Dev  
1000 CM SERVICES

Type  
Regular Hrs  
Regular Hrs

SAT 22-MAY	SUN 23-MAY	MON 24-MAY	TUE 25-MAY	WED 26-MAY	THUR 27-MAY	FRI 28-MAY	Total
0.00	0.00	2.00	2.00	0.00	2.00	3.00	9.00
0.00	0.00	2.00	2.00	0.00	2.00	3.00	9.00
0.00	0.00	0.00	0.00	5.00	0.00	0.00	5.00
0.00	0.00	1.00	0.00	0.00	0.00	0.00	1.00
0.00	0.00	2.00	2.00	2.00	0.00	0.00	6.00
0.00	0.00	0.00	1.00	0.00	1.00	0.00	2.00
0.00	0.00	1.00	0.00	1.00	0.00	0.00	2.00
0.00	0.00	0.00	1.00	0.00	1.00	0.00	2.00
0.00	0.00	0.00	0.00	0.00	0.00	2.00	2.00
0.00	0.00	1.00	0.00	1.00	0.00	0.00	2.00
Total:							40.00

Total: 0.00 0.00 9.00 8.00 9.00 6.00 8.00 40.00

Catalano, Joseph R  
Employee Signature

Smiley, Irwin C  
Approver Signature

Total Regular Hours : 40.00  
Total Overtime Hours : 0.00  
Total Non-Worked Hours: 0.00

AECOM TECHNOLOGY CORPORATION  
Employee Timsheet

22-MAY-10 - 28-MAY-10  
46.CTE INC.USCMGT.1018  
A - Full Time  
Exempt  
O'Connor, Kathleen N (Katie)  
657533

Timescard Period  
Organization  
Assign Category  
Employee Category  
Work Schedule  
Employee Name  
Employee Number

Project  
00131714 106444-WASHINGTON & 75TH STREE  
00131714 106444-WASHINGTON & 75TH STREE  
00145080 IL Tollway 2010 SEC IS  
20151050 EMP BELMONT GRADE SEPARATION

Task  
02 RESIDENT ENGINEER  
02 RESIDENT ENGINEER  
02.000002 Multi-Yr Prog Dev  
1000 CM SPRAYERS

Type  
Of Straight Time Hrs  
Regular Hrs  
Regular Hrs  
Regular Hrs

SAT 22-MAY 0.00  
SUN 23-MAY 0.00  
MON 24-MAY 0.00  
TUE 25-MAY 1.00  
WED 26-MAY 0.00  
THUR 27-MAY 2.50  
FRI 28-MAY 0.00  
Total: 43.50

O'Connor, Kathleen N (Katie)  
Employee Signature

Catalano, Joseph R  
Approver Signature

Total Regular Hours : 40.00  
Total Overtime Hours : 3.50  
Total Non-Worked Hours : 0.00

1.00  
23.00

AECOM TECHNOLOGY CORPORATION  
Employee Timeshr

22-MAY-10 - 28-MAY-10  
46.CIE INC.USCHG1.1018  
A - Full Time  
Exempt  
Work Schedule

Fowers, James T  
637537

Task  
1000 CM SERVICES  
1000 CM SERVICES

Project  
60155656 BNSF BELMONT GRADE SEPARATION  
60155656 BNSF BELMONT GRADE SEPARATION

Type	SUN 23-MAY	MON 24-MAY	TUE 25-MAY	WED 26-MAY	THUR 27-MAY	FRI 28-MAY	Total
OT Straight Time Hrs	0.00	0.00	1.00	1.00	1.00	0.00	3.00
Regular Hrs	0.00	8.00	8.00	8.00	8.00	8.00	40.00
<b>Total:</b>	<b>0.00</b>	<b>8.00</b>	<b>9.00</b>	<b>9.00</b>	<b>9.00</b>	<b>8.00</b>	<b>43.00</b>

Seals, Michelle  
Approver Signature

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Employee Signature  
-----  
Seals, Michelle  
-----  
Approver For Employee Signature  
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Total Regular Hours : 40.00  
Total Overtime Hours : 3.00  
Total Non-Worked Hours: 0.00



**IAECOM**

EMPLOYEE EXPENSE REPORT

Employee No. 637537  
 Employee Name Powers, James T.

ALIS Help Desk / (866) 823-AMRS

Line No.	Total Meals (Excluding Alcohol)	Alcohol	Entertainment	Business Meetings	Parking	Phones / Cell / Fax	All Others	Others Amount	Total
1	0.00	0.00				OFF-Office Equipment		362.05	362.05
2	0.00	0.00				Select Expenditure Type		0.00	0.00
3	0.00	0.00				Select Expenditure Type		0.00	0.00
4	0.00	0.00				Select Expenditure Type		0.00	0.00
5	0.00	0.00				Select Expenditure Type		0.00	0.00
6	0.00	0.00				Select Expenditure Type		0.00	0.00
7	0.00	0.00				Select Expenditure Type		0.00	0.00
8	0.00	0.00				Select Expenditure Type		0.00	0.00
9	0.00	0.00				Select Expenditure Type		0.00	0.00
10	0.00	0.00				Select Expenditure Type		0.00	0.00
11	0.00	0.00				Select Expenditure Type		0.00	0.00
12	0.00	0.00				Select Expenditure Type		0.00	0.00
13	0.00	0.00				Select Expenditure Type		0.00	0.00
14	0.00	0.00				Select Expenditure Type		0.00	0.00
15	0.00	0.00				Select Expenditure Type		0.00	0.00
16	0.00	0.00				Select Expenditure Type		0.00	0.00
17	0.00	0.00				Select Expenditure Type		0.00	0.00
18	0.00	0.00				Select Expenditure Type		0.00	0.00
19	0.00	0.00				Select Expenditure Type		0.00	0.00
20	0.00	0.00				Select Expenditure Type		0.00	0.00
21	0.00	0.00				Select Expenditure Type		0.00	0.00
22	0.00	0.00				Select Expenditure Type		0.00	0.00
23	0.00	0.00				Select Expenditure Type		0.00	0.00
24	0.00	0.00				Select Expenditure Type		0.00	0.00
25	0.00	0.00				Select Expenditure Type		0.00	0.00
Total	0.00	0.00	0.00	0.00	0.00			362.05	362.05

1	DVD Camcorder / DVD's / Case	0.00
2		0.00
3		0.00
4		0.00
5		0.00
Total		0.00



4: 31 Reg: 15 Gordon, Shaunteka T, Inley Road 133417  
 10) 390-2100 FAX: (630) 390-2118  
 38400607  
 WERS



VOICE#: 4524376 F3 M2  
 HANT: 17218802894

XXXXXXXX9366 MASTER CARD  
 WERS/JAMES

5: \$362.05 034757 03005563  
 243 SONY DCRDV650 1 @ 299.00 D5 T  
 SONY DCRDV650  
 DVD VIDEO CAMCORDER Asc: 139118  
 60X OPT ZM, 2.7" LCD  
 CARL ZEISS LENS

Ser: PSC DECLINED  
 J749 SONY 100MR30RS1 1 @ 14.95 D5 T  
 SONY 100MR30RS1P Asc: 139118  
 BCM DVD-R MEDIA  
 10 PACK W/ NEOPRENE CASE  
 5763982 LOWEPRO EDIT 13 1 @ 21.24 D5 T  
 LOWEPRO EDIT 130 BLUE Asc: 139118  
 CAMCORDER BAG  
 LIGHTWEIGHT, COMPACT

SUBTOTAL 335.2  
 SALES TAX @ 8.00% 26.8  
 TOTAL DUE 362.0

CARD XXXXXXXXXXXX9366 362.0  
 TOTAL TENDER 362.0  
 CHANGE DUE

362.05

Owner: Powers, Jim

Conference	Date	Time	Attendees	Minutes	Total Charges
72543454	04/28/10	15:44 ET	2	4	\$0.10

Reserved By , Reservationless-Plus

Project Accounting Code: 04601070.1018

Connect	Attendee	Call Number	Type	Minutes	Charge
15:46 ET	eRes-Plus - 3124464205		US/R8	1	\$0.02
15:44 ET	eRes-Plus - 6309632247 LDR		US/R8	3	\$0.06
State & Local Taxes and Fees					\$0.02

Conference	Date	Time	Attendees	Minutes	Total Charges
72754370	04/29/10	11:49 ET	2	6	\$0.17

Reserved By , Reservationless-Plus

Project Accounting Code: 04601070.1018

Connect	Attendee	Call Number	Type	Minutes	Charge
11:51 ET	eRes-Plus - 3129071994		US/R8	2	\$0.04
11:49 ET	eRes-Plus - 6309632247 LDR		US/R8	4	\$0.08
State & Local Taxes and Fees					\$0.05

Conference	Date	Time	Attendees	Minutes	Total Charges
73042592	04/30/10	10:37 ET	6	356	\$9.89

Reserved By , Reservationless-Plus

Project Accounting Code: 04601070.1018

Connect	Attendee	Call Number	Type	Minutes	Charge
10:37 ET	eRes-Plus - 6309632247 LDR		US/R8	77	\$1.54
10:55 ET	eRes-Plus - 7089245421		US/R8	59	\$1.18
11:00 ET	eRes-Plus - 7637823000		US/R8	54	\$1.08
11:01 ET	eRes-Plus - 7637823000		US/R8	52	\$1.04
10:59 ET	eRes-Plus - 8157418524		US/R8	55	\$1.10
10:55 ET	eRes-Plus - 9139917898		US/R8	59	\$1.18
State & Local Taxes and Fees					\$2.57

60155656.1000





230 West Monroe, Suite 340  
 Chicago, IL 60606  
 P: 312-379-2220  
 F: 312-379-2225

To: Mr. Joseph R. Calolano, P.E.  
 Associate Vice President  
 AECOM  
 303 East Wacker Drive, Suite 600  
 Chicago, IL 60601-5276

CivCon Invoice No.: 10-05-28  
 Invoice Date: 6/3/2010  
 Invoice Period: 5/1/2010 - 5/28/2010

Project Name: AECOM/Metra Belmont Road Grade Separation  
 Contract No. K91048

	<u>This Period</u>	<u>Prev. Invoiced</u>	<u>Total to Date</u>
(1) Invoice Period - May 1, 2010 through May 28, 2010			
(2) Maximum Payable			\$ 275,000.00
(3) Direct Salaries to Date per Attached Tabulation	\$ 6,354.00	\$ -	\$ 6,354.00
(4) Payroll Burden and Overhead - 102.66%	\$ 6,523.02	\$ -	\$ 6,523.02
(5) Other Direct Salaries per Attached Tabulation	\$ -	\$ -	\$ -
(6) Profit - 0.1 x((3)+(4))	\$ 1,287.70	\$ -	\$ 1,287.70
(7) <b>SUBTOTAL</b>	\$ 14,164.72	\$ -	\$ 14,164.72
(8) Direct Costs	\$ 552.50	\$ -	\$ 552.50
(9) PAYMENT DUE THIS INVOICE	\$ 14,717.22	\$ -	\$ 14,717.22

I certify that the percent of work shown as completed on this invoice is correct  
 Subconsultant: CivCon Services, Inc.

By:

Jorge Moreno

Approved for Payment  
 60155656 - 1000  
 By: P. Barros 6/18/10

Name	Description	Rate	Hours	Total
Adel Gholch	Field Inspector	36.00	176.5	6,354.00
Current Invoiced Direct Labor				176.5
Previously Invoiced Direct Labor				\$ -
Total to date				\$ 6,354.00

	Quantity	Unit Price	Total
DIRECT COST, TRAVEL & IN PLANT			
Mileage	1105	0.5	\$ 552.50
Meals			\$ -
Cellular Phone usage			\$ -
Messenger/Postage			\$ -
Miscellaneous			\$ -
Total Direct Cost this period			\$ 552.50
Previously Invoiced Direct Cost, Travel & In-Plant			\$ -
Total Direct Cost			\$ 552.50



*The way to really fly.*

# **REQUEST FOR PROPOSAL**

**REVENUE ACCOUNTING SYSTEM  
SOFTWARE, HARDWARE AND IMPLEMENTATION SERVICES**

**RFP NUMBER: 93447**

**PROPOSAL DUE DATE: 1/08/2009**

Northeast Illinois Regional Commuter Railroad Corporation D/B/A Metra  
Professional Services/Contracts  
547 West Jackson Boulevard  
Chicago, IL 60661

## Table of Contents

<b>1</b>	<b>Background and Objectives .....</b>	<b>4</b>
1.1	Metra Overview .....	4
1.2	Project Background.....	4
1.3	Purpose and Goals.....	6
1.4	Future State Vision .....	7
<b>2</b>	<b>Current State .....</b>	<b>9</b>
2.1	Current State Description.....	9
2.2	Metra Specific Challenges .....	19
<b>3</b>	<b>Future State High-Level Design and Capabilities .....</b>	<b>22</b>
3.1	Logical Architecture .....	22
3.2	Business and Technical Functions .....	31
<b>4</b>	<b>Technical Standards .....</b>	<b>33</b>
4.1	Hardware and Network Environment .....	33
4.2	Applications and Database Environment.....	33
4.3	Minimum Technical Requirements.....	34
<b>5</b>	<b>Scope of Services .....</b>	<b>37</b>
5.1	General Description .....	37
5.2	Roadmap .....	38
5.3	Approach.....	38
5.4	Hardware and Software.....	41
5.5	Implementation Services.....	41
5.6	Maintenance and Support .....	45
5.7	System Disposition .....	47

---

5.8 Integration Services .....50

5.9 Training Services .....53

5.10 Project Assumptions .....53

5.11 Cost Proposal .....55

**6 Proposal Format and Instructions .....56**

6.1 General Instructions .....56

6.2 Proposal Format .....56

6.3 Minimum Requirements .....58

6.4 Key Events Schedule .....58

6.5 Written Question Instructions .....59

6.6 Proposal Submission Instructions .....59

6.7 Statement of Offer .....60

**7 Evaluation Process .....61**

7.1 Selection Criteria .....61

7.2 Selection Process .....61

**8 Exhibits .....63**

**9 Appendix .....64**

## 7 Evaluation Process

All proposals, which meet the minimum requirements, will be evaluated by Metra which reserves the right to select a firm on the basis of the greatest benefit to Metra. Proposals must be complete and adhere to the required format and instructions to be considered.

### 7.1 Selection Criteria

For the evaluation process, Foundation I will be the primary basis for evaluation; however the completeness of the overall solution including Downtown POS (Option 1) and Foundation II (Option 2) will influence the choice for the successful Proposer. Metra reserves the right to implement all or none of the options. Metra's recommendation for a contract award will be based on the following criteria in descending order of importance:

1. Quality and soundness of proposed solution, approach and work plan
2. Firm's previous experience with projects of similar scope and size that demonstrate firm's ability and expertise
3. Cost proposal
4. Consideration of proposed solution to Metra specific challenges

Should negotiations occur with a Proposer, Metra will issue an invitation to submit a "Best and Final Offer" to those Proposers remaining in the competitive range. Metra will award a contract to the responsible Proposer whose offer conforms to the requirements of the RFP and is the most advantageous to Metra.

### 7.2 Selection Process

All four (4) criteria listed under the Evaluation Process for this RFP will be used in the evaluation process to determine the highest ranked Proposer(s). All proposals will be evaluated solely by Metra, which reserves the right to select the highest ranked firm(s) on the basis of what is in Metra's best interest and/or gives the greatest benefits to Metra. Metra will solely be responsible in determining what is in its best interest and what provides Metra the greatest benefits. Proposer may be required to do scripted demos of the software proposed and presentations (either on or off Metra property) as an integral part of the evaluation process. Metra may also consider written responses contained in the proposal, formal interviews and site visits, if done, in its evaluation of the criteria listed in the introduction of Section 7.

## Memorandum

April 23, 2009

To: Board of Directors

From: P. A. Pagano  
Executive Director 

Subject: **Contract Award Recommendation  
Professional Services Contract for Revenue Accounting System Software,  
Hardware and Implementation Services  
Metra RFP No. 93447**

A professional services contract is being recommended for your approval in response to RFP No. 93447 for Revenue Accounting System Software, Hardware and Implementation Services.

In November of last year, Metra published an RFP seeking a qualified firm to replace its current portfolio of applications that supports the Revenue Accounting process. Proposals were requested from 30 firms. Four (4) proposals were received. The proposals were received from; Applications Software Technology Corporation (AST), Next Generation, Inc. (NGI), Infosys, and TUSC.

The Evaluation Committee evaluated the proposals utilizing formal established Metra guidelines for selection of professional services. The evaluations were based on the following, listed in order of importance: 1) Quality and soundness of proposed solution, approach and work plan, 2) Firm's previous experience with projects of similar scope and size that demonstrate firm's ability and expertise, 3) Cost proposal and, 4) Consideration of proposed solution to Metra specific challenges. The Evaluation Committee also used a uniform pre-determined scoring process to evaluate and score the proposals. The three highest ranked firms were interviewed. The proposers interviewed were AST, NGI and Infosys. After conducting interviews, the proposer Infosys noted their exception to the FTA required EEO clause. After review by Metra's Law Department to Infosys's exceptions, it was determined that Infosys was a non-responsive proposer and was not allowed to continue in the evaluation process.

Based upon the interviews, the Evaluation Committee requested best and final offers ("BAFO") from the two remaining proposers. The Evaluation Committee ranked the BAFO responses with the previous developed evaluation criteria and established evaluation process. Both proposers were scored with and without cost to arrive at both a raw (with cost) and weighted (without cost) overall score. The raw scores including cost came to 87.5 for AST and 62.5 for NGI; whereas the weighted scores excluding cost came to 82.1 for AST and 67.8 for NGI.

Based upon the process outlined above, the Evaluation Committee recommends awarding a professional services contract to Applications Software Technology Corporation. The Evaluation Committee is recommending a contract for 18 months at a total cost not to exceed \$6,633,810.00.

higher price. The file must explain why company X represents the best value to the agency. The necessity of documenting the specific reasons why proposal A offers a better value to the grantee than proposal B is why a mathematically driven selection decision is not appropriate.

### Proposal Evaluation Mechanics

There are many different methods of conducting proposal evaluations to determine best value, and many opinions as to which is the best approach. Grantees may employ any rating method or combination of methods, including: color or adjectival ratings, numerical weights and ordinal rankings. Whatever the method, the important thing is that a statement of the relative strengths, deficiencies, significant weaknesses, and risks supporting the evaluation ratings be documented in the contract file.

Some agencies have employed a quantitative approach of assigning scores to both technical and cost proposals, thereby compelling a source selection that is basically mathematically derived. Proponents of this method usually argue it is the most “objective,” and therefore the fairest, approach to determining a winner. On closer examination, however, all approaches are to one degree or another, subjective. The decision regarding what score to assign any given factor is subjective, and any formulas employed after the initial scoring cannot make the process an “objective” one. Further, grantees must be allowed the flexibility of making sound, factually based decisions that are in their agency’s best interests. Any approach that assigns a predetermined numerical weight to price, and then seeks to “score” price proposals and factor that score into a final overall numerical grade to automatically determine contract award, is a mistake. Rather, agencies should evaluate the prices offered but not score the price proposals. Prices should be evaluated and brought along side the technical proposal scores in order to make the necessary tradeoff decisions as to which proposal represents the best overall value to the agency. Agencies should carefully consider the technical merits of the competitors and the price differentials to see if a higher price proposal warrants the award based on the benefits it offers to the agency as compared to a lower price proposal. This is a subjective decision-making, tradeoff process.

The difficulties in trying to assign a predetermined weight to price and then scoring price proposals is that no one is smart enough to predict in advance how much more should be paid for certain incremental improvements in technical scores or rankings (depending on what scoring method is used). For example, no one can predict the nature of what will be offered in the technical proposals until those proposals are opened and evaluated. Only then can the nature of what is offered be ascertained and the value of the different approaches proposed be measured. It is against the actual technical offers made that the prices must be compared in a tradeoff process. Agencies cannot predict in advance whether a rating of “Excellent” for a technical proposal will be worth X\$ more than a rating of “Good,” or whether a score of 95 is worth considerably more or only marginally more than a score of 87. It is what is underneath the “Excellent” and the “Good” ratings, or what has caused a score of 95 vs. a score of 87, that is critical. The goal is to determine if more dollars should be paid to buy the improvement, and

**REQUISITIONING OF MATERIALS & SERVICES**

**I. PURPOSE**

This procedure provides instructions for both the normal requisitioning of Materials and/or Services, and instructions for emergency requisitioning of Materials and/or Services. Materials and/or Services requested in an approved Purchase Requisition will be procured by, or otherwise at the direction of, the Procurement Division or Professional Services/ Contracts Division (as applicable) pursuant to the applicable Metra procedure. See:

- PU-04-RC – Informal Quotations and Awards;
- PU-05-RC – Formal Quotations and Awards;
- PU-06-RC – Professional Services Contracts (Grant Funded, Non Brooks Method);
- PU-07-RC – Professional Services Contracts (Non Grant Funded);
- PU-08-RC – Architectural and Engineering Services Contracts (Brooks Method);
- PU-08-RC – Blanket Purchase Orders and Releases;
- PU-13-RC – Direct Purchases;
- PU-14-RC – Formal Solicitation Award For Construction Contracts;
- PU-16-RC – Procurement of Rolling Stock; or
- PU-21-RC – Procurement Card Purchases.

**II. POLICY**

GENERAL:

This procedure should be utilized in the procurement of all Materials and/or Services. Requisitions for Materials and/or Services will be submitted by using a Purchase Requisition. Non-inventory Material is to be requisitioned separately from inventory Material. Personnel making unauthorized purchase commitments may be held financially liable and may also be subject to disciplinary action, including employment termination.

All procurement transactions will be conducted in a manner providing full and open competition (except as may be necessary in connection with an Emergency Requisition). The Procurement Division (or its designee) is responsible for negotiating with Bidders with respect to the procurement of requested Materials and the Professional Services/ Contracts Division (or its designee) is responsible for negotiating with Bidders with respect to the procurement of requested Services. The Requisitioner/User may not negotiate with Bidders except as necessary in connection with the permitted procurement of Materials and/or Services by Direct Purchases or purchases made by Procurement Card.

Purchase Requisitions that are FTA funded, must adhere to all of the applicable requirements set forth in Circular 4220.1F (attached and incorporated herein as Exhibit I) as well as all applicable Metra procurement procedures, business regulations, and other rules and regulations. Metra prohibits geographic preferences, except in those cases where applicable

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
8e	11-1-11	Materials Management		1	12

**REQUISITIONING OF MATERIALS & SERVICES**

Materials Management Department

- Review Purchase Requisitions received from Budget Authority. Return Purchase Requisitions to Requisitioner/User which are incomplete, incorrect, or reflect improper approvals for corrections and resubmission, as appropriate.
- If requested Materials and/or Services may not be procured by Direct Purchase or by Procurement Card (as determined by Procurement Division or Professional Services/Contract Divisions, as applicable) make final determination, consistent with past practice, as to whether Bidder(s) are to be selected solely on the basis of price (i.e. Materials and/or Services to be acquired by Sealed Bids/Invitation for Bid (IFB) in accordance with applicable procurement policies and procedures), or whether other factors should be considered (i.e. Materials and/or Services to be acquired by a Request for Proposal (RFP) in accordance with applicable procurement policies and procedures).
- Forward approved Purchase Requisitions to Procurement Department (if for Materials) and/or Professional Services/Contract Divisions (if for Services). Additionally, for Purchase Requisitions requesting Services to be acquired by RFP, determine if Brooks Method should or should not be utilized in procuring such Services, and alert Professional Services/Contract Divisions as to determination.
- Maintain a copy of all Purchase Requisitions, record of Brooks Method determination (as applicable), and copies of all relevant documents in respective procurement file.

Procurement Division or Professional Services/Contract Divisions (as applicable)

- Oversee METRA Purchase Requisition procedures and systems.
- Review Purchase Requisitions received from Materials Management Department. Return Purchase Requisitions to Requisitioner/User which are incomplete, incorrect, or reflect improper approvals for corrections and resubmission, as appropriate.
- If Purchase Requisition acceptable, first determine whether requested Materials and/or Services may be procured by Direct Purchase or by Procurement Card pursuant to applicable procurement policies and procedures (see above) and, if so, coordinate with Requisitioner/User in directly procuring the requested Materials and/or Services.
- If requested Materials and/or Services may be procured by Direct Purchase or by Procurement Card, approved Purchase Requisition and appoint Procurement Agent to procure such Materials and/or Services Card pursuant to applicable procurement policies and procedures (see above).
- Coordinate with Requisitioner/User regarding status of the procurement of the requested Materials and/or Services by Procurement Agent.
- Retain a copy of all processed Purchase Requisitions, explanatory memorandums (if any), including determination of the method of procurement, and all other documents or

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
8e	11-1-11	Materials Management		5	12

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

**I. PURPOSE**

This procedure sets forth policies and instructions for the acquisition, administration, and termination of professional service contracts and blanket professional service contracts (hereafter, collectively referred to as "Professional Service Contract(s)" unless otherwise stated) by Metra, which are funded by federal, state, or local grants and which do not involve Architectural and Engineering services (NOTE: See PU-07-RC for Professional Service Contracts that are not funded by capital funds, and PU-08-RC for Architectural and Engineering Service Contracts).

**II. POLICY:**

GENERAL:

Professional Service Contracts are exempt from competitive bidding pursuant to MET Ordinance 94-18 or NIRC Ordinance 94-1, but must follow grant requirements for the applicable competitive negotiations process. Professional Service Contracts using capital funds must be publicly advertised and competitively negotiated procurements in accordance with FTA guidelines. Proposals will be solicited in a newspaper with general circulation, and specific firms from lists of eligible vendors will be solicited, in order to reach an adequate number of professional firms. The solicitation and contract documents should follow FTA Circular 4220.1F and the Procurement Regulations.

Proposals will be evaluated, negotiated, selected and any award shall be made in accordance with the criteria and procedures described below. The approach and procedures are those which are applicable to a competitive negotiated procurement whereby proposals are evaluated to determine which proposals are within a competitive range. Discussions and negotiations may then be carried out with Offerors within the competitive range. The Offeror selected will be the Offeror whose proposal is found to be most advantageous to Metra, based upon consideration of the Evaluation Criteria.

Metra personnel will maintain ethical standards in their professional activities. Metra personnel must avoid personal and organizational conflict-of-interest situations and avoid the appearance of such situations. Metra personnel are required to be familiar with Metra's ethics policies and all circumstances and persons covered by any type of conflict-of-interest situation.

Any proprietary information, methodology, or application that is contained in a proposal shall remain strictly confidential, will be screened for distribution only to those Metra personnel who require it for work directly connected with the project, and will not be distributed to persons not relevant to the project and not within reporting hierarchies at

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		1	26

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

Each proposal accepted for consideration will be evaluated by the Evaluation Committee, first individually by each member then collectively as a group, based on the Evaluation Criteria provided in the subject RFP. The Evaluation Committee shall make a preliminary evaluation of the submitted proposals to identify, normally, no less than the three highest ranked Offerors based on the subject Evaluation Criteria with which the Professional Services/ Contracts Division shall arrange to engage in further discussions.

The Professional Services/ Contracts Division, with the assistance of the Requisitioner/User, shall coordinate further discussions with the identified highest ranking Offerors, including the scheduling of a pre-award interview to clarify any final matters. Cost details from such highest ranking Offerors may be obtained on a RC4400 and/or other approved cost sheet. The Professional Services/ Contracts Division shall also obtain such other information from the highest ranking Offerors as necessary to enable an understanding of the basis of the final cost and/or as otherwise requested by the Evaluation Committee. The profit will be negotiated separately from the cost. The Professional Services/ Contracts Division shall complete the Price Analysis Documentation and forward such documentation, together with all other information received with respect to the subject Offerors to the Evaluation Committee.

Upon obtaining the foregoing information, the Evaluation Committee shall re-evaluate the identified highest ranking Offerors, first individually by each member then collectively as a group, to determine the Offeror whose proposal will be most advantageous to Metra based on the Evaluation Criteria. The Professional Services/ Contracts Division shall continue to negotiate with such selected Offeror to determine the compensation that is fair and reasonable, taking into account the scope, complexity, and professional nature of the services. The Professional Services/ Contracts Division will also perform a Cost Analysis of such Offeror's proposal before entering into a Professional Service Contract in order to measure the cost reasonableness of the subject proposal.

Contracts with respect to a given RFP will be generally awarded on a maximum compensation basis, and will reflect a specified maximum amount, payment schedule, and method of payment. Advance payments prior to the incurrence of costs by the Offeror are prohibited. If no contract can be concluded with the highest ranking Offeror, negotiations will be formally terminated with that Offeror and new negotiations will be undertaken with the second highest ranking Offeror (and so on). Upon completion of the foregoing negotiations, the Professional Services/ Contracts Division shall prepare, and have internally approved, a Professional Service Contract to be executed by the selected Offeror. No Professional Service Contract shall exceed five (5) years including options, if any. No portion of the work to be performed by Consultant pursuant to a Professional Service Contract may be assigned to a subcontractor unless explicitly approved in advance by the Requisitioner/User. When a subcontractor is permitted to be utilized by the selected Consultant by the Requisitioner/User, and as a condition of such permission, the

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		3	26

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

- Monitors contract performance by Offeror and notifies Professional Services/ Contracts Division upon completion or non-compliance.

Risk Management

- Determines insurance requirements for Professional Service Contracts.

Sr. Division Director General Administration

- Reviews Professional Service Contracts and approves as appropriate.

**V. INSTRUCTIONS**

**A. Request for Proposal Preparation**

**Responsible Party**

**Action**

Requisitioner/User

1. a. Prepare initial RFP, indicating the project's background and objectives, scope, estimated time schedule, required project documents, the specific Evaluation Criteria for the subject project, is a statement of work that clearly, accurately and unambiguously describes the technical requirements for the service(s) to be procured, and all other cost and non-cost related considerations the Requisitioner/User deems relevant for the award of a Professional Service Contract.
- b. Prepare Cost Estimate to establish a base cost for budgetary purposes and attach to the initial RFP.
- c. Prepare Purchase Requisition Form, and attach to the initial RFP.
- d. Forward Cost Estimate, Purchase Requisition and initial RFP in accordance with FI-02-RC for approval.
- e. Consult with DBE Administration on DBE requirements, if any, to be included in initial RFP.
- f. Forward initial RFP and attachments to General Development Department for review of grant numbers and grant assignments.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		10	26

## CHECK LIST – RFP’S

Applicable items should be entered in chronological order. Documents maintained in the file will be filed consecutively in each section with the highest number on top. When an item is not applicable, it will be designated with “NA” in the Tab column.

RFP No. _____ Section A SOLICITATION DOCUMENTS		
Tab No.	Document(s)	Audited By
1.	Purchase Requisition	
2.	Rationale for Method of Procurement:	
3.	Specifications/Statement of Work	
4.	Justification for Procurement	
5.	Term of Contract Does Not Exceed 5 Years.	
6.	Cost Estimate	
7.	Set Aside Decision/DBE Goal	
8.	Justification of Procurement Method	
9.	List of Prospective Proposers	
10.	Proof of Publication	
11.	Copy of RFP	
12.	Addenda	
13.	Pre-proposal Minutes & List of Attendees	
14.	Correspondence with Bidders	
15.	Interoffice Correspondence	
16.	Review of Responsiveness (On Bid Tabulation)	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

## CHECK LIST – RFP’s

Applicable items should be entered in chronological order. Documents maintained in the file will be filed consecutively in each section with the highest number on top. When an item is not applicable, it will be designated with “NA” in the Tab column.

	RFP No. _____ Section B AWARD DOCUMENTS	
Tab No.	Document(s)	Audited By
1.	Copy of Each Proposal (In Storage)	
2.	Proposal Tabulation Sheet	
3.	Evaluation Team Certification Forms	
4.	Evaluation Sheet/Matrix	
5.	Determination of Competitive Range	
6.	Invitation of Oral Interviews/Presentations	
7.	Notice of Rejection	
8.	Minutes of Discussions	
9.	Correspondence with Proposers	
10.	Cost or Price Analysis	
11.	Justification for Contract Type	
12.	Negotiation Memorandum	
13.	Copy of Each Best and Final Offer (If Applicable)	
14.	Award Recommendation Memorandum	
15.	Board Consent	
16.	Legal Review of Contract Documents (Routing Slip)	
17.	Notice of Award	
18.	Notice to Unsuccessful Proposers	
19.	Procurement Summary	
20.	Bonds (If Applicable)	
21.	Certification of Insurance	
22.	Contract Document (Drawings not Required)	
23.	Notice to Proceed	
24.	Contract/Purchase Order	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

## CHECK LIST – RFP’s

Applicable items should be entered in chronological order. Documents maintained in the file will be filed consecutively in each section with the highest number on top. When an item is not applicable, it will be designated with “NA” in the Tab column.

	RFP No. _____ Section C CONTRACT ADMINISTRATION DOCUMENTS	
Tab No.	Document(s)	Audited By
1.	Post Award Conference	
2.	Quality Assurance Records	
3.	Change Notices/Modification/Change Orders	
4.	Periodic Status Reports	
5.	Site Visit Reports	
6.	Termination/Stop Work Notices or Resolution Plan	
7.	Notice of Claims	
8.	Release of Claims/Bonds	
9.	Assignments	
10.	Notice of Final Payment	
11.	Audit Reports	
12.	Liquidated Damages	
12.	Close out Documentation	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

**Cost Analysis Required (Sole Source) (Element #39):**

**Metra's Revised Response:** The PSR referenced three Metra contracts that were deficient. The PSR also noted that Metra's original response was not adequate because it did not address the original reviewer's requirement that Metra have an adequate process to conduct cost analysis and address how cost analyses will be improved to be compliant in the future. In response to this deficiency, Metra has revised its procedures to require a price or cost analysis when appropriate (see attached proposed revised PU-05-RC, PU-06-RC, PU-08-RC, and PU-14-RC). In addition, please note the attached new Checklist for both IFB and RFP solicitations that include the documents as part of the contract file.

The Senior Division Director, General Administration will conduct an Element-by-Element review with all of the appropriate members of the Procurement and Professional Services staff. The training sessions will review each deficiency and the appropriate corrective action(s) to be implemented. The review will include an analysis of the PSR findings, as well as the purpose and execution of the corrective action. The Senior Director will document when they were held, which Elements were discussed, and who attended the training session. This documentation will be held in the PSR final report file. In addition, Metra will pursue available training provided by FTA, NTI, or other existing sources. We will offer to host courses so that we may include as many Metra Procurement staff as possible. To the extent that existing training does not cover certain topics, we will be issuing an RFP for a consultant to develop specialized training.

Lastly, Audit will commence an independent audit within 120 days of the acceptance of final corrective actions by the FTA. The 120 days should provide adequate time for selecting a sample of procurement awards for our audit to confirm that Metra is following procedures and corrective actions consistently and to issue the report as recommended.

**FORMAL QUOTATIONS AND AWARD**

**I. PURPOSE**

This procedure provides instructions for the solicitation and award of bids for purchases of materials and services, where the estimated cost is \$10,000.00 or more.

**II. POLICY**

This procedure will be used when the acquisition of materials or services will equal or exceed \$10,000.00, unless specifically exempted. See Purchasing Exemptions (Exhibit I).

Acquisitions under \$10,000.00 may be made utilizing Informal Quotations and Award PU-04-RC. If less than \$500.00, use Direct Purchases, PU-13-RC, or Procurement Card Purchases, PU-21-RC.

For the acquisition of professional services, see the appropriate procedure, PU-06-RC, PU-07-RC or PU-08-RC.

The bid solicitation process will contain procedures for including Disadvantaged Business Enterprises on bidders' list for the commodity or service being purchased, where appropriate.

Whenever possible and practical, Metra will endeavor to secure three or more bids (quotations) in the open market. If less than two bids are obtained, the reasons should be documented. When a specific, brand name or vendor is specified, a written memorandum explaining the reasons for the restriction must be provided. The memorandum must be signed by the manager of the Requisitioning Department, Division, or Office, the Senior Director or Deputy Executive Director, as appropriate, and the Executive Director.

For purchase orders that include capital funds, a price/cost analysis and history of procurement must be prepared and maintained on file for a single bid or sole source procurement.

A sole source must be the only available vendor that can provide the materials or services. If capital funding is involved, approval of a sole source may be required.

Only bids received by the announced due date and time will be considered.

Solicitation for bids among vendors will be made by media advertisements, (Invitation for Bids/Requests for Proposals). See Exhibit II in PU-04-RC, for Informal Quotations and Awards), and Metra's corporate website.

**II. POLICY (Continued)**

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
3f	12-1-11	Materials Management		1	6

FORMAL QUOTATIONS AND AWARD

V. INSTRUCTIONS (Continued)

Responsibility

Action

- |   |  |
|---|--|
| Requisitioner/User  | <p>10. Review bid/proposal to evaluate for compliance to bid/proposal documents' requirements.</p> <p>11. Review technical data and complete the Technical Evaluation Form for the lowest bidder that is responsive to the technical specifications. Include a brief explanation detailing how non-responsive bidders failed to comply with the technical specifications. Forward form to Procurement or Professional Services/Contract Division.</p>  |
| Procurement Division or Professional Services/ Contracts Division | <p>12. Prepare the purchase order or contract for approval. Follow the "blue folder" process, as applicable. <b>Conduct a price/cost analysis for a single bid or sole source procurement.</b></p> <p>13. Receive approvals of purchase order from "blue folder" process, if applicable. Issue purchase order to the lowest responsive and responsible bidder. History of procurement must be prepared and maintained on file. Distribute copies of purchase order as follows:</p> <p style="padding-left: 40px;">Vendor/Contractor/Professional Services firm<br/>Vendor Copy</p> <p style="padding-left: 40px;">Accounts Payable:<br/>Accounts Payable Copy</p> <p style="padding-left: 40px;">Procurement Division or Professional Services/Contracts Division:<br/>Procurement Copy</p> <p style="padding-left: 40px;">Requisitioning Division:<br/>Budget Authority Copy and Receiving Copies</p> |

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
3f	12-1-11	Materials Management		5	6

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

**I. PURPOSE**

This procedure sets forth policies and instructions for the acquisition, administration, and termination of professional service contracts and blanket professional service contracts (hereafter, collectively referred to as "Professional Service Contract(s)" unless otherwise stated) by Metra, which are funded by federal, state, or local grants and which do not involve Architectural and Engineering services (NOTE: See PU-07-RC for Professional Service Contracts that are not funded by capital funds, and PU-08-RC for Architectural and Engineering Service Contracts).

**II. POLICY:**

GENERAL:

Professional Service Contracts are exempt from competitive bidding pursuant to MET Ordinance 94-18 or NIRC Ordinance 94-1, but must follow grant requirements for the applicable competitive negotiations process. Professional Service Contracts using capital funds must be publicly advertised and competitively negotiated procurements in accordance with FTA guidelines. Proposals will be solicited in a newspaper with general circulation, and specific firms from lists of eligible vendors will be solicited, in order to reach an adequate number of professional firms. The solicitation and contract documents should follow FTA Circular 4220.1F and the Procurement Regulations.

Proposals will be evaluated, negotiated, selected and any award shall be made in accordance with the criteria and procedures described below. The approach and procedures are those which are applicable to a competitive negotiated procurement whereby proposals are evaluated to determine which proposals are within a competitive range. Discussions and negotiations may then be carried out with Offerors within the competitive range. The Offeror selected will be the Offeror whose proposal is found to be most advantageous to Metra, based upon consideration of the Evaluation Criteria.

Metra personnel will maintain ethical standards in their professional activities. Metra personnel must avoid personal and organizational conflict-of-interest situations and avoid the appearance of such situations. Metra personnel are required to be familiar with Metra's ethics policies and all circumstances and persons covered by any type of conflict-of-interest situation.

Any proprietary information, methodology, or application that is contained in a proposal shall remain strictly confidential, will be screened for distribution only to those Metra personnel who require it for work directly connected with the project, and will not be distributed to persons not relevant to the project and not within reporting hierarchies at

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		1	26

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

Each proposal accepted for consideration will be evaluated by the Evaluation Committee, first individually by each member then collectively as a group, based on the Evaluation Criteria provided in the subject RFP. The Evaluation Committee shall make a preliminary evaluation of the submitted proposals to identify, normally, no less than the three highest ranked Offerors based on the subject Evaluation Criteria with which the Professional Services/ Contracts Division shall arrange to engage in further discussions.

The Professional Services/ Contracts Division, with the assistance of the Requisitioner/User, shall coordinate further discussions with the identified highest ranking Offerors, including the scheduling of a pre-award interview to clarify any final matters. Cost details from such highest ranking Offerors may be obtained on a RC4400 and/or other approved cost sheet. The Professional Services/ Contracts Division shall also obtain such other information from the highest ranking Offerors as necessary to enable an understanding of the basis of the final cost and/or as otherwise requested by the Evaluation Committee. The profit will be negotiated separately from the cost. The Professional Services/ Contracts Division shall complete the Price Analysis Documentation and forward such documentation, together with all other information received with respect to the subject Offerors to the Evaluation Committee.

Upon obtaining the foregoing information, the Evaluation Committee shall re-evaluate the identified highest ranking Offerors, first individually by each member then collectively as a group, to determine the Offeror whose proposal will be most advantageous to Metra based on the Evaluation Criteria. The Professional Services/ Contracts Division shall continue to negotiate with such selected Offeror to determine the compensation that is fair and reasonable, taking into account the scope, complexity, and professional nature of the services. The Professional Services/ Contracts Division will also perform a Cost Analysis of such Offeror's proposal before entering into a Professional Service Contract in order to measure the cost reasonableness of the subject proposal.

Contracts with respect to a given RFP will be generally awarded on a maximum compensation basis, and will reflect a specified maximum amount, payment schedule, and method of payment. Advance payments prior to the incurrence of costs by the Offeror are prohibited. If no contract can be concluded with the highest ranking Offeror, negotiations will be formally terminated with that Offeror and new negotiations will be undertaken with the second highest ranking Offeror (and so on). Upon completion of the foregoing negotiations, the Professional Services/ Contracts Division shall prepare, and have internally approved, a Professional Service Contract to be executed by the selected Offeror. No Professional Service Contract shall exceed five (5) years including options, if any. No portion of the work to be performed by Consultant pursuant to a Professional Service Contract may be assigned to a subcontractor unless explicitly approved in advance by the Requisitioner/User. When a subcontractor is permitted to be utilized by the selected Consultant by the Requisitioner/User, and as a condition of such permission, the

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		3	26

**ARCHITECTURAL AND ENGINEERING  
SERVICES CONTRACTS  
(BROOKS METHOD)**

**I. PURPOSE**

This procedure sets forth policies and instructions for the acquisition, administration, and termination of contracts for A & E services by Metra, regardless of the funding mechanism.

**II. POLICY:**

GENERAL:

A & E services are acquired by Metra using the "Brooks" procurement method regardless of the funding mechanism. The Brooks procurement method is based on the award of contracts for services such as A & E services using a qualifications-based procurement analysis. Price is not a factor in determining the most qualified Offeror. Instead, each Offeror's qualifications are evaluated and the most qualified Offeror is selected subject to the negotiation of fair and reasonable compensation.

Proposals will be evaluated, negotiated, selected and any award shall be made in accordance with the criteria and procedures described below. The approach and procedures are those which are applicable to a competitive negotiated procurement whereby proposals are evaluated to determine which proposals are within a competitive range. Discussions and negotiations may then be carried out with Offerors within the competitive range. The Offeror selected will be the Offeror whose proposal is found to be most advantageous to Metra, based upon consideration of the Evaluation Criteria.

Metra personnel will maintain ethical standards in their professional activities. Metra personnel must avoid personal and organizational conflict-of-interest situations and avoid the appearance of such situations. Metra personnel are required to be familiar with Metra's ethics policies and all circumstances and persons covered by any type of conflict-of-interest situation.

Any proprietary information, methodology, or application that is contained in a proposal shall remain strictly confidential, will be screened for distribution only to those Metra personnel who require it for work directly connected with the project, and will not be distributed to persons not relevant to the project and not within reporting hierarchies at Metra which are relevant to the project. The confidentiality extends to the cost/profit figures contained in the proposals and the process of negotiations.

NARRATIVE DESCRIPTION OF PROCESS:

The process for a particular award of an Architectural & Engineering (A & E) services contract will be described in the respective Request for Proposals ("RFP") prepared by the

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-1-11	Materials Management		1	26

**ARCHITECTURAL AND ENGINEERING  
SERVICES CONTRACTS  
(BROOKS METHOD)**

The Professional Services/ Contracts Division, with the assistance of the Requisitioner/User, shall coordinate further discussions with the identified highest ranking Offerors, including the scheduling of a pre-award interview to clarify any final matters. The Professional Services/ Contracts Division shall also obtain such other information, other than cost information, necessary to evaluate the identified highest ranking Offerors and their respective proposals.

Upon obtaining the foregoing information, the Evaluation Committee shall re-evaluate the identified highest ranking Offerors, first individually by each member then collectively as a group, to determine the Offeror whose proposal will be most advantageous to Metra based on the Evaluation Criteria. Except in the case of Blanket RFPs, cost details from such highest ranking Offeror will be obtained on a RC4400 form after the evaluation process. For Blanket RFPs, a schedule of positions with the range of hourly rates including overhead and burden and any other costs to be determined will be obtained on RC4400 form from the highest ranking Offeror after the evaluation process. The Professional Services/ Contracts Division shall complete the Price Analysis Documentation and forward such documentation, together with all other information received with respect to the subject Offeror to the Evaluation Committee. The Professional Services/ Contracts Division shall continue to negotiate with such selected Offeror to determine the compensation that is fair and reasonable, taking into account the scope, complexity, and professional nature of the services. **The Professional Services/ Contracts Division will also perform a Cost Analysis of such Offeror's proposal before entering into a contract in order to measure the cost reasonableness of the subject proposal.**

Contracts with respect to a given RFP will be generally awarded on a maximum compensation basis, and will reflect a specified maximum amount, payment schedule, and method of payment. Advance payments prior to the incurrence of costs by the Offeror are prohibited. If no contract can be concluded with the highest ranking Offeror, negotiations will be formally terminated with that Offeror and new negotiations will be undertaken with the second highest ranking Offeror (and so on). Upon completion of the foregoing negotiations, the Professional Services/ Contracts Division shall prepare, and have internally approved, a contract to be executed by the selected Offeror. No contract shall exceed five (5) years including options, if any. No portion of the work to be performed by Consultant pursuant to a contract may be assigned to a subcontractor unless explicitly approved in advance by the Requisitioner/User. When a subcontractor is permitted to be utilized by the selected Consultant by the Requisitioner/User, and as a condition of such permission, the Consultant/subcontractor must submit: (a) the required cost details to the Professional Services/ Contracts Division using the RC4400 form; and (b) all such other information necessary to enable an understanding of the basis of the subcontract

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-1-11	Materials Management		3	26

**FORMAL SOLICITATION AND AWARD  
FOR CONSTRUCTION CONTRACTS**

**I. PURPOSE**

This procedure provides instructions for the solicitation of bids for construction contracts where the estimated cost is \$10,000.00 or more.

**II. POLICY**

Metra will have and use an up-to-date list of firms registered in Metra's vendor database to use in the solicitation of construction contracts.

This procedure will be used when the acquisition of construction contracts will equal or exceed \$10,000.00, unless specifically exempted.

Any construction acquisitions under \$10,000.00 may be made utilizing Informal Quotations and Award (PU-04-RC), or if less than \$500, Direct Purchases, (PU-13-RC).

The bid solicitation process will contain procedures for including Disadvantaged Business Enterprises on bidders' lists for the project to be procured, where appropriate.

Whenever possible and practical, Metra will endeavor to secure three or more bids (quotations) in the open market. If less than two bids are obtained, the reasons should be documented. If the solicitation specified a vendor as a sole source, a written memorandum explaining the reasons for the restriction must be provided. The memorandum must be signed by the manager of the Requisitioning Department, Division, or Office, the Senior Director or Deputy Executive Director, as appropriate, and the Executive Director.

A sole source must be the only available contractor that can provide the goods or services.

If capital funding is involved, FTA/IDOT approval of a sole source may be required.

Only bids received by the announced due date and time will be considered.

Solicitation for bids from contractors will be made by media advertisements for Invitation for Bids. (See Exhibit II in PU-04-RC, Informal Quotations and Awards)

For contracts that include capital funds, a price/cost analysis and a history of procurement must be prepared and maintained on file.

Construction contracts will be awarded to the lowest, responsive and responsible bidder.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
2	12-1-11	Materials Management		1	10

**FORMAL SOLICITATION AND AWARD  
FOR CONSTRUCTION CONTRACTS**

**III. DEFINITIONS**

Requisition: See Glossary

Sole Source: See Glossary

**IV. RESPONSIBILITIES**

Requisitioner/User

Submits requisition(s) and provides adequate specifications for items desired in accordance with Requisitioning of Materials and Services, PU-02-RC. Prepares memorandum justifying sole source requirements, signed by the Director of the Requisitioning Department, Division, or Office, the Senior Director or Deputy Executive Director, as appropriate, and the Executive Director. Assists Procurement Division or Professional Services/Contracts Division in providing specifications and clarifying specifications, as required. Reviews bidders to verify their ability to meet technical specifications. Prepares independent cost estimate as required.

Budget Authority

Verifies availability of funds in the appropriate budget account. Reviews signatures and completeness of forms. The Department Head, Director, Section Chief, or other similarly designated person signs approval in box #25 on requisition after checking budget. Maintains a record of all requisitions and purchases to ensure that budget limitations are not exceeded. Verifies proper Account/Distribution codes.

Professional Services/Contracts Division

Determines the method of obtaining quotations. Solicits quotations and selects the lowest responsive and responsible bidder. Where possible, solicits bids to secure a minimum of three qualified vendors. Receives, opens, reads aloud, and records all bids received. If capital funds are involved, makes the award with concurrence from General Development Department. For items that are sole source, prepares memorandum justifying sole source requirement to Materials Management Senior Director. The Professional Services/ Contracts Division will also perform a Cost Analysis of such bid before entering into a contract in order to measure the cost reasonableness of the subject bid. Ensures that justification memorandum is signed by the Senior Director, Materials Management, Deputy Executive Director, and the Executive Director. Prepares purchase order/contracts and obtains signatures. Distributes purchase order/contract copies. Advises the Risk Management Division of the purchase of real property, new equipment, construction activities, and other insurable items. Maintain all substantive records and correspondence with respect to each IFB. Such records include, but are not limited to, the documentation relating to the rationale for the method of procurement, the selection of contract type, and the basis for the contract price. All such information shall be maintained by the Professional Services/Contracts Division in the respective procurement file

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
2	12-1-11	Materials Management		2	10

## CHECK LIST – IFB’s

Applicable items should be entered in chronological order. Documents maintained in the file will be filed consecutively in each section with the highest number on top. When an item is not applicable, it will be designated with “NA” in the Tab column.

IFB No. _____ Section A SOLICITATION DOCUMENTS		
Tab No.	Document(s)	Audited By
1.	Purchase Requisition	
2.	Specifications	
3.	DBE Goals	
4.	Requirement Justification – Contract/PO Term Does Not Extend Past 5 Years	
5.	Independent Cost Estimate	
6.	Bidder's List	
7.	Justification of Procurement Method	
8.	Copy of IFB	
9.	Proof of Publication	
10.	IFB Attachments/ Modifications	
11.	Pre-bid Minutes & List of Attendees	
12.	Correspondence with Bidders	
13.	Protests Prior to Bid Opening	
14.	Interoffice Correspondence	
15.	Review for Responsiveness (On Bid Tabulation)	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

## CHECK LIST – IFB’s

Applicable items should be entered in chronological order. Documents maintained in the file will be filed consecutively in each section with the highest number on top. When an item is not applicable, it will be designated with “NA” in the Tab column.

	IFB No. _____ Section B <b>AWARD DOCUMENTS</b>	
Tab No.	Document(s)	Audited By
1.	Copy of Each Bid	
2.	Letters of Returned Late Bids or Bid Errors	
3.	Bid Analysis/Tabulation Sheet	
4.	Technical Evaluation/Award Recommendation	
5.	Affirmative Action Evaluation/DBE Goal Exhibit Schedules	
6.	Bidder Responsibility Determination	
7.	Price Analysis or Cost Analysis	
8.	Record of Negotiation for Single Bid (If Applicable)	
9.	Justification of Contract Type Blanket P.O./Sole Source, etc.	
10.	Notice of Award	
11.	Notice to Unsuccessful Bidders (Bond, Check Returns) (If Applicable)	
12.	Legal Review of Contract Documents (Copy of Routing Slip)	
13.	Contract Document (Drawings not Required)	
14.	Performance/Material Bonds, Insurance Certificates (If Applicable)	
15.	Notice to Proceed (If Applicable)	
16.	Purchase Order (If Applicable)	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

## CHECK LIST - IFB's

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	IFB No. _____ Section C CONTRACT ADMINISTRATION DOCUMENTS	
Tab No.	Document(s)	Audited By
1.	Post Award Conference (If Applicable)	
2.	Status Reports (If Applicable)	
3.	Change Notices/Modification/Change Orders	
4.	Site Visit Reports (If Applicable)	
5.	Progress Meeting Minutes (If Applicable)	
6.	Quality Assurance Records (If Applicable)	
7.	Termination/Stop Work Notices or Resolution Plan (If Applicable)	
8.	Notice of Claims (If Applicable)	
9.	Release of Claims/Bonds (If Applicable)	
10.	Assignments (If Applicable)	
11.	Audit Reports (If Applicable)	
12.	Punch List Discrepancies	
13.	Liquidated Damages (If Applicable)	
14.	Close Out Documents (If Applicable)	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

## CHECK LIST – RFP’S

Applicable items should be entered in chronological order. Documents maintained in the file will be filed consecutively in each section with the highest number on top. When an item is not applicable, it will be designated with “NA” in the Tab column.

RFP No. _____ Section A SOLICITATION DOCUMENTS		
Tab No.	Document(s)	Audited By
1.	Purchase Requisition	
2.	Rationale for Method of Procurement: _____	
3.	Specifications/Statement of Work	
4.	Justification for Procurement	
5.	Term of Contract Does Not Exceed 5 Years.	
6.	Cost Estimate	
7.	Set Aside Decision/DBE Goal	
8.	Justification of Procurement Method	
9.	List of Prospective Proposers	
10.	Proof of Publication	
11.	Copy of RFP	
12.	Addenda	
13.	Pre-proposal Minutes & List of Attendees	
14.	Correspondence with Bidders	
15.	Interoffice Correspondence	
16.	Review of Responsiveness (On Bid Tabulation)	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

## CHECK LIST – RFP’S

Applicable items should be entered in chronological order. Documents maintained in the file will be filed consecutively in each section with the highest number on top. When an item is not applicable, it will be designated with “NA” in the Tab column.

	RFP No. _____ Section B AWARD DOCUMENTS	
Tab No.	Document(s)	Audited By
1.	Copy of Each Proposal (In Storage)	
2.	Proposal Tabulation Sheet	
3.	Evaluation Team Certification Forms	
4.	Evaluation Sheet/Matrix	
5.	Determination of Competitive Range	
6.	Invitation of Oral Interviews/Presentations	
7.	Notice of Rejection	
8.	Minutes of Discussions	
9.	Correspondence with Proposers	
10.	Cost or Price Analysis	
11.	Justification for Contract Type	
12.	Negotiation Memorandum	
13.	Copy of Each Best and Final Offer (If Applicable)	
14.	Award Recommendation Memorandum	
15.	Board Consent	
16.	Legal Review of Contract Documents (Routing Slip)	
17.	Notice of Award	
18.	Notice to Unsuccessful Proposers	
19.	Procurement Summary	
20.	Bonds (If Applicable)	
21.	Certification of Insurance	
22.	Contract Document (Drawings not Required)	
23.	Notice to Proceed	
24.	Contract/Purchase Order	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

## CHECK LIST – RFP’S

Applicable items should be entered in chronological order. Documents maintained in the file will be filed consecutively in each section with the highest number on top. When an item is not applicable, it will be designated with “NA” in the Tab column.

RFP No. _____ Section C CONTRACT ADMINISTRATION DOCUMENTS		
Tab No.	Document(s)	Audited By
1.	Post Award Conference	
2.	Quality Assurance Records	
3.	Change Notices/Modification/Change Orders	
4.	Periodic Status Reports	
5.	Site Visit Reports	
6.	Termination/Stop Work Notices or Resolution Plan	
7.	Notice of Claims	
8.	Release of Claims/Bonds	
9.	Assignments	
10.	Notice of Final Payment	
11.	Audit Reports	
12.	Liquidated Damages	
12.	Close out Documentation	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

## **Written Record of Procurement History (Element #42):**

**Metra's Revised Response:** The PSR referenced 14 Metra contracts that were deficient. Please note that Metra's revised response for the A&E procurement for manufacturing engineering in the rehabilitation of 176 bi-level passenger railcars (Nippon Sharyo contract) and Blanket Signal Engineering Services (LTK Engineering contract), are addressed in separate documents previously submitted to the FTA for review.

The PSR noted that the reviewer was unable to determine the reason for the contractor selection or the basis of the contract price. Metra recognizes that files were not well organized and it was difficult to track all the elements of the procurement history. The contract types reviewed included small purchases, IFB's, RFP's, and sole sources. It was noted by the reviewer that at a minimum, the following must be included in the procurement files: rationale for the method of procurement, selection of contract type, reasons for contractor selection or rejection, and the basis for the contract price.

To assist providing the correct information in a contract file, Dr. Harris provided an Appendix H, "Contract/Purchase Order File Index," which Metra has revised and re-titled, "Checklist – IFB's and Checklist - RFP's" (see attached). These checklists are incorporated into the appropriate procurement procedures (see attached proposed revised Procedure PU-05-RC, PU-06-RC, PU-08-RC, and PU-14-RC), and staff has begun to utilize them in order to standardize contract organization, to ensure that more than just the minimum is contain in the contract file, and ensure that the file can be interpreted on its own, without any assistance or additional information.

The Senior Division Director, General Administration will conduct an Element-by-Element review with all of the appropriate members of the Procurement and Professional Services staff. The training sessions will review each deficiency and the appropriate corrective action(s) to be implemented. The review will include an analysis of the PSR findings, as well as the purpose and execution of the corrective action. The Senior Director will document when they were held, which Elements were discussed, and who attended the training session. This documentation will be held in the PSR final report file. In addition, Metra will pursue available training provided by FTA, NTL, or other existing sources. We will offer to host courses so that we may include as many Metra Procurement staff as possible. To the extent that existing training does not cover certain topics, we will be issuing an RFP for a consultant to develop specialized training.

Lastly, Audit will commence an independent audit within 120 days of the acceptance of final corrective actions by the FTA. The 120 days should provide adequate time for selecting a sample of procurement awards for our audit to confirm that Metra is following procedures and corrective actions consistently and to issue the report as recommended.

## CHECK LIST – IFB’s

Applicable items should be entered in chronological order. Documents maintained in the file will be filed consecutively in each section with the highest number on top. When an item is not applicable, it will be designated with “NA” in the Tab column.

	IFB No. _____ Section A SOLICITATION DOCUMENTS	
Tab No.	Document(s)	Audited By
1.	Purchase Requisition	
2.	Specifications	
3.	DBE Goals	
4.	Requirement Justification – Contract/PO Term Does Not Extend Past 5 Years	
5.	Independent Cost Estimate	
6.	Bidder's List	
7.	Justification of Procurement Method	
8.	Copy of IFB	
9.	Proof of Publication	
10.	IFB Attachments/ Modifications	
11.	Pre-bid Minutes & List of Attendees	
12.	Correspondence with Bidders	
13.	Protests Prior to Bid Opening	
14.	Interoffice Correspondence	
15.	Review for Responsiveness (On Bid Tabulation)	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

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Applicable items should be entered in chronological order. Documents maintained in the file will be filed consecutively in each section with the highest number on top. When an item is not applicable, it will be designated with “NA” in the Tab column.

	IFB No. _____ Section B AWARD DOCUMENTS	
Tab No.	Document(s)	Audited By
1.	Copy of Each Bid	
2.	Letters of Returned Late Bids or Bid Errors	
3.	Bid Analysis/Tabulation Sheet	
4.	Technical Evaluation/Award Recommendation	
5.	Affirmative Action Evaluation/DBE Goal Exhibit Schedules	
6.	Bidder Responsibility Determination	
7.	Price Analysis or Cost Analysis	
8.	Record of Negotiation for Single Bid (If Applicable)	
9.	Justification of Contract Type Blanket P.O./Sole Source, etc.	
10.	Notice of Award	
11.	Notice to Unsuccessful Bidders (Bond, Check Returns) (If Applicable)	
12.	Legal Review of Contract Documents (Copy of Routing Slip)	
13.	Contract Document (Drawings not Required)	
14.	Performance/Material Bonds, Insurance Certificates (If Applicable)	
15.	Notice to Proceed (If Applicable)	
16.	Purchase Order (If Applicable)	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

## CHECK LIST - IFB's

Applicable items should be entered in chronological order. Documents maintained in the file will be filed consecutively in each section with the highest number on top. When an item is not applicable, it will be designated with "NA" in the Tab column.

IFB No. _____ Section C CONTRACT ADMINISTRATION DOCUMENTS		
Tab No.	Document(s)	Audited By
1.	Post Award Conference (If Applicable)	
2.	Status Reports (If Applicable)	
3.	Change Notices/Modification/Change Orders	
4.	Site Visit Reports (If Applicable)	
5.	Progress Meeting Minutes (If Applicable)	
6.	Quality Assurance Records (If Applicable)	
7.	Termination/Stop Work Notices or Resolution Plan (If Applicable)	
8.	Notice of Claims (If Applicable)	
9.	Release of Claims/Bonds (If Applicable)	
10.	Assignments (If Applicable)	
11.	Audit Reports (If Applicable)	
12.	Punch List Discrepancies	
13.	Liquidated Damages (If Applicable)	
14.	Close Out Documents (If Applicable)	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

## CHECK LIST – RFP’s

Applicable items should be entered in chronological order. Documents maintained in the file will be filed consecutively in each section with the highest number on top. When an item is not applicable, it will be designated with “NA” in the Tab column.

RFP No. _____ Section A SOLICITATION DOCUMENTS		
Tab No.	Document(s)	Audited By
1.	Purchase Requisition	
2.	Rationale for Method of Procurement:	
3.	Specifications/Statement of Work	
4.	Justification for Procurement	
5.	Term of Contract Does Not Exceed 5 Years.	
6.	Cost Estimate	
7.	Set Aside Decision/DBE Goal	
8.	Justification of Procurement Method	
9.	List of Prospective Proposers	
10.	Proof of Publication	
11.	Copy of RFP	
12.	Addenda	
13.	Pre-proposal Minutes & List of Attendees	
14.	Correspondence with Bidders	
15.	Interoffice Correspondence	
16.	Review of Responsiveness (On Bid Tabulation)	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

## CHECK LIST – RFP’S

Applicable items should be entered in chronological order. Documents maintained in the file will be filed consecutively in each section with the highest number on top. When an item is not applicable, it will be designated with “NA” in the Tab column.

	RFP No. _____ Section B AWARD DOCUMENTS	
Tab No.	Document(s)	Audited By
1.	Copy of Each Proposal (In Storage)	
2.	Proposal Tabulation Sheet	
3.	Evaluation Team Certification Forms	
4.	Evaluation Sheet/Matrix	
5.	Determination of Competitive Range	
6.	Invitation of Oral Interviews/Presentations	
7.	Notice of Rejection	
8.	Minutes of Discussions	
9.	Correspondence with Proposers	
10.	Cost or Price Analysis	
11.	Justification for Contract Type	
12.	Negotiation Memorandum	
13.	Copy of Each Best and Final Offer (If Applicable)	
14.	Award Recommendation Memorandum	
15.	Board Consent	
16.	Legal Review of Contract Documents (Routing Slip)	
17.	Notice of Award	
18.	Notice to Unsuccessful Proposers	
19.	Procurement Summary	
20.	Bonds (If Applicable)	
21.	Certification of Insurance	
22.	Contract Document (Drawings not Required)	
23.	Notice to Proceed	
24.	Contract/Purchase Order	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

## CHECK LIST – RFP’S

Applicable items should be entered in chronological order. Documents maintained in the file will be filed consecutively in each section with the highest number on top. When an item is not applicable, it will be designated with “NA” in the Tab column.

RFP No. _____ Section C CONTRACT ADMINISTRATION DOCUMENTS		
Tab No.	Document(s)	Audited By
1.	Post Award Conference	
2.	Quality Assurance Records	
3.	Change Notices/Modification/Change Orders	
4.	Periodic Status Reports	
5.	Site Visit Reports	
6.	Termination/Stop Work Notices or Resolution Plan	
7.	Notice of Claims	
8.	Release of Claims/Bonds	
9.	Assignments	
10.	Notice of Final Payment	
11.	Audit Reports	
12.	Liquidated Damages	
12.	Close out Documentation	

Contract No.: \_\_\_\_\_

Contract Administrator: \_\_\_\_\_

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

**FORMAL QUOTATIONS AND AWARD**

**I. PURPOSE**

This procedure provides instructions for the solicitation and award of bids for purchases of materials and services, where the estimated cost is \$10,000.00 or more.

**II. POLICY**

This procedure will be used when the acquisition of materials or services will equal or exceed \$10,000.00, unless specifically exempted. See Purchasing Exemptions (Exhibit I).

Acquisitions under \$10,000.00 may be made utilizing Informal Quotations and Award PU-04-RC. If less than \$500.00, use Direct Purchases, PU-13-RC, or Procurement Card Purchases, PU-21-RC.

For the acquisition of professional services, see the appropriate procedure, PU-06-RC, PU-07-RC or PU-08-RC.

The bid solicitation process will contain procedures for including Disadvantaged Business Enterprises on bidders' list for the commodity or service being purchased, where appropriate.

Whenever possible and practical, Metra will endeavor to secure three or more bids (quotations) in the open market. If less than two bids are obtained, the reasons should be documented. When a specific, brand name or vendor is specified, a written memorandum explaining the reasons for the restriction must be provided. The memorandum must be signed by the manager of the Requisitioning Department, Division, or Office, the Senior Director or Deputy Executive Director, as appropriate, and the Executive Director.

For purchase orders that include capital funds, a price/cost analysis and history of procurement must be prepared and maintained on file for a single bid or sole source procurement.

A sole source must be the only available vendor that can provide the materials or services. If capital funding is involved, approval of a sole source may be required.

Only bids received by the announced due date and time will be considered.

Solicitation for bids among vendors will be made by media advertisements, (Invitation for Bids/Requests for Proposals). See Exhibit II in PU-04-RC, for Informal Quotations and Awards), and Metra's corporate website.

**I. POLICY (Continued)**

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
3f	12-1-11	Materials Management		1	6

**FORMAL QUOTATIONS AND AWARD**

**IV. RESPONSIBILITIES (Continued)**

purchase order/contract copies. Advises the Risk Management Division of the purchase of real property, new equipment, construction activities, and other insurable items. Maintain all substantive records and correspondence with respect to each IFB. Such records include, but are not limited to, the documentation relating to the rationale for the method of procurement, the selection of contract type, and the basis for the contract price. All such information shall be maintained by the Procurement Division of Professional Services/Contracts Division in the respective procurement file (other than large maps, drawing and plans which are to be kept in respective department file).

General Development Department

Obtains all necessary approvals from required funding agencies. Reviews and approves purchase order when capital funds are involved. On a weekly basis, notifies the Procurement Division or Professional Services/Contracts Division of purchase orders that are held pending the approval of the funding agency. Forwards purchase order to Accounts Payable.

Accounts Payable

If capital funds are involved, encumbers funds and forwards purchase orders to the Procurement Division or Professional Services/Contracts Division.

**V. INSTRUCTIONS**

Responsibility

Action

Requisitioner/User/Budget Authority

1.

In accordance with Requisitioning of Materials & Services, PU-02-RC, submit completed Purchase Requisition (RC73, see Exhibit I in PU-02-RC, Requisitioning of Materials and Services) to:  
 a) General Development Department for review and required actions, if capital funds are involved. Then proceed to Step 2; or  
 b) Procurement Division, or Professional Services/Contracts Division, if capital funds are not involved. Then proceed to Step 3.

General Development Department

2.

Receive and review purchase requisitions. Take required actions and forward to Procurement Division, or Professional Services/Contracts Division, if capital funds are involved. (See Exhibit

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
3f	12-1-11	Materials Management		3	6

**FORMAL QUOTATIONS AND AWARD**

I in PU-02-RC, Requisitioning of Materials and Services).

**V. INSTRUCTIONS (Continued)**

**Responsibility**

**Action**

Procurement Division or Professional Services/ Contracts Division

3. Receive Purchase Requisition form (RC73, see Exhibit I in PU-02-RC, Requisitioning of Materials and Services). Review and approve for processing, if correctly filled out. If not completed correctly, return to appropriate department for corrections. If approved, input into Purchase Order system. **Complete applicable sections of Checklist – IFB's, if any.**
4. Forward approved pink copy of requisition to DBE Administration for their information.
5. Assign a Buyer/Contracting Agent the responsibility of processing the requisition.

DBE Administration

6. Review requisition and recommend additional DBE vendors for quotation solicitation. Notify Buyer/ Contracting Agent of any additional DBE Vendors.

Procurement Division or Professional Services/ Contracts Division

7. Solicit Invitation for Bids/Request for Proposals (RC75, see Exhibit II in PU-04-RC, Informal Quotations and Awards). **Complete applicable sections of Checklist - IFB's, if any.**

Procurement Division or Professional Services/ Contracts Division

8. At the time and day of the announced bid opening, open bids publicly, read aloud, and record on Bid/Proposal Tabulation form (RC737, see Exhibit I, PU-04-RC, Informal Quotations and Award).
9. When necessary, submit bidder's technical information to Requisitioner for review in regard to conformance to technical specifications. Use Technical Evaluation form (See Exhibit II).

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
3f	12-1-11	Materials Management		4	6

FORMAL QUOTATIONS AND AWARD

V. INSTRUCTIONS (Continued)

Responsibility

Action

- |   |  |
|---|--|
| Requisitioner/User  | <p>10. Review bid/proposal to evaluate for compliance to bid/proposal documents' requirements. Complete applicable sections of Checklist - IFB's, if any.</p>  |
| Procurement Division or Professional Services/ Contracts Division | <p>11. Review technical data and complete the Technical Evaluation Form for the lowest bidder that is responsive to the technical specifications. Include a brief explanation detailing how non-responsive bidders failed to comply with the technical specifications. Forward form to Procurement or Professional Services/Contract Division.</p> <p>12. Prepare the purchase order or contract for approval. Follow the "blue folder" process, as applicable. Conduct a price/cost analysis for a single bid or sole source procurement.</p> <p>13. Receive approvals of purchase order from "blue folder" process, if applicable. Issue purchase order to the lowest responsive and responsible bidder. History of procurement must be prepared and maintained on file. Complete applicable sections of Checklist - IFB's, if any. Distribute copies of purchase order as follows:</p> <p style="padding-left: 40px;">Vendor/Contractor/Professional Services firm<br/>Vendor Copy</p> <p style="padding-left: 40px;">Accounts Payable:<br/>Accounts Payable Copy</p> <p style="padding-left: 40px;">Procurement Division or Professional Services/Contracts Division:<br/>Procurement Copy</p> <p style="padding-left: 40px;">Requisitioning Division:</p> |

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
3f	12-1-11	Materials Management		5	6

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

**I. PURPOSE**

This procedure sets forth policies and instructions for the acquisition, administration, and termination of professional service contracts and blanket professional service contracts (hereafter, collectively referred to as "Professional Service Contract(s)" unless otherwise stated) by Metra, which are funded by federal, state, or local grants and which do not involve Architectural and Engineering services (NOTE: See PU-07-RC for Professional Service Contracts that are not funded by capital funds, and PU-08-RC for Architectural and Engineering Service Contracts).

**II. POLICY:**

GENERAL:

Professional Service Contracts are exempt from competitive bidding pursuant to MET Ordinance 94-18 or NIRC Ordinance 94-1, but must follow grant requirements for the applicable competitive negotiations process. Professional Service Contracts using capital funds must be publicly advertised and competitively negotiated procurements in accordance with FTA guidelines. Proposals will be solicited in a newspaper with general circulation, and specific firms from lists of eligible vendors will be solicited, in order to reach an adequate number of professional firms. The solicitation and contract documents should follow FTA Circular 4220.1F and the Procurement Regulations.

Proposals will be evaluated, negotiated, selected and any award shall be made in accordance with the criteria and procedures described below. The approach and procedures are those which are applicable to a competitive negotiated procurement whereby proposals are evaluated to determine which proposals are within a competitive range. Discussions and negotiations may then be carried out with Offerors within the competitive range. The Offeror selected will be the Offeror whose proposal is found to be most advantageous to Metra, based upon consideration of the Evaluation Criteria.

Metra personnel will maintain ethical standards in their professional activities. Metra personnel must avoid personal and organizational conflict-of-interest situations and avoid the appearance of such situations. Metra personnel are required to be familiar with Metra's ethics policies and all circumstances and persons covered by any type of conflict-of-interest situation.

Any proprietary information, methodology, or application that is contained in a proposal shall remain strictly confidential, will be screened for distribution only to those Metra personnel who require it for work directly connected with the project, and will not be distributed to persons not relevant to the project and not within reporting hierarchies at

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		1	26

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

Consultant/subcontractor must submit: (a) the required cost details to the Professional Services/ Contracts Division using the RC4400 form; and (b) all such other information necessary to enable an understanding of the basis of the subcontract relationship and/or as otherwise requested by the Professional Services/ Contracts Division.

The Professional Services/ Contracts Division will maintain all substantive records and correspondence with respect to each RFP. Such records include, but are not limited to, the documentation relating to the rationale for the method of procurement, the selection of contract type, compensation method, the basis of Offeror selection/ rejection based on the Evaluation Criteria, Evaluation Committee rankings (individual and group) with respect to each Offeror and the basis for the contract price. All such information shall be maintained by the Professional Services/ Contracts Division in the respective procurement file (other than large maps, drawing and plans which are to be kept in respective department file).

Once a Professional Service Contract has been executed, the Requisitioner/User and the Professional Services/ Contracts Division will continuously monitor Consultant's compliance with the provisions of the Professional Service Contract. In the event of non-compliance by a Consultant, the Professional Services/ Contracts Division will contact said Consultant and attempt to achieve rectification of the compliance deficiencies. If said Consultant is unresponsive, or such deficiencies are not remedied, the Professional Services/ Contracts Division will take remedial actions with respect to the subject Professional Service Contract, including without limitation termination of the Professional Service Contract, as necessary. The Professional Services/ Contracts Division, in consultation with the Requisitioner/User department, will follow FTA guidelines where appropriate and Metra Administrative Operating Procedures regarding the appropriate actions associated with protest and disputes. (See PU-11-RC).

Upon completion of a project, the Requisitioner/User shall complete a Contract Completion Form and forward the completed form to the Professional Services/ Contracts Division to be filed in the respective procurement file.

**III. DEFINITIONS/ FORMS**

Architectural & Engineering (A & E) Services: See Glossary.

Blue Folder: See Glossary.

Board Concurrence: See Exhibit I hereto.

Brooks Method: See Glossary.

Canvass: See Glossary.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		4	26

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

Law Department

- Reviews Professional Service Contracts for legal compliance and provides clearance as appropriate.

Professional Services/ Contracts Division

- Approves the Evaluation Criteria prepared by Requisitioner/User.
- In concert with Requisitioner/User, identifies Evaluation Committee and Contact Person.
- Performs overall staff management, coordination, processing, execution and filing of Professional Service Contract, including coordination of the RFP's components, and issues of solicitation.
- In concert with Requisitioner/User, schedules and hosts the pre-proposal conferences (as necessary), to clarify RFP requirements and answer questions from potential Offerors.
- Reviews the initial RFP and prepares the formal RFP. Assures that there is a statement of work that clearly, accurately and unambiguously describes the technical requirements for the service(s) to be procured.
- Prepares solicitation advertisement and facilitates the placement of such advertisement in a newspaper of general circulation.
- Identifies target Offerors (if any) from Metra's vendor database to receive e-mails regarding solicitation and facilitates such e-mails.
- Receives proposals, performs initial review, and completes a Responsibility Determination Form with respect to each proposal.
- Conducts a canvass when it receives only one proposal.
- In concert with Requisitioner/User, schedules and hosts pre-award interviews (as necessary).
- Coordinates correspondence, if any, between Offerors and Contact Person.
- Obtains other information requested by the Evaluation Committee from selected highest-ranked Offeror(s).
- Obtains and/or performs pre-award Cost Analysis of proposals, in consultation with the Requisitioner/User, to determine the reasonableness of the final Offeror's costs.
- Negotiates and coordinates award of final Professional Service Contract to highest ranked Offeror(s) (or subsequently ranked Offeror(s), as applicable).

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		8	26

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

- Coordinates on-going administrative duties that are not directly related to the monitoring of the work performance, such as correspondence meeting minutes.
- Upon notification from Requisitioner/User, attempts to obtain compliance with Professional Service Contract provisions from non-complying Consultants and/or takes remedial actions with respect to the subject Professional Service Contract (including without limitation cancellation of the Professional Service Contract) as necessary.
- **Completes Checklist-RFP's for each RFP.**
- Maintain all substantive records and correspondence with respect to each RFP, including the information identified in Section II above, in respective procurement file (other than large maps, drawing and plans which are to be kept in respective department file).

Material Management Department

- Reviews Professional Service Contracts and approves as appropriate.

Requisitioner/User

- Establishes project objectives, the tentative scope of work, and the Evaluation Criteria.
- Determines budgetary support limits and tentative project scheduling.
- Prepares initial Purchase Requisition and RFP.
- Prepares is a statement of work that clearly, accurately and unambiguously describes the technical requirements for the service(s) to be procured.
- Prepares an independent Cost Estimate.
- Determines the importance of contract completion or milestone date(s) so that the appropriate actions can be taken if noncompliance of the terms has occurred.
- Submits the RFP to DBE Administration for review of compliance with applicable DBE guidelines.
- Submits the RFP reviewed by DBE Administration to the General Development Department for review of compliance with applicable funding guidelines. Identifies appropriate funding account(s) and inputs onto the Purchase Requisition.
- Submits the RFP reviewed by the General Development Department to the Professional Services/ Contracts Division.
- Submits list of additional prospective proposed Offerors, if any.
- In concert with Professional Services/ Contracts Division, identifies Evaluation Committee for review of proposals and Contact Person to answer technical-related questions from prospective Offerors.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		9	26

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

**Responsible Party**

**Action**

Professional Services/  
Contracts Division (review  
of initial RFP)

1.
  - a. Receive and review the Purchase Requisition and initial RFP (including all Evaluation Criteria) and all appropriate attachments from General Development Department.
  - b. Request Cost Estimate from Materials Department and/or the Requisitioner/User if not attached to initial RFP.
  - c. If submitted initial RFP is approved, consult with Requisitioner/User to select Evaluation Committee and Contact Person and proceed to step (B)(2) below.
  - d. If submitted initial RFP is not approved for any reason, forward subject initial RFP and all appropriate attachments back to Requisitioner/User with comments for revisions and re-submittal (proceed to back to step (A)(3) above).
  - e. Complete applicable sections of Checklist - RFP's, if any.

Professional Services/  
Contracts Division  
(preparation of formal  
RFP/advertisement)

2.
  - a. Prepare the formal RFP, which should include at least the following in the project description: overview, objectives, scope, estimated time schedule, reporting requirements, required projects documents, DBE requirements (if any), the procurement method, Evaluation Criteria and Contact Person.
  - b. Forward any modifications to the initial RFP to all interested parties.
  - c. Prepare solicitation advertisement to be placed in newspaper of general circulation.
  - d. Identify target Offerors from Metra's vendor database to receive e-mail regarding solicitation.
  - e. Prepare Insurance Requirement Request Form and request Risk Management to determine insurance requirements based on the scope of the project.
  - f. Complete applicable sections of Checklist - RFP's, if any.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		12	26

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

**Responsible Party**

**Action**

- Risk Management

3. a. Receive Insurance Requirement Request form from Professional Services/ Contracts Division.

b. Determine the applicable insurance requirements, if any, for Offerors.

c. Complete an insurance certificate which documents the requirements of insurance (as applicable), and send to Professional Services/ Contracts Division Documents.
  
- Professional Services/ Contracts Division (prior to advertisement/ mailing of solicitations for proposals)

4. a. Receive determination of insurance requirements from Risk Management. If insurance requirements necessary, identify such requirements in relevant exhibit of formal RFP. If insurance requirements are determined to be unnecessary, then delete this exhibit.

b. Circulate the formal RFP with selected Offeror direct mailing list to the Requisitioner/User, DBE Administration, General Development Department, and Risk Management Division for final review.

c. Concurrently with the circulation of the formal RFP, advertise the project in a newspaper of general circulation and send e-mail notices to each Offeror selected from Metra's vendor database.

d. Complete applicable sections of Checklist - RFP's, if any.
  
- Professional Services/ Contracts Division (after advertisement/ mailing of solicitations for proposals)

5. a. Schedule and host, if necessary, a pre-proposal conference and answer questions from potential Offerors to clarify requirements.

b. Notify Evaluation Committee and appropriate division/department/offices of conference, if any.

c. Have Contact Person and any other appropriate Metra staff available to answer questions on any portion of the formal RFP.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		13	26

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

**Responsible Party**

**Action**

- d. Complete applicable sections of Checklist - RFP's, if any.

**V. INSTRUCTIONS (Continued)**

**C. Selection of Consultant**

**Responsible Party**

**Action**

Professional Services/  
Contracts Division

1.
  - a. Receive proposals, record the names of the Offerors on the Proposal Tabulation Bid Sheet, and indicate respective due date.
  - b. Open proposals in the presence of a witness on the due date.
  - c. Review each proposal for general responsiveness, responsibility, completeness, and compliance with instructions.
  - d. Complete Responsibility Determination Form for each proposal and file completed form in respective procurement file.
  - e. Forward copies of proposals accepted for consideration to DBE Administration (as applicable) for review.
  - f. Forward copies of proposals accepted for consideration (after approval by DBE Administration, as applicable) to Evaluation Committee for review.
  - g. Complete applicable sections of Checklist - RFP's, if any.

DBE Administration

2.
  - a. Receive and review copies of accepted proposals from Professional Services/ Contracts Division.
  - b. Prepare memo for distribution to the Requisitioner/User, members of Evaluation Committee and to Professional Services/Contract Division detailing which Offerors, if any, are not in compliance with DBE requirements.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		14	26

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

Responsible Party

Action

forward such information to Evaluation Committee for review (as applicable).

- d. Notify selected Offerors of their inclusion on a short list and coordinate possible meeting dates with each such Offeror.
- e. Schedule and host, if necessary, a pre-award interview to resolve and clarify any final questions or other matters.
- f. As necessary, request cost detail from the highest-ranked Offerors on a RC4400 and/or other approved cost sheet.
- g. Complete Price Analysis Documentation for highest ranked Offeror's proposal.
- h. Document all correspondence and discussions with Offerors, including substantive details of discussions with Offerors, and maintain all such records.
- i. Complete applicable sections of Checklist - RFP's, if any.

Evaluation Committee

- 5.
  - a. Receive and review all other information received from Professional Services/ Contracts Division regarding Offerors.
  - b. Have members of Evaluation Committee independently re-evaluate and re-rank proposals from each of the Offerors, as necessary based on new information.
  - c. Have members of the Evaluation Committee meet to discuss revised independent rankings of each of the Offerors, as necessary, and through their discussions, obtain a revised consensus ranking with respect to each Offeror.
  - d. Identify highest ranked Offeror and ranking of remaining Offerors (if any) and provide Professional Services/ Contracts Division with list of such Offerors.
  - e. Prepare and maintain supporting documents regarding Evaluation Committee's re-evaluation and

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		16	26

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

**Responsible Party**

**Action**

- reasonableness of negotiated offer.
- c. For each Offeror selected, prepare a Recommendation Memo to the Executive Director, containing an executive summary and including: a description of the Professional Service Contract, the purpose of the Professional Service Contract, the number of proposals received, the source of funding related to the Professional Service Contract, the total and incremental costs of the Professional Service Contract, the detailed basis for selection (including evidence of Evaluation Committee's ranking of such Offeror), and the specific reasons for the recommendation of the highest ranking Offeror to obtain Board concurrence.
  - d. Obtain Board Concurrence.
  - e. File a summary of the Cost Analysis with other significant and/or supporting documentation in respective procurement file.
  - f. Receive all records connected with the evaluation and re-evaluation of each proposal from Evaluation Committee and file such records in respective procurement file.
  - g. Complete applicable sections of Checklist - RFP's, if any.

**V. INSTRUCTIONS (Continued)**

**D. Awarding the Contract**

**Responsible Party**

**Action**

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		18	26

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

- | <u>Responsible Party</u>                     | <u>Action</u>  |
|--|--|
| Professional Services/<br>Contracts Division | <ol style="list-style-type: none"> <li>1.               <ol style="list-style-type: none"> <li>a. After receiving Board Concurrence, prepare two original copies of the Professional Service Contract with appropriate detailed information, must include contract type and compensation method, for Blue Folder circulation.</li> <li>b. Prepare all other appropriate documents for Blue Folder circulation.</li> <li>c. Concurrently with the preparation of the Blue Folder documents, obtain the selected Offeror's signature on two original copies of the Professional Service Contract.</li> <li>d. Once all documentation is with the Blue Folder, internally route as set forth on the Routing Slip.</li> <li>e. Complete applicable sections of Checklist - RFP's, if any.</li> </ol> </li> </ol> |
| DBE Administration                           | <ol style="list-style-type: none"> <li>2.               <ol style="list-style-type: none"> <li>a. Review prepared Professional Service Contract in the Blue Folder received from Professional Services/ Contracts Division to ensure all DBE required attachments, if any, have been incorporated in the Professional Service Contract(s) correctly and, if so, forward Blue Folder to General Development Department.</li> <li>b. If required attachments have not been incorporated into the Professional Service Contract, include a copy of the all such required attachments in Blue Folder and forward Blue Folder to General Development Department (proceed to step (D)(14) below)t.</li> </ol> </li> </ol>  |
| General Development<br>Department            | <ol style="list-style-type: none"> <li>3.               <ol style="list-style-type: none"> <li>a. Review and approve all appropriate documents in the Blue Folder received from DBE Administration.</li> <li>b. If changes to any document(s) in the Blue Folder is required, route the Blue Folder back to Professional Services/ Contracts Division for changes (proceed to step (D)(4) below).</li> <li>c. Forward any appropriate documentation to the FTA</li> </ol> </li> </ol>  |

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		19	26

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

<u>Responsible Party</u>	<u>Action</u>
	and/or IDOT for concurrences, as necessary.
	d. When concurrences are received from FTA and/or IDOT, forward Blue Folder to Accounts Payable (proceed to step (D)(5) below).
Professional Services/ Contracts Division	4. a. If changes are required from General Development Department make requested corrections on appropriate documents in the Blue Folder and return Blue Folder to General Development Department for concurrence. b. Complete applicable sections of Checklist - RFP's, if any.
Accounts Payable	5. a. Review all appropriate documents in the Blue Folder received from General Development Department. b. Prepare and file all necessary documents to encumber funds. c. Forward Blue Folder to Risk Management.
Risk Management	6. a. Review prepared Professional Service Contract in the Blue Folder received from Accounts Payable to ensure all applicable insurance requirement attachments, if any, have been incorporated in the Professional Service Contract and, if so, forward Blue Folder to Professional Services/ Contracts Division. b. If required attachments have not been incorporated into the Blue Folder, include a copy of the all such required attachments in Blue Folder and forward Blue Folder to Professional Services/ Contracts Division (proceed to step (D)(14) below).
Professional Services/ Contract Division	7. a. Receive Blue Folder from Risk Management. b. Insert signed Professional Service Contract into Blue Folder. c. If Professional Service Contract is a corporate administrative contract valued over \$10,000 and

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		20	26

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

**Responsible Party**

**Action**

requires approval, forward Blue Folder to the Sr. Division Director General Administration (proceed to step (D)(8) below), otherwise, proceed to step (D)(9) below.

d. Complete applicable sections of Checklist - RFP's, if any.

Law Department

- 8. a. Review all appropriate documents in the Blue Folder received from Professional Services/Contract Division for legal compliance.
- b. If any one or more of the documents in the Blue Folder require modification, alert and coordinate with Professional Services/ Contracts Division regarding required modifications to documents (proceed to step (D)(14) below).
- c. Otherwise, if Law Department is satisfied with respect to legal compliance of contract, forward Blue Folder back to Professional Services/ Contracts Division.

Sr. Division Director General Administration (for corporate administrative contract valued over \$10,000)

- 9. a. Review all appropriate documents in the Blue Folder received from Professional Services/ Contracts Division.
- b. If any one or more of the documents in the Blue Folder require modification prior to acceptance by Sr. Division Director General Administration, alert and coordinate with Professional Services/ Contracts Division regarding required modifications to documents (proceed to step (D)(14) below).
- c. Otherwise, if Sr. Division Director General Administration is satisfied with the documents in the Blue Folder, approve contract and forward Blue Folder to Professional Services/ Contract Division.

Professional Services/ Contract Division

- 10. a. Review all appropriate documents in the Blue Folder received from the Sr. Division Director General Administration (as applicable) and/or the Law Department.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		21	26

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

<u>Responsible Party</u>	<u>Action</u>
	<ul style="list-style-type: none"> <li>b. Revise compilation of Blue Folder documents as necessary.</li> <li>c. Forward revised Blue Folder documents to Material Management Department.</li> <li>d. Complete applicable sections of Checklist - RFP's, if any.</li> </ul>
Material Management Department	<p>11. a. Review all appropriate documents in the Blue Folder received from Professional Services/ Contracts Division.</p> <p>b. If any one or more of the documents in the Blue Folder require modification prior to acceptance by Material Management Department, alert and coordinate with Professional Services/ Contracts Division regarding required modifications to documents (proceed to step (D)(14) below).</p> <p>c. Otherwise, if Material Management Department is satisfied with the documents in the Blue Folder, present Blue Folder documentation to Deputy Executive Director for approval.</p>
Deputy Executive Director	<p>12. a. Review all appropriate documents in the Blue Folder received from the Material Management Department.</p> <p>b. If any one or more of the documents in the Blue Folder require modification prior to acceptance by Deputy Executive Director, alert and coordinate with Professional Services/ Contracts Division regarding required modifications to documents (proceed to step (D)(14) below).</p> <p>c. Otherwise, if Deputy Executive Director is satisfied with the documents in the Blue Folder, forward Blue Folder to the Executive Director for final approval.</p>
Executive Director	<p>13. a. Review, as final approval, all appropriate documents in the Blue Folder received from Deputy Executive Director.</p>

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		22	26

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

**Responsible Party**

**Action**

- b. If any one or more of the documents in the Blue Folder require modification prior to acceptance by Executive Director, alert and coordinate with Professional Services/ Contracts Division regarding required modifications to documents (proceed to step (D)(14) below).
  - c. Otherwise, if Executive Director is satisfied with the documents in the Blue Folder, grant final approval of the Professional Service Contract and forward approved Professional Service Contract and remainder of Blue Folder to Professional Services/ Contracts Division (proceed to step (D)(15) below).
- Professional Services/  
Contract Division (upon rejection of Blue Folder documents by DBE Administration/  
Risk Management/ Sr. Division Director General Administration/ Law Department/ Material Management Department/  
Deputy Executive Director/ and/or Executive Director)
14. a. Coordinate with DBE Administration/ Risk Management/ Sr. Division Director General Administration/ Law Department/ Material Management Department/ Deputy Executive Director/ and/or Executive Director (as applicable) regarding required modifications to documents, then proceed to step (D)(15) below.
- b. Complete applicable sections of Checklist - RFP's, if any.
- Professional Services/  
Contracts Division
15. a. Process the approved Professional Service Contract.
- b. Distribute signed copies of approved Professional Service Contract as follows:
- i. Selected Offeror - original, hand signed, w/cover letter and appropriate exhibits requesting insurance certificates to be submitted to Professional Services/ Contracts Division,
  - ii. Requisitioner/User - copy of original Professional Service Contract along with any exhibits.
  - iii. Accounts Payable - copy of Professional Service Contract(s), Account Data Sheet, and Purchase

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		23	26

**PROFESSIONAL SERVICE CONTRACTS  
(GRANT-FUNDED, NON-BROOKS METHOD)**

Responsible Party

Action

- Requisition.
- iv. General Development Department - if grant funded, copy of Professional Service Contract and Account Data Sheet.
- v. Retain in respective procurement file - original, hand signed, with any exhibits.
- c. Receive and review Offeror's required insurance certificates. Forward copies of such certificates to Risk Management Division and/or DBE Department (if DBE participation is required) for approval.
- d. Otherwise, Risk Management Division and/or DBE Department (as applicable) approve received insurance certificates, issue a Notice to Proceed Letter to selected Offeror.
- e. Notify remaining non-selected Offerors by letter of decision to proceed with selected Offeror.
- f. Compile all records connected with the history of the subject RFP procurement , including without limitation all documentation relating to the rationale for the method of procurement, the selection of Professional Service Contract type, the basis of Evaluation Committee's Offeror selection/ rejection based on the Evaluation Criteria, Evaluation Committee's rankings (individual and group) with respect to each Offeror and the basis for the contract price.
- g. File all of the foregoing records in respective procurement file (other than large maps, drawing and plans which are to be kept in respective department file).
- h. Finalize Checklist - RFP's and file in respective procurement file.

**V. INSTRUCTIONS (Continued)**

**E. Administration of Contract**

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
4	11-1-11	Materials Management		24	26

## ARCHITECTURAL AND ENGINEERING SERVICES CONTRACTS (BROOKS METHOD)

### I. PURPOSE

This procedure sets forth policies and instructions for acquiring, administering, and terminating contracts for A & E services by Metra, regardless of the funding mechanism.

### II. POLICY:

#### GENERAL:

A & E services are acquired by Metra using the "Brooks" procurement method regardless of the funding mechanism. The Brooks procurement method is based on the award of contracts for services such as A & E services using a qualifications-based procurement analysis. Price is not a factor in determining the most qualified Offeror. Instead, each Offeror's qualifications are evaluated and the most qualified Offeror is selected subject to the negotiation of fair and reasonable compensation.

Proposals will be evaluated, negotiated, selected and any award shall be made in accordance with the criteria and procedures described below. The approach and procedures are those which are applicable to a competitive negotiated procurement whereby proposals are evaluated to determine which proposals are within a competitive range. Discussions may then be carried out with Offerors within the competitive range. The Offeror selected will be the Offeror whose proposal is found to be most advantageous to Metra, based upon consideration of the Evaluation Criteria. Negotiate the offer/contract with the highest ranked Offeror. In the event Professional Services/ Contracts Division is unable to reach an agreement with such Offeror, terminate negotiations with such Offeror and enter into negotiations with the next highest ranking Offeror (and so on).

Metra personnel will maintain ethical standards in their professional activities. Metra personnel must avoid personal and organizational conflict-of-interest situations and avoid the appearance of such situations. Metra personnel are required to be familiar with Metra's ethics policies and all circumstances and persons covered by any type of conflict-of-interest situation.

Any proprietary information, methodology, or application that is contained in a proposal shall remain strictly confidential, will be screened for distribution only to those Metra personnel who require it for work directly connected with the project, and will not be distributed to persons not relevant to the project and not within reporting hierarchies at Metra which are relevant to the project. The confidentiality extends to the cost/profit figures contained in the proposals and the process of negotiations.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		1	26

**ARCHITECTURAL AND ENGINEERING  
 SERVICES CONTRACTS  
 (BROOKS METHOD)**

Criteria provided in the subject RFP. The Evaluation Committee shall make a preliminary evaluation of the submitted proposals to identify, normally, no less than the three highest ranked Offerors based on the subject Evaluation Criteria with which the Professional Services/ Contracts Division shall arrange to engage in further discussions.

The Professional Services/ Contracts Division, with the assistance of the Requisitioner/User, shall coordinate further discussions with the identified highest ranking Offerors, including the scheduling of a pre-award interview to clarify any final matters. The Professional Services/ Contracts Division shall also obtain such other information, other than cost information, necessary to evaluate the identified highest ranking Offerors and their respective proposals.

Upon obtaining the foregoing information, the Evaluation Committee shall re-evaluate the identified highest ranking Offerors, first individually by each member then collectively as a group, to determine the Offeror whose proposal will be most advantageous to Metra based on the Evaluation Criteria. The Professional Services/ Contracts Division shall continue to negotiate with such selected Offeror to determine the compensation that is fair and reasonable, taking into account the scope, complexity, and professional nature of the services. Except in the case of Blanket RFPs, cost details from such highest ranking Offeror will be obtained on a RC4400 form after the evaluation process. For Blanket RFPs, a schedule of positions with the range of hourly rates including overhead and burden and any other costs to be determined will be obtained on RC4400 form from the highest ranking Offeror after the evaluation process. The Professional Services/ Contracts Division shall complete the Price Analysis Documentation and forward such documentation, together with all other information received with respect to the subject Offeror to the Evaluation Committee. Metra will also perform a Cost Analysis of such Offeror's proposal before entering into a contract in order to measure the cost reasonableness of the subject proposal.

Contracts with respect to a given RFP will be generally awarded on a maximum compensation basis, and will reflect a specified maximum amount, payment schedule, and method of payment. Advance payments prior to the incurrence of costs by the Offeror are prohibited. If no contract can be concluded with the highest ranking Offeror, negotiations will be formally terminated with that Offeror and new negotiations will be undertaken with the second highest ranking Offeror (and so on). Upon completion of the foregoing negotiations, the Professional Services/ Contracts Division shall prepare, and have internally approved, a contract to be executed by the selected Offeror. No contract shall exceed five (5) years including options, if any.

The Professional Services/ Contracts Division will maintain all substantive records and correspondence with respect to each RFP. Such records include, but are not limited to, the

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		3	26

**ARCHITECTURAL AND ENGINEERING  
SERVICES CONTRACTS  
(BROOKS METHOD)**

documentation relating to the rationale for the method of procurement, the selection of contract type, the basis of Offeror selection/ rejection based on the Evaluation Criteria, Evaluation Committee rankings (individual and group) with respect to each Offeror and the basis for the contract price. All such information shall be maintained by the Professional Services/ Contracts Division in the respective procurement file (other than large maps, drawing and plans which are to be kept in respective department file).

Once a contract has been executed, the Requisitioner/User and the Professional Services/ Contracts Division will continuously monitor Consultant's compliance with the provisions of the contract. In the event of non-compliance by a Consultant, the Professional Services/ Contracts Division will contact said Consultant and attempt to achieve rectification of the compliance deficiencies. If said Consultant is unresponsive, or such deficiencies are not remedied, the Professional Services/ Contracts Division will take remedial actions with respect to the subject contract, including without limitation termination of the contract, as necessary. The Professional Services/ Contracts Division, in consultation with the Requisitioner/User department, will follow FTA guidelines where appropriate and Metra Administrative Operating Procedures regarding the appropriate actions associated with protest and disputes. (See PU-11-RC).

Upon completion of a project, the Requisitioner/User shall complete a Contract Completion Form and forward the completed form to the Professional Services/ Contracts Division to be filed in the respective procurement file.

**III. DEFINITIONS**

Architectural & Engineering (A & E) Services: See Glossary.

Blue Folder: See Glossary.

Board Concurrence: See Exhibit IV.

Brooks Method: See Glossary.

Canvass: See Glossary.

Capital Funds/Capital Funding: See Glossary.

Checklist - RFP's: See Exhibit V.

Clarification: See Glossary.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		4	26

**ARCHITECTURAL AND ENGINEERING  
SERVICES CONTRACTS  
(BROOKS METHOD)**

- After pre-award interviews, re-evaluate independent and consensus rankings of Offerors, as necessary.
- Identifies highest ranking Offeror (and order of subsequently ranked Offerors) with which Professional Services/ Contracts Division shall attempt to negotiate a final contract.
- Reviews cost and other information obtained by Professional Services/ Contracts Division from selected highest-ranked Offeror.
- Forwards all substantive records and correspondence with respect to each RFP, including the information identified in Section II above, to Professional Services/ Contracts Division for filing in respective procurement file.

General Development Department

- Where capital funds (other than Section 8 funding) are involved, provides detailed guidance on contract requirements, reviews contracts for compliance with said requirements, and obtains funding concurrence as required.

Law Department

- Reviews contracts for legal compliance and provides clearance as appropriate.

Professional Services/ Contracts Division

- Approves the Evaluation Criteria prepared by Requisitioner/User.
- In concert with Requisitioner/User, identifies Evaluation Committee and Contact Person.
- Performs overall staff management, coordination, processing, execution and filing of A & E contracts, including coordination of the RFP's components, and issues of solicitation.
- In concert with Requisitioner/User, schedules and hosts the pre-proposal conferences (as necessary), to clarify RFP requirements and answer questions from potential Offerors.
- Reviews the initial RFP and prepares the formal RFP. Assures that there is a clear, accurate description of the technical requirements, and unambiguously as possible for the services(s) to be procured.
- Prepares solicitation advertisement and facilitates the placement of such advertisement in a newspaper of general circulation.
- Identifies target Offerors (if any) from Metra's vendor database to receive e-mails regarding solicitation and facilitates such e-mails.
- Receives proposals, performs initial review, and completes a Responsibility Determination Form with respect to each proposal.
- Conducts a canvass when it receives only one proposal.
- In concert with Requisitioner/User, schedules and hosts pre-award interviews (as necessary).

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		7	26

**ARCHITECTURAL AND ENGINEERING  
SERVICES CONTRACTS  
(BROOKS METHOD)**

- Coordinates correspondence, if any, between Offerors and Contact Person.
- Obtains cost and other information requested by the Evaluation Committee from selected highest-ranked Offeror.
- Obtains and/or performs pre-award Cost Analysis of proposals, in consultation with the Requisitioner/User, to determine the reasonableness of the final Offeror's costs.
- Negotiates and coordinates award of final contract to highest ranked Offeror(s) (or subsequently ranked Offeror(s), as applicable).
- Coordinates on-going administrative duties that are not directly related to the monitoring of the work performance, such as correspondence meeting minutes.
- Upon notification from Requisitioner/User, attempts to obtain compliance with contract provisions from non-complying Consultants and/or takes remedial actions with respect to the subject contract (including without limitation cancellation of the contract) as necessary.
- **Completes Checklist-RFP's for each RFP.**
- Maintain all substantive records and correspondence with respect to each RFP, including the information identified in Section II above, in respective procurement file (other than large maps, drawing and plans which are to be kept in respective department file).

Material Management Department

- Reviews contracts and approves as appropriate.

Requisitioner/User

- Establishes project objectives, the tentative scope of work, and the Evaluation Criteria.
- Determines budgetary support limits and tentative project scheduling.
- Prepares the initial Purchase Requisition and RFP. Prepares a clear, accurate description of the technical requirements, and unambiguously as possible for the services(s) to be procured.
- Prepares an independent Cost Estimate.
- Determines the importance of contract completion or milestone date(s) so that the appropriate actions can be taken if noncompliance of the terms has occurred.
- Submits the RFP to DBE Administration for review of compliance with applicable DBE guidelines.
- Submits the RFP reviewed by DBE Administration to the General Development Department for review of compliance with applicable funding guidelines. Identifies appropriate funding account(s) and inputs onto the Purchase Requisition.
- Submits the RFP reviewed by the General Development Department to the Professional Services/ Contracts Division.
- Submits list of additional prospective proposed Offerors, if any.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		8	26

**ARCHITECTURAL AND ENGINEERING  
SERVICES CONTRACTS  
(BROOKS METHOD)**

<u>Responsible Party</u>	<u>Action</u>
	requirements, if any, to be included in initial RFP.
	o Forward requisition, initial RFP and attachments to General Development Department for review of grant numbers and grant assignments.
General Development Department	2. o Review requisition for grant numbers and grant assignments. o Forward requisition, initial RFP and attachments to the Professional Services/ Contracts Division.
Requisitioner/User (upon rejection of initial RFP from Professional Services/ Contracts Division)	3. o Provide all additional information/revise submitted initial RFP, as requested by Professional Services/Contract Division. o Consult with DBE Administration on additional DBE requirements, if any, to be included in revised initial RFP. o Forward requisition, revised initial RFP and attachments to General Development Department for review of revisions to grant numbers and grant assignments. o Complete applicable sections of Checklist - RFP's, if any.
General Development Department (upon rejection of initial RFP from Professional Services/ Contracts Division)	4. o Review requisition, revised initial RFP for revisions to grant numbers and grant assignments. o Forward requisition, revised initial RFP and attachments to the Professional Services/ Contracts Division.

**V. INSTRUCTIONS (Continued)**

**B. Solicitation of Proposals**

Responsible Party

Action

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		10	26

**ARCHITECTURAL AND ENGINEERING  
SERVICES CONTRACTS  
(BROOKS METHOD)**

**Responsible Party**

**Action**

Professional Services/  
Contracts Division (review  
of initial RFP)

1.

- o Receive and review the requisition and initial RFP (including all Evaluation Criteria) and all appropriate attachments from General Development Department.
- o Request Cost Estimate from Materials Department and/or the Requisitioner/User if not attached to initial RFP.
- o If submitted initial RFP is approved, consult with Requisitioner/User to select Evaluation Committee and Contact Person and proceed to step (B)(2) below.
- o If submitted initial RFP is not approved for any reason, forward subject initial RFP and all appropriate attachments back to Requisitioner/User with comments for revisions and re-submittal (proceed to back to step (A)(3) above).
- o Complete applicable sections of Checklist - RFP's, if any.

Professional Services/  
Contracts Division  
(preparation of formal  
RFP/advertisement)

2.

- o Prepare the formal RFP, which should include at least the following in the project description: overview, objectives, scope, estimated time schedule, reporting requirements, required projects documents, DBE requirements (if any), the procurement method, Evaluation Criteria and Contact Person.
- o [\*\*Forward any modifications to the initial RFP to all interested parties.\*\*]
- o Prepare solicitation advertisement to be placed in newspaper of general circulation.
- o Identify target Offerors from Metra's vendor database to receive e-mail regarding solicitation.
- o Prepare Insurance Requirement Request form (See Exhibit II in PU-06-RC, Professional Services Contracts) and

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		11	26

**ARCHITECTURAL AND ENGINEERING  
SERVICES CONTRACTS  
(BROOKS METHOD)**

**Responsible Party**

**Action**

- Risk Management

3.

  - request Risk Management to determine insurance requirements based on the scope of the project.
  - Complete applicable sections of Checklist - RFP's, if any.
  
- Professional Services/  
Contracts Division (prior to advertisement/ mailing of solicitations for proposals)

4.

  - Receive Insurance Requirement Request form from Professional Services/ Contracts Division.
  - Determine the applicable insurance requirements, if any, for Offerors.
  - Complete an insurance certificate which documents the requirements of insurance (as applicable), and send to Professional Services/ Contracts Division Documents.
  
- Professional Services/  
Contracts Division (after advertisement/ mailing of

5.

  - Receive determination of insurance requirements from Risk Management. If insurance requirements necessary, identify such requirements in relevant exhibit of formal RFP. If insurance requirements are determined to be unnecessary, then delete this exhibit.
  - Circulate the formal RFP with selected Offeror direct mailing list to the Requisitioner/User, DBE Administration, General Development Department, and Risk Management Division for final review.
  - Concurrently with the circulation of the formal RFP, advertise the project in a newspaper of general circulation and send e-mail notices to each Offeror selected from Metra's vendor database.
  - Complete applicable sections of Checklist - RFP's, if any.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		12	26

**ARCHITECTURAL AND ENGINEERING  
SERVICES CONTRACTS  
(BROOKS METHOD)**

**Responsible Party**  
solicitations for proposals)

- Action**
- requirements.
  - o Notify Evaluation Committee and appropriate division/department/offices of conference, if any.
  - o Have Contact Person and any other appropriate Metra staff available to answer questions on any portion of the formal RFP.
  - o Complete applicable sections of Checklist - RFP's, if any.

**V. INSTRUCTIONS (Continued)**

**C. Selection of Consultant**

**Responsible Party**  
  
Professional Services/  
Contracts Division

- Action**
1.
    - o Receive proposals, and record the names of the Offerors on the Proposal Tabulation Sheet, (RC737 See Exhibit I in PU-04-RC, Informal Quotations And Award), and indicate respective due date.
    - o Open proposals in the presence of a witness on the due date.
    - o Review each proposal for general responsiveness, responsibility, completeness, and compliance with instructions.
    - o Complete Responsibility Determination Form for each proposal and file completed form in respective procurement file.
    - o Forward copies of proposals accepted for consideration to DBE Administration (as applicable) for review.
    - o Forward copies of proposals accepted for consideration (after approval by DBE Administration, as applicable) to Evaluation Committee for review.
    - o Complete applicable sections of Checklist - RFP's, if any.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		13	26

**ARCHITECTURAL AND ENGINEERING  
SERVICES CONTRACTS  
(BROOKS METHOD)**

<u>Responsible Party</u>	<u>Action</u>
Professional Services/ Contracts Division	<p>4. otherwise obtained by Professional Services/ Contracts Division and provide Professional Services/ Contracts Division with list of such information.</p> <ul style="list-style-type: none"> <li>o Receive and review list of highest ranked Offerors from Evaluation Committee. If less than three Offerors, conduct a canvass and document findings.</li> <li>o Receive and review list of additional information with respect to an Offeror(s) requested by Evaluation Committee (as applicable).</li> <li>o Obtain all other information with respect to an Offeror(s) requested by Evaluation Committee and forward such information to Evaluation Committee for review (as applicable).</li> <li>o Notify selected Offerors of their inclusion on a short list and coordinate possible meeting dates with each such Offeror.</li> <li>o Schedule and host, if necessary, a pre-award interview to resolve and clarify any final questions or other matters.</li> <li>o Forward all requested additional information received for highest ranked Offerors to Evaluation Committee.</li> <li>o Document all correspondence and discussions with Offerors, including substantive details of discussions with Offerors, and maintain all such records.</li> <li>o Complete applicable sections of Checklist - RFP's, if any.</li> </ul>
Evaluation Committee	<p>5.</p> <ul style="list-style-type: none"> <li>o Receive and review all other information received from Professional Services/ Contracts Division regarding Offerors.</li> <li>o Have members of Evaluation Committee independently re-evaluate and re-rank</li> </ul>

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		15	26

**ARCHITECTURAL AND ENGINEERING  
SERVICES CONTRACTS  
(BROOKS METHOD)**

**Responsible Party**

**Action**

detailed basis for selection (including evidence of Evaluation Committee's ranking of such Offeror), and the specific reasons for the recommendation of the highest ranking Offeror to obtain Board concurrence.

- o Obtain Board Concurrence.
- o Complete applicable sections of Checklist - RFP's, if any.
- o File a summary of the Cost Analysis with other significant and/or supporting documentation in respective procurement file.
- o Receive all records connected with the evaluation and re-evaluation of each proposal from Evaluation Committee and file such records in respective procurement file.

**V. INSTRUCTIONS (Continued)**

**D. Awarding the Contract**

**Responsible Party**

**Action**

Professional Services/  
Contracts Division

1.

- o After receiving Board Concurrence, prepare two original copies of the contracts with appropriate detailed information for Blue Folder circulation.
- o Prepare all other appropriate documents for Blue Folder circulation.
- o Concurrently with the preparation of the Blue Folder documents, obtain the selected Offeror's signature on two original copies of the contract.
- o Once all documentation is with the Blue Folder, internally route as set forth on the

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		18	26

**ARCHITECTURAL AND ENGINEERING  
SERVICES CONTRACTS  
(BROOKS METHOD)**

<u>Responsible Party</u>		<u>Action</u>
		Routing Slip (See Exhibit V in PU-06-RC, Professional Services Contracts). o Complete applicable sections of Checklist - RFP's, if any.
DBE Administration	2.	o Review prepared contracts in the Blue Folder received from Professional Services/ Contracts Division to ensure all DBE required attachments, if any, have been incorporated in the contract(s) correctly and, if so, forward Blue Folder to General Development Department. o If required attachments have not been incorporated into the contract, include a copy of the all such required attachments in Blue Folder and forward Blue Folder to General Development Department (proceed to step (D)(14) below)t.
General Development Department	3.	o Review and approve all appropriate documents in the Blue Folder received from DBE Administration. o If changes to any document(s) in the Blue Folder is required, route the Blue Folder back to Professional Services/ Contracts Division for changes (proceed to step (D)(4) below). o Forward any appropriate documentation to the FTA and/or IDOT for concurrences, as necessary. o When concurrences are received from FTA and/or IDOT, forward Blue Folder to Accounts Payable and proceed to step (D)(5) below.
Professional Services/ Contracts Division	4.	o If changes are required from General Development Department make requested corrections on appropriate documents in the Blue Folder and return

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		19	26

**ARCHITECTURAL AND ENGINEERING  
SERVICES CONTRACTS  
(BROOKS METHOD)**

**Responsible Party**

**Action**

- Accounts Payable

5.

  - Blue Folder to General Development Department for concurrence.
  - Complete applicable sections of Checklist - RFP's, if any.
  - Review all appropriate documents in the Blue Folder received from General Development Department.
  - Prepare and file all necessary documents to encumber funds.
  - Forward Blue Folder to Risk Management.
  
- Risk Management

6.

  - Review prepared contracts in the Blue Folder received from Accounts Payable to ensure all applicable insurance requirement attachments, if any, have been incorporated in the contract(s) and, if so, forward Blue Folder to Professional Services/ Contracts Division.
  - If required attachments have not been incorporated into the Blue Folder, include a copy of the all such required attachments in Blue Folder and forward Blue Folder to Professional Services/ Contracts Division (proceed to step (D)(14) below).
  
- Professional Services/  
Contract Division

7.

  - Receive Blue Folder from Risk Management.
  - Insert signed contracts into Blue Folder.
  - If contract(s) is a corporate administrative contract valued over \$10,000 and requires approval, forward Blue Folder to the Sr. Division Director, General Administration (proceed to step (D)(8) below), otherwise, proceed to step (D)(9) below.
  - Complete applicable sections of Checklist

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		20	26

**ARCHITECTURAL AND ENGINEERING  
SERVICES CONTRACTS  
(BROOKS METHOD)**

<u>Responsible Party</u>		<u>Action</u>
		- RFP's, if any.
Law Department	8.	<ul style="list-style-type: none"> <li>o Review all appropriate documents in the Blue Folder received from Professional Services/Contract Division for legal compliance.</li> <li>o If any one or more of the documents in the Blue Folder require modification, alert and coordinate with Professional Services/ Contracts Division regarding required modifications to documents (proceed to step (D)(14) below).</li> <li>o Otherwise, if Law Department is satisfied with respect to legal compliance of contract(s), forward Blue Folder back to Professional Services/ Contracts Division.</li> </ul>
Sr. Division Director General Administration (for corporate administrative contract valued over \$10,000)	9.	<ul style="list-style-type: none"> <li>o Review all appropriate documents in the Blue Folder received from Professional Services/ Contracts Division.</li> <li>o If any one or more of the documents in the Blue Folder require modification prior to acceptance by Sr. Division Director General Administration, alert and coordinate with Professional Services/ Contracts Division regarding required modifications to documents (proceed to step (D)(14) below).</li> <li>o Otherwise, if Sr. Division Director General Administration is satisfied with the documents in the Blue Folder, approve contract and forward Blue Folder to Professional Services/Contracts Division.</li> </ul>
Professional Services/ Contract Division	10.	<ul style="list-style-type: none"> <li>o Review all appropriate documents in the Blue Folder received from the Sr Division Director, General Administration.</li> <li>o Revise compilation of Blue Folder documents as necessary.</li> </ul>

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		21	26

**ARCHITECTURAL AND ENGINEERING  
SERVICES CONTRACTS  
(BROOKS METHOD)**

**Responsible Party**

**Action**

- o Forward revised Blue Folder documents to Material Management Department.
  - o Complete applicable sections of Checklist - RFP's, if any.
- Material Management Department      11.
- o Review all appropriate documents in the Blue Folder received from Professional Services/ Contracts Division.
  - o If any one or more of the documents in the Blue Folder require modification prior to acceptance by Material Management Department, alert and coordinate with Professional Services/ Contracts Division regarding required modifications to documents (proceed to step (D)(14) below).
  - o Otherwise, if Material Management Department is satisfied with the documents in the Blue Folder, present Blue Folder documentation to Deputy Executive Director for approval.
- Deputy Executive Director      12.
- o Review all appropriate documents in the Blue Folder received from the Material Management Department.
  - o If any one or more of the documents in the Blue Folder require modification prior to acceptance by Deputy Executive Director, alert and coordinate with Professional Services/ Contracts Division regarding required modifications to documents (proceed to step (D)(14) below).
  - o Otherwise, if Deputy Executive Director is satisfied with the documents in the Blue Folder, forward Blue Folder to the Executive Director for final approval.
- Executive Director      13.
- o Review, as final approval, all appropriate

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		22	26

**ARCHITECTURAL AND ENGINEERING  
SERVICES CONTRACTS  
(BROOKS METHOD)**

**Responsible Party**

**Action**

- documents in the Blue Folder received from Deputy Executive Director.
  - o If any one or more of the documents in the Blue Folder require modification prior to acceptance by Executive Director, alert and coordinate with Professional Services/ Contracts Division regarding required modifications to documents (proceed to step (D)(14) below).
  - o Otherwise, if Executive Director is satisfied with the documents in the Blue Folder, grant final approval of the contract and forward approved contract and remainder of Blue Folder to Professional Services/ Contracts Division (proceed to step (D)(15) below).
  - o
  - o Coordinate with DBE Administration/ Risk Management/ Sr. Director Corporate Administration/ Law Department/ Material Management Department/ Deputy Executive Director/ and/or Executive Director (as applicable) regarding required modifications to documents, then proceed to step (D)(15) below.
  - o Complete applicable sections of Checklist - RFP's, if any.
14. Professional Services/ Contract Division (upon rejection of Blue Folder documents by DBE Administration/ Risk Management/ Sr. Director Corporate Administration/ Law Department/ Material Management Department/ Deputy Executive Director/ and/or Executive Director)
15. Professional Services/ Contracts Division
- o Process the approved contract.
  - o Distribute signed copies of contract as follows:
    - a. Selected Offeror - original, hand signed, w/cover letter and appropriate exhibits requesting insurance certificates to be submitted to Professional Services/ Contracts Division. (See Exhibit II in PU-06-RC, Professional Services Contracts);

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
5	11-30-11	Materials Management		23	26

**FORMAL SOLICITATION AND AWARD  
FOR CONSTRUCTION CONTRACTS**

**I. PURPOSE**

This procedure provides instructions for the solicitation of bids for construction contracts where the estimated cost is \$10,000.00 or more.

**II. POLICY**

Metra will have and use an up-to-date list of firms registered in Metra's vendor database to use in the solicitation of construction contracts.

This procedure will be used when the acquisition of construction contracts will equal or exceed \$10,000.00, unless specifically exempted.

Any construction acquisitions under \$10,000.00 may be made utilizing Informal Quotations and Award (PU-04-RC), or if less than \$500, Direct Purchases, (PU-13-RC).

The bid solicitation process will contain procedures for including Disadvantaged Business Enterprises on bidders' lists for the project to be procured, where appropriate.

Whenever possible and practical, Metra will endeavor to secure three or more bids (quotations) in the open market. If less than two bids are obtained, the reasons should be documented. If the solicitation specified a vendor as a sole source, a written memorandum explaining the reasons for the restriction must be provided. The memorandum must be signed by the manager of the Requisitioning Department, Division, or Office, the Senior Director or Deputy Executive Director, as appropriate, and the Executive Director.

A sole source must be the only available contractor that can provide the goods or services.

If capital funding is involved, FTA/IDOT approval of a sole source may be required.

Only bids received by the announced due date and time will be considered.

Solicitation for bids from contractors will be made by media advertisements for Invitation for Bids. (See Exhibit II in PU-04-RC, Informal Quotations and Awards)

For contracts that include capital funds, a price/cost analysis and a history of procurement must be prepared and maintained on file.

Construction contracts will be awarded to the lowest, responsive and responsible bidder.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
2	12-1-11	Materials Management		1	9

**FORMAL SOLICITATION AND AWARD  
FOR CONSTRUCTION CONTRACTS**

**III. DEFINITIONS**

Requisition: See Glossary

Sole Source: See Glossary

**IV. RESPONSIBILITIES**

Requisitioner/User

Submits requisition(s) and provides adequate specifications for items desired in accordance with Requisitioning of Materials and Services, PU-02-RC. Prepares memorandum justifying sole source requirements, signed by the Director of the Requisitioning Department, Division, or Office, the Senior Director or Deputy Executive Director, as appropriate, and the Executive Director. Assists Procurement Division or Professional Services/Contracts Division in providing specifications and clarifying specifications, as required. Reviews bidders to verify their ability to meet technical specifications. Prepares independent cost estimate as required.

Budget Authority

Verifies availability of funds in the appropriate budget account. Reviews signatures and completeness of forms. The Department Head, Director, Section Chief, or other similarly designated person signs approval in box #25 on requisition after checking budget. Maintains a record of all requisitions and purchases to ensure that budget limitations are not exceeded. Verifies proper Account/Distribution codes.

Professional Services/Contracts Division

Determines the method of obtaining quotations. Solicits quotations and selects the lowest responsive and responsible bidder. Where possible, solicits bids to secure a minimum of three qualified vendors. Receives, opens, reads aloud, and records all bids received. If capital funds are involved, makes the award with concurrence from General Development Department. For items that are sole source, prepares memorandum justifying sole source requirement to Materials Management Department Head. Ensures that justification memorandum is signed by the Department Head, Materials Management, Deputy Executive Director, and the Executive Director. Prepares purchase order/contracts and obtains signatures. Distributes purchase order/contract copies. Advises the Risk Management Division of the purchase of real property, new equipment, construction activities, and other insurable items. Maintain all substantive records and correspondence with respect to each IFB. Such records include, but are not limited to, the documentation relating to the rationale for the method of procurement, the selection of contract type, and the basis for the contract price. All such information shall be maintained by the Professional Services/Contracts Division in the respective procurement file (other than large maps, drawing and plans which are to be kept in respective department file).

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
2	12-1-11	Materials Management		2	9

**FORMAL SOLICITATION AND AWARD  
FOR CONSTRUCTION CONTRACTS**

**Responsibility**

**Action**

DBE Administration

Professional  
Services/Contracts

Requisitioner/User

4. Forward approved pink copy of requisition to DBE Administration for its information.
5. Assign a Contracting Agent to the responsibility of processing the requisition.
6. Review requisition and recommend additional DBE vendors for quotation solicitation. Notify Contracting Agent of any additional vendors to be put on the DBE Vendor list.
7. Solicit Invitation for Bids. (See Exhibit II in PU-04-RC, Informal Quotations and Awards).
8. At the time and day of the announced bid opening, open bids publicly, read aloud, and record on Bid/Proposal Tabulation form (RC 737). (See Exhibit I PU-04-RC, Informal Quotations and Award)
9. Submit technical information to Requisitioner for review in regard to conformance to technical specifications. Use Technical Evaluation Form (See Exhibit II in PU-05-RC, Formal Quotations and Award). Additionally, forward the DBE Exhibits to the DBE Office.
10. Review bid/proposal to evaluate for compliance to bid/proposal documents' requirements. Complete applicable sections of Checklist IFB, if any.
11. Review technical data and complete the Technical Evaluation Form on the lowest bidder which is responsive to the technical specifications. Include a brief explanation detailing how non-responsive bidders failed to comply with the technical specifications. Forward form to Procurement or Professional Services Contracts Division. (See Exhibit II in PU-05-RC, Formal Quotations and Award)

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
2	12-1-11	Materials Management		4	9

**FORMAL SOLICITATION AND AWARD  
FOR CONSTRUCTION CONTRACTS**

**V. INSTRUCTIONS (Continued)**

**A. Awarding the Contract**

**Responsibility**

**Action**

Materials  
Management  
(Professional  
Services/ Contracts)

1. After receiving the approved Technical Evaluation Form, prepare the contract. (See Exhibit II in PU-05-RC, Formal Quotations and Awards).
2. If a bidder is found to be non-responsive or non-responsible, prepare a non-responsive/responsible letter informing the bidder of Metra's decision. The bidder has five (5) days in order to respond. If a bidder protests, follow PU-11-RC.
3. Prepare all appropriate documents for Blue Folder circulation. Concurrently, obtain the selected Offeror's signature on two copies of the contract.

Materials  
Management  
(Professional  
Services Contracts)

4. As applicable, receive and review technical recommendation form (See Exhibit II in PU-05-, Formal Quotations and Awards) and create the summary of Metra Procurement (See Exhibit VI in PU-06-RC, Professional Service Contracts) and associated documentation. Prepare Purchase Order/Contract with appropriate detailed information, perform and/or coordinate completion of a Cost Analysis when necessary. Once all documentation is with the Blue Folder, internally route as set forth on the Routing Slip (Exhibit I).

5. Review the integrity of the Blue Folder. Complete applicable sections of Checklist IFB, if any.

DBE Administration

6. Review to ensure all DBE requirements have been met. If requirements are not met then DBE Administration will take the appropriate actions.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
2	12-1-11	Materials Management		5	9

**FORMAL SOLICITATION AND AWARD  
FOR CONSTRUCTION CONTRACTS**

**V. INSTRUCTIONS (Continued)**  
**A. Awarding the Contract (cont'd)**

<u>Responsibility</u>	<u>Action</u>
Materials Management Department	14. Present Blue Folder documentation to Deputy Executive Director.
Deputy Executive Director	15. Review and concur on all contracts over \$10,000.00, in preparation to present, where applicable per FI-02-RC, and then forward to the Executive Director for final approval.
Executive Director	16. Review as the final approval authority on all contracts presented by the Deputy Executive Director and/or his designee per FI-02-RC.
Materials Management Professional Services/Contracts Division	17. Process the approved contract. Complete applicable sections of Checklist IFB, if any.
Materials Management Professional Services/Contracts Division	18. Distribute signed copies of contract as follows: <ul style="list-style-type: none"> <li>a) Selected Offeror – original, hand signed, with cover letter and appropriate exhibits requesting insurance certificates to be submitted to Professional Services Contract Division (See Exhibit III in PU-06-RC, Professional Service Contracts)</li> <li>b) Professional Services/Contracts – original hand signed with any exhibits.</li> <li>c) Requisitioner/User – copy of original contract along with any exhibits and Account Data Sheet.</li> <li>d) Accounting – copy reproduced signatures, Account Data Sheet.</li> <li>e) General Development – copy of the Contract and Account Data Sheet.</li> </ul>
	19. Notify remaining non-selected offerors by letter and return bid bonds.

**V. INSTRUCTIONS (Continued)**

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
2	12-1-11	Materials Management		7	9

**FORMAL SOLICITATION AND AWARD  
FOR CONSTRUCTION CONTRACTS**

**A. Awarding the Contract (cont'd)**

**Responsibility**

**Action**

- 20. Receive written approval of the Consultant's Insurance Certificates from the Risk Management Division, and performance, material and Labor bonds. Receive DBE Department's approval of vendors' DBE required schedules (if DBE participation is required).
- 21. Issue a "Notice to Proceed" letter to Offeror (see Exhibit VIII in PU-06-RC, Professional Service Contracts) when all elements in Step 20 are complete.

**B. Administration of the Contract**

**Responsibility**

**Action**

Professional Services/Contracts Division

- 1. Retain records connected with the history of the procurement, including but not limited to, records specified in Section II. Complete applicable sections of Checklist IFB, if any.

Requisitioner/User Department

- 2. Monitor Contractor's compliance with the agreement for the following:
  - a) Timely submission of the periodic progress reports in the degree of detail required by the contract.
  - b) Verification of the progress reported by the Contractor with the contract time schedule.
  - c) Acceptance of the quality of work conforming to standards prescribed by the contract.
  - d) Preparation of the invoices in accordance with the pricing/payment schedule supported by adequate documentation to verify amount claimed.
  - e) Upon completion of the project, skip to Step 8.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
2	12-1-11	Materials Management		8	9

**Progress Payments (Element #46):**

**Metra's Revised Response:** The PSR referenced nine (9) Metra contracts that were deficient. The reviewer indicated that Metra had two different standard clauses for progress payments; in one version of the clause the provision that title will transfer to Metra upon payment is included, and in the second version, the language is missing. Effective immediately, the boiler plate language that provides for title to pass to Metra once payment is made is being incorporated into the Construction and Proposal/Contract boiler plate where this specific language was missing. The language states: "When progress payments are utilized, Metra will receive title to property (materials, work in progress, and finished goods) for which progress payments are made. Such title must be free of all encumbrances, or Metra must receive a priority lien secured pursuant to Article 9 of the Uniform Commercial Code and other applicable State laws or local ordinances. To the extent any Federal funds are expended through progress payments, the rights of the United States in property for which the progress payments were made must be paramount to any rights arising under State law. Metra will not provide for progress payments if the contract items are quick turnover types of materials for which progress payments are not customary commercial practice. Metra will exclusively determine when progress payments are applicable."

Additionally, all current solicitations will also have the clause added if it is missing. Proposed revised PU-02-RC (see attached) also requires the clause to be incorporated into the solicitation documents if progress payments are allowed. The nine deficient contracts will be amended to incorporate the standard language also.

The Senior Division Director, General Administration will conduct an Element-by-Element review with all of the appropriate members of the Procurement and Professional Services staff. The training sessions will review each deficiency and the appropriate corrective action(s) to be implemented. The review will include an analysis of the PSR findings, as well as the purpose and execution of the corrective action. The Senior Director will document when they were held, which Elements were discussed, and who attended the training session. This documentation will be held in the PSR final report file. In addition, Metra will pursue available training provided by FTA, NTI, or other existing sources. We will offer to host courses so that we may include as many Metra Procurement staff as possible. To the extent that existing training does not cover certain topics, we will be issuing an RFP for a consultant to develop specialized training.

Lastly, Audit will commence an independent audit within 120 days of the acceptance of final corrective actions by the FTA. The 120 days should provide adequate time for selecting a sample of procurement awards for our audit to confirm that Metra is following procedures and corrective actions consistently and to issue the report as recommended.

**REQUISITIONING OF MATERIALS & SERVICES**

**I. PURPOSE**

This procedure provides instructions for both the normal requisitioning of Materials and/or Services, and instructions for emergency requisitioning of Materials and/or Services. Materials and/or Services requested in an approved Purchase Requisition will be procured by, or otherwise at the direction of, the Procurement Division or Professional Services/ Contracts Division (as applicable) pursuant to the applicable Metra procedure. See:

- PU-04-RC – Informal Quotations and Awards;
- PU-05-RC – Formal Quotations and Awards;
- PU-06-RC – Professional Services Contracts (Grant Funded, Non Brooks Method);
- PU-07-RC – Professional Services Contracts (Non Grant Funded);
- PU-08-RC – Architectural and Engineering Services Contracts (Brooks Method);
- PU-08-RC – Blanket Purchase Orders and Releases;
- PU-13-RC – Direct Purchases;
- PU-14-RC – Formal Solicitation Award For Construction Contracts;
- PU-16-RC – Procurement of Rolling Stock; or
- PU-21-RC – Procurement Card Purchases.

**II. POLICY**

GENERAL:

This procedure should be utilized in the procurement of all Materials and/or Services. Requisitions for Materials and/or Services will be submitted by using a Purchase Requisition. Non-inventory Material is to be requisitioned separately from inventory Material. Personnel making unauthorized purchase commitments may be held financially liable and may also be subject to disciplinary action, including employment termination.

All procurement transactions will be conducted in a manner providing full and open competition (except as may be necessary in connection with an Emergency Requisition). The Procurement Division (or its designee) is responsible for negotiating with Bidders with respect to the procurement of requested Materials and the Professional Services/ Contracts Division (or its designee) is responsible for negotiating with Bidders with respect to the procurement of requested Services. The Requisitioner/User may not negotiate with Bidders except as necessary in connection with the permitted procurement of Materials and/or Services by Direct Purchases or purchases made by Procurement Card.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
8e	11-1-11	Materials Management		1	12

**REQUISITIONING OF MATERIALS & SERVICES**

Purchase Requisitions that are FTA funded, must adhere to all of the applicable requirements set forth in Circular 4220.1F (attached and incorporated herein as Exhibit I) as well as all applicable Metra procurement procedures, business regulations, and other rules and regulations. Metra prohibits geographic preferences, except in those cases where applicable Federal statutes expressly mandate or encourage geographic preference. Metra also prohibits the cost plus a percentage of cost and percentage of construction cost methods of contracting. If there is a liquidated damages provision in a proposed contract, any liquidated damages recovered shall be credited to the project account involved unless the FTA permits otherwise. When progress payments are utilized the solicitation documents must indicate that Metra will receive title to property (materials, work in progress, and finished goods).

Options may be included in a contract, provided however that Metra shall not enter into any contract for rolling stock or replacement parts with a period of performance exceeding five (5) years inclusive of options. If options are used, the option quantities or periods contained in the contractor's bid or offer must be evaluated in order to determine contract award. When options have not been evaluated as part of the award, the exercise of such options will be considered a Sole Source procurement for purposes of this procedure. In exercising an option, Metra must ensure that the exercise of an option is in accordance with the terms and conditions of the option stated in the initial contract awarded. An option may not be exercised unless it has been determined that the option price is better than prices available in the market or that the option is the more advantageous offer at the time the option is exercised.

NARRATIVE DESCRIPTION OF PROCESS:

The process for requisitioning Materials and/or Services shall be initiated by the Requisitioner/User who shall prepare and submit a Purchase Requisition requesting such Materials and/or Services to the appropriate Budget Authority for approval. With respect to requisitioning Materials, before submitting a Purchase Requisition the Requisitioner/User shall first ascertain whether the desired Materials are already available by accessing the Materials System.

Purchase Requisitions that contain a specified Sole Source must be accompanied by a written memorandum explaining the reason(s) for such Sole Source restriction. Emergency Requisitions must be accompanied by a memorandum and supporting evidence, acceptable to the appropriate Budget Authority, in its sole discretion, fully justifying the requested Materials and/or Services and the urgency for such Materials and/or Services. Each such explanatory memorandum must be signed by the Manager of the applicable Department, Division, or Office, or the Deputy Executive Director, if appropriate, and the Executive Director.

**III. DEFINITIONS**

Bidder: See Glossary.

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
8e	11-1-11	Materials Management		2	12

**REQUISITIONING OF MATERIALS & SERVICES**

- Maintain a record of all Purchase Requisitions and purchases of Materials and Services to ensure that budget limitations are not exceeded.

Materials Management Department

- Review Purchase Requisitions received from Budget Authority. Return Purchase Requisitions to Requisitioner/User which are incomplete, incorrect, or reflect improper approvals for corrections and resubmission, as appropriate.
- If requested Materials and/or Services may not be procured by Direct Purchase or by Procurement Card (as determined by Procurement Division or Professional Services/Contract Divisions, as applicable) make final determination, consistent with past practice, as to whether Bidder(s) are to be selected solely on the basis of price (i.e. Materials and/or Services to be acquired by Sealed Bids/Invitation for Bid (IFB) in accordance with applicable procurement policies and procedures), or whether other factors should be considered (i.e. Materials and/or Services to be acquired by a Request for Proposal (RFP) in accordance with applicable procurement policies and procedures).
- Forward approved Purchase Requisitions to Procurement Department (if for Materials) and/or Professional Services/Contract Divisions (if for Services). Additionally, for Purchase Requisitions requesting Services to be acquired by RFP, determine if Brooks Method should or should not be utilized in procuring such Services, and alert Professional Services/Contract Divisions as to determination.

Procurement Division or Professional Services/Contract Divisions (as applicable)

- Oversee METRA Purchase Requisition procedures and systems.
- Review Purchase Requisitions received from Materials Management Department. Return Purchase Requisitions to Requisitioner/User which are incomplete, incorrect, or reflect improper approvals for corrections and resubmission, as appropriate.
- If Purchase Requisition acceptable, first determine whether requested Materials and/or Services may be procured by Direct Purchase or by Procurement Card pursuant to applicable procurement policies and procedures (see above) and, if so, coordinate with Requisitioner/User in directly procuring the requested Materials and/or Services. When progress payments are utilized the solicitation documents must indicate that Metra will receive title to property (materials, work in progress, and finished goods).
- If requested Materials and/or Services may be procured by Direct Purchase or by Procurement Card, approved Purchase Requisition and appoint Procurement Agent to procure such Materials and/or Services Card pursuant to applicable procurement policies and procedures (see above).

REVISIONS	ISSUE DATE	PREPARED BY	APPROVED BY	PAGE	OF
8e	11-1-11	Materials Management		5	12