



UC2B Policy Board Agenda

Regular Meeting

December 21, 2011 – 12:00 noon

Council Chambers, 102 N. Neil Street, Champaign, Illinois

- I. Call to Order
- II. Roll Call (By Roster) – Determine Quorum
- III. Approve Agenda
- IV. Approval of Minutes from November 16, 2011
- V. ACTION*/DISCUSSION ITEMS (In this section, items will be presented to the board and opened for technical questions, then we will go to the audience for comments – audience comments are limited to five minutes per person – then we will return to the board for general discussion and questions)
 - a) Marketing Committee Update – Bowersox/Kersh
 - b) Canvassing Update (Gant/Meaders)
 - c) NTIA/Grant Update –Smeltzer
 - d) *Resolution 2011-9 Endorsing the Use of Contingency Funds for the Purchase of Splice Cases
 - e) FTTP Procurement Process Update and Discussion (Smeltzer/Legner)
 - f) Verbal Update of Work Underway by NEO Fiber, LLC (Smeltzer/Legner)
- VII. Tasks to complete for next meeting
- VIII. Items for next meeting's agenda
- IX. Public Participation
- X. Adjournment
- XI. **Next Meeting:**
January 3, 2012- 12:00 p.m. to 1:30 p.m.
Council Chambers, 102 N. Neil Street, Champaign, Illinois
- XII. Items for future Action/Discussion:
 - a) Grant Required Approvals – Mike Smeltzer
 - b) Technical Committee Report and Request for approvals of items forwarded from Technical Committee and its sub-committees – Tracy Smith
 - c) FTTP RFP Decisions – should construction and management be included together as one RFP or not
 - d) Discussion of pursuing a change order for ring design in order to include a production class facility –
Rough Cost Estimates



UC2B Policy Board Minutes

Regular Meeting
November 16, 2011

Location:
City of Champaign Council Chambers
102 N. Neil Street
Champaign, IL 61820

Committee Members Present: Abdul Alkalimat (arrived 12:20 p.m.), Brandon Bowersox (acting chair), Michael DeLorenzo, Fred Halenar (proxy for Deb Feinen), Bill Gray (proxy for Pete Resnick), Richard Schnuer, Mike Smeltzer (proxy for Tracy Smith).

Members Absent: Rev. Zernial Bogan, Minor Jackson

- I. The meeting was called to order at 12:05 p.m. by Acting Chair Bowersox.
- II. Roll Call
- III. Approve Agenda: Halenar moved, Gray seconded the motion to approve the agenda. The motion was passed by voice vote.
- IV. Approve Minutes: Halenar moved, Schnuer seconded the motion to approve the minutes of the November 2, 2011 meeting as written. The motion was passed by voice vote.
- V. Action Items:
 - A. **Update on FTTP bidding process:** Teri Legner stated that the staff committee has not had an opportunity to meet again, but she and Mike Smeltzer have put together a draft document identifying the goals and perceived barriers of the project. The document is being drafted for review and discussion with interested minority contractors and other members of the public. At the last meeting, the Board talked about the different ways to break the project up for increased minority inclusion. Staff is further developing those options for additional Board and public input. Fred Coleman, from the University of Illinois, is researching relevant procurement processes trying to find an example where preference was given to companies that were minority-owned or female-owned and/or that demonstrated diverse workforce composition. Bowersox asked about the timeline on the FTTP project. Legner stated that this research is impacting our timeline a bit, but developing this process and gathering public input is a priority for staff. She noted that the City's list of minority contractors is an important resource for identifying potential contractors and gathering input but there is also a need to reach out beyond this list to be more broad and inclusive. We do not want to miss interested companies or

individuals inadvertently. Therefore, the bid documents or request for proposals may not go out until January 2012.

B. Marketing Committee Update – Bowersox stated that training for the canvassing crew was held on campus this weekend. He noted that the group seems very excited about the project and is ready to get started. Canvassers will begin going door to door this Saturday (11/19), in one Champaign neighborhood and one Urbana neighborhood. The mailing has gone out in all of the eligible areas. We hope the cards will be filled out and returned ASAP. The Press Release is forthcoming as well as social media posts. Hopefully, the media coverage will occur this week. Everyone involved is really excited about the canvassing project.

Videos of the training will be ready for the next meeting. Bowersox feels that the group of canvassers that were hired are an exceptional group and they all exhibited excitement and interest in bringing UC2B to our area.

C. NTIA/Ggrant update: A written report was provided in the packet. Legner was on the call: Smeltzer was unavailable. There may be issues to clarify related to canvassing activities. The UI has some questions about the canvassing/subscriber acquisition activities vs. those activities more closely related to research for the Graduate School of Library and Information Science (GSLIS) needs. There will be follow up here to provide the necessary clarification so that the NTIA funds are appropriately utilized vs. the other grant funding that GSLIS has secured in support of this effort. NTIA is also asking us and other award recipients to consider development of a mitigation plan to identify alternative courses of action to better guarantee project completion in accordance with federal deadlines given the scarcity of available fiber. It was also noted at a prior meeting that there was interest in having project progress maps on the City of Champaign's website like Urbana has had. Champaign's map is live as of last Friday (11/11). Those maps will be updated as the two week look-ahead is received from the contractors. This information was also shared with the NTIA so that they are able to check in on their own about progress. If anyone has comments or concerns about this new feature, contact Mark Toalson in the City of Champaign's IT department.

NTIA is asking for all projects to be 67% complete by February 1, 2012. It is clear that UC2B will not have fiber in the ground by that point, so Smeltzer is in the process of preparing a performance plan for NTIA that outlines the progress made to date and projects expected benchmarks throughout the remainder of the term. Staff is also working on the process to accept completed portions of the project in sections instead of taking it all at the end. This doing so will better allow for customer acquisition and connections to be made live as the rings go live, and the contractors would like to release the responsibility of JULIE locates and fiber maintenance once it is in the ground. Realistically, the project easily breaks down into 21 or 22 subsections, i.e. each ring, laterals, etc., so it is pretty easy to determine logical incremental acceptance. Before UC2B will accept any ring all laterals, etc. would have to be completed and demonstrated to be in sound working order. Smeltzer will present the performance plan to the Policy Board as it will be useful for tracking purposes and keeping all informed.

Bowersox asked when the fiber is expected to arrive. Smeltzer thinks that fiber will come in the first quarter of next year. He noted that there is a lot of conduit and manhole/hand hole installation to do yet, and all the fiber can be pulled or blown in a couple months; it is inconvenient to have to retrace areas where the conduit has been laid, but it is not an insurmountable problem that would lead to difficulty meeting the grant deadlines.

D. Resolution 2011-7 Adopting a General Policy on Minority Inclusion in Contracting: Legner introduced the resolution. The draft is very general and is based on comments provided at the last meeting.

Halenar moved to adopt the resolution, Alkalimat seconded. Gray asked if it conflicts with NTIA grant, Smeltzer said no. Schnuer stated that the policy statement does what we wanted it to do and works. Committee approved by voice vote.

E. Resolution 2011-8 Stating a Policy to Achieve Digital Equality in the UC2B Service Area– Legner explained that this policy, previously and finally approved in May, 2011, is presented today in a more formal format as a Resolution in sequence with other official actions so that it is clearly identified and recorded for the record and future reference. This Resolution is provided with the same language as that that was finally approved in May. Alkalimat moved to adopt. Delorenzo seconded. Schnuer stated that it is his recollection that we adopted this over multiple meetings and he absolutely agrees with making this formal. Legner stated that she and Pam Edwards pulled the minutes and attachments from several different meetings and made sure that this was the final version. Smeltzer asked if “revenue” is the right word in section 4 and especially as it relates to section 6. After some minor discussion, it was agreed that the wording is correct as written.

Bowersox asked for comments. There were none. Board approved via voice vote.

Audience Comments: Peter Folk reiterated that the coherent interpretation is that section 4 is talking about the budget and section 6 is talking about hitting the budget, section 6 is really explaining -section 4 in his interpretation. He stated he is happy with the approval.

Before adjourning, Schnuer asked if others would be willing to hold the opposite Wednesdays for additional meetings if needed through the end of the year since there are many actions that will need Board action in the near future. He asked for everyone to look ahead at their schedules to hold times for future meetings. Legner stated she will have Edwards send an email to all Board members to check on their schedules.

Alkalimat stated that, although he does not have a concrete proposal for discussion at this time, he would like to begin a broad discussion about how the community will use this infrastructure once it is in place, and perhaps UC2B can involve various community representatives as well. What are we going to do with this world class project? Legner stated that at the last meeting, we discussed a bit about the digital divide lecture series students and their projects and possibly bringing them to a Board meeting to learn what their research is showing. She noted that we are also starting to learn a little more about our customer base as our canvassers are out in the field

this weekend. It might be an opportunity to initiate a discussion around what these students and canvassers are hearing. Alkalimat stated that his students should have case studies of over 90 anchor institutions available in late January. So that there is “buy in” from our anchors by the end of January or February, he suggested UC2B have a special meeting to learn more about what they are thinking as well. Schnuer agreed that this is a great idea. He agrees that the Policy Board has a leadership role, but is really unclear on what its role may be in this discussion. His personal hope would be that one result is that all the people in the eligible areas and at the anchors would take advantage of the resource. Schnuer also stated, not to be simplistic, but utilities put the service in the ground and let customers do what they may without much follow up by the utility to see how the service is being utilized. As a City of Champaign employee, he think broadband should be used as an economic development tool, but is not sure that everyone feels that way. Halenar noted there are tens of thousands of ways to use the resource, and we donot want to limit the possibilities or the opportunities. Peter Folk commented that the Broadband Access Committee just finished its three year investigative report in July on this topic and presented it to the Cable Commission. The Commission voted in October, to send that report to the respective City Councils. He expected that by the end of the year, that report will be available to both. Additionally, just as an information item, the Cable Commission is going to look at each specific recommendation for further discussion. The report is available on the City of Champaign’s website.

Legner noted that December 10th is the STAR LEADERSHIP session for neighborhood leaders, hosted by the City’s Neighborhood Services Department, and UC2B is a breakout session from 10:45 to noon at the Champaign Library. Smeltzer, Gant and others will be participating in that session sharing information about the project.

Next scheduled meeting is December 7th, 2011.

Bowersox adjourned the meeting at 12:52 p.m.

RESOLUTION NO. 2011-07

A RESOLUTION

ADOPTING A GENERAL POLICY ON MINORITY INCLUSION IN CONTRACTING

WHEREAS, the UC2B Policy Board desires to increase minority-owned and female-owned businesses in its procurement opportunities, and

WHEREAS, the UC2B Policy Board desires to also provide contractual opportunities with qualified companies that maintain diverse workforce compositions.

NOW, THEREFORE, BE IT RESOLVED BY THE UC2B POLICY BOARD, as follows:

Section 1. UC2B will make concerted efforts to manage all procurement opportunities in a manner that offers increased opportunity for minority inclusion in contracting.

RESOLUTION NO. 2011-07

PASSED:

APPROVED: _____
Policy Board Chair

RESOLUTION NO. 2011-08

A RESOLUTION

STATING A POLICY TO ACHIEVE DIGITAL EQUALITY IN THE UC2B SERVICE
AREA
(COMMUNITY BENEFIT FUND)

BE IT RESOLVED BY THE UC2B POLICY BOARD, as follows:

1. The Policy Board hereby establishes a goal to achieve digital equality for all people in the UC2B service area, and adopts the following objectives to achieve the goal.
2. The Policy Board will issue an annual public report on the digital divide in the UC2B service area (the area of the seven rings including all of Urbana, Champaign and Savoy).
3. The Policy Board will convene an annual meeting of anchor social institutions to discuss the above report and set general goals for overcoming the digital divide. This meeting will be open to the public and scheduled as a regular meeting of all UC2B committees.
4. The Policy Board sets a goal to allocate 5% of its annual revenue and no less than 2% to a community benefit fund as a line item in the budget. Money from this fund will be dedicated to overcoming the digital divide, according to the general goals as above and the process as below.
5. Prior to the operational phase of UC2B, the Policy Board will appoint an Advisory Committee for Digital Equality to help it achieve the goals as above. The Policy Board will appoint two Advisory Committee co-chairs and at least seven committee members, including at least one member of the Policy Committee. All other committee roles will be decided upon by the Advisory Committee. A majority of the Advisory Committee members will be chosen from the anchor institutions which serve the underserved population of the UC2B service area. The Policy Board states its desire and intention that the members of the Advisory Committee represent the diversity of residents in the UC2B service area.
6. The Advisory Committee for Digital Equality will propose a plan, including competitive grant awards from the community benefit fund to non-governmental agencies, to implement the general goals as above. If there is no available money in any given year, no grants will be made. The Advisory Committee will forward to the Policy Board its recommendations for spending the community benefit fund, and the Policy Board will make the final decision.

RESOLUTION NO. 2011-08
PASSED:

APPROVED: _____
Policy Board Chair

UNIVERSITY OF ILLINOIS
AT URBANA-CHAMPAIGN

Graduate School of Library and Information Science

Library and Information Science Building
501 East Daniel Street
Champaign, IL 61820-6211



Memo

To: UC2B Policy Board
From: LaEisha Meaderds

CC: Jon Gant, Teri Legner, Mike Smeltzer
Date: December 19, 2011
Re: UC2B Canvassing Update

Please see attached an outcome report for Fall 2011's door-to-door canvassing blitz (November 21-December 17). As outlined, community ambassadors have made contact with over 2,000 premises and to-date, have identified approximately 400 households that are interested in the UC2B service. Please note that this canvassing blitz focused on residential properties in areas of conduit construction. A separate approach is scheduled for businesses and organizations.

Door-to-door canvassing efforts will cease during the winter months and will carry on in March. Additional outreach efforts will take place during the months of January and February to continue to support customer acquisition and construction.

A detailed canvassing operations report and presentation will be made at the January 2012 UC2B Policy Board meeting.



UC2B Door-to-Door Canvassing Outcome Report

[Table View](#)

Outcome	Visits
Complete in English	418
Complete in Spanish	2
Respondent busy: Come back later	221
Refusal: Don't come back	93
No one is home	857
No eligible adult at home	32
Language: Come back with Spanish questionnaire	7
Language: Other	1
Respondent is mentally or physically unable to participate	3
Unit appears abandoned, vacant or unoccupied	119
Unable to enter building/reach unit	2
Not a residence	208
Unable to locate address	54
Other	17

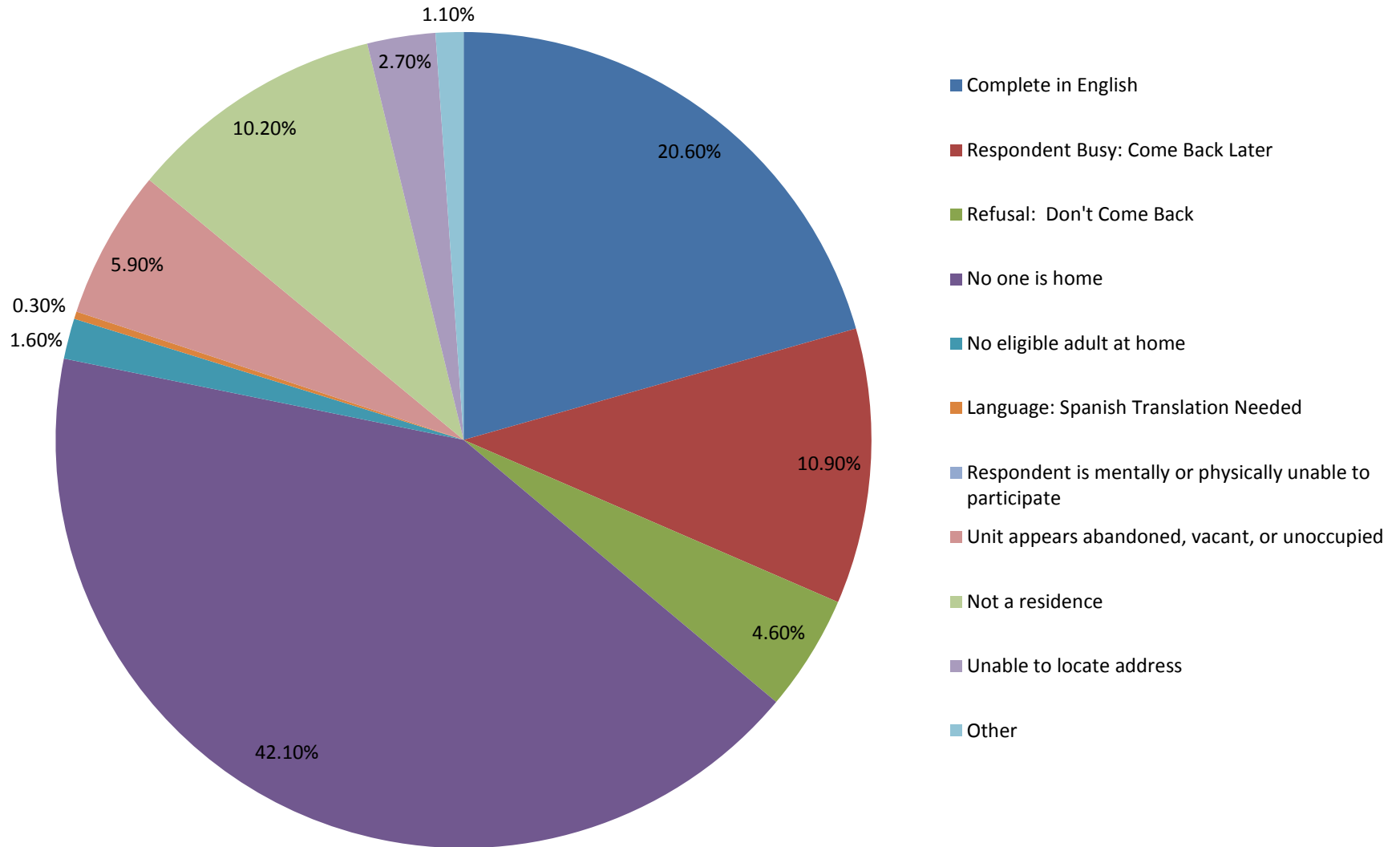
Total visits: 2034

Total premises visited at least once: 1894

UC2B Door-to Door Canvassing Outcome Report

November 21, 2011-December 17, 2011

Total Visits: 2034





NTIA and Grant Update – 12/18/11

We had a call with NTIA on Wednesday November 30th. We briefly discussed the Performance Improvement Plan (PIP) report had NTIA had requested. Neither our Grant Officer nor the consultants assigned to our project had any questions about what we sent them. The rest of the call was an update on our construction progress. After we had sent in the PIP report, we discovered that there is actually a small glitch in some of the numbers we sent them. We will correct them as soon as we can generate correct numbers. Nothing serious, but I want the numbers to be correct. At this point in time NTIA has not asked about it.

We also had a very brief call with NTIA on Friday the 16. There was some discussion about our construction progress, and I updated them on the plan to “shock and awe” the campus area - as soon as the students leave town for winter break. If the weather continues to be cooperative for at least 11 days between December 19th and January 16th, Western Utilities will have enough crews here to complete all the conduit and manhole work on campus. Cold and rain they can work with. Snow is bad. Stay tuned.

Both contractors have had their plowing equipment in town, taking care of the “rural” areas where plowing is more cost effective and faster than directional boring. We are on track to have roughly 25% of all conduit and manholes installed by January 1st. That includes large FTTP areas, where the work is much slower than on the rings. John Burns plowed most of the conduit along I-74 last week.

Western has received a detailed inventory list of what will be included in their first fiber shipment, and the news is good. They are scheduled to get the 216-count and 432-count fiber cables first in late February. That will allow for the completion of Ring # 1, which feeds most of the FTTP areas in Champaign.

Canvass – The canvass team has been out knocking on doors. The initial feedback is that between 50% and 60% of the households have expressed interest in signing up for UC2B service. That is encouraging.

Splice Cases – There is an action item on your agenda that needs some background explanation. When we initially bid the UC2B fiber-to-the-curb and ring construction, we specified a particular brand of splice cases (Brand X) that has proved to be reliable in wet environments over the years. We also wanted to have the same splice cases throughout the project, for ease of training, spare parts and maintenance.

When Western Utilities bid the Champaign and University projects, they in fact specified Brand X in their bid as we had requested. John Burns however specified a different less expensive brand (Brand Y) in their initial bid. In our rush to reduce the total amounts of the bids and get the project started, we never went back to Burns and asked them to bid the brand that was requested. In Burns’ best and final offer, they continued to bid Brand Y. We were concentrating on reducing costs, and everybody missed this at the time.

Now that things have settled down at least a little, this issue has been identified. If we want John Burns to use Brand X, it will require a change order of roughly \$30,000. All the original

reasons for preferring Brand X still exist, and we still want to have consistency across the community. The recommendation of Bob Miles, who does not part with money easily, is that this is worth the extra expense.

This was discussed at length at the most recent Technical Committee meeting, and they supported a recommendation to spend the extra money to have Brand X splice cases everywhere.

Neither city has spent a penny of their contingency funds. As the construction has been field-engineered on a daily basis, both contractors have worked with us on those changes. Sometimes we save them work, sometimes we create extra work. They are each keeping track of the extras and the reductions, and thus far the reductions are winning.

The Letter of Understanding addresses what might happen if one city uses up its contingency funds and the other city or the University does not use all of theirs. To give the City of Urbana a clear sign of the Policy Board's intent, you will be asked to approve a motion that authorizes the \$30,000 expenditure for the Brand X splice cases (if that is in fact your intent.)

FTTP Bidding - Teri will be providing you with the details of our current planning for the Fiber-to-the-Premise construction procurement. I am excited about the way this has evolved. I think we will be breaking some new ground in a positive way. You will be asked for input on Wednesday, there will be sessions for the public and interested contractors to provide input in early January, and then you will be asked to approve the final plan at your meeting on January 18th. The Champaign City Council will then need to pass a special procurement authorization and then this can be bid in February by Champaign.

Consultant Visit - Diane Kruse and Mark Ansboury are tentatively scheduled to be in town on January 9th, 10, and 11th. They have an ambitious schedule of meetings planned, including a study session with each City Council at their regularly scheduled meetings that week, as well as a session with the Policy Board. That is not a week you would regularly be meeting, so a special session with the Technical Committee will need to be scheduled. We will have more on Wednesday on those plans.

Core Network Equipment Purchase - The Technical Committee has had a first look at Tracy Smith's team's plan for the core network equipment. They asked her to come back with some additional documentation, which she will do at their next meeting. The plan is to have a recommendation to the Policy Board for approval at your January 4th meeting. We need to get this equipment ordered and installed in order to be ready for lighting up customers in April. This equipment will be purchased through the University's existing standing purchase orders, as has been previously discussed.

FTTP Electronics Purchase - All the paperwork is in place to place our first order of ADTRAN FTTP equipment. I am getting a few final details worked out on the items themselves. I expect that will happen this week and the order will be placed before January 1st. We are only ordering the "core" FTTP equipment for the cabinets and nodes at this time. New customer premise equipment that will do exactly what we want in a single box will be released early in the next quarter, and we will order the first wave of that equipment as soon as it is available.

See you on Wednesday.

Mike

RESOLUTION NO. 2011-09

A RESOLUTION

ENDORISING THE USE OF CONTINGENCY FUNDS
(Urbana FTTC Project – Splice Cases)

WHEREAS, the City of Urbana received the low bid for the Fiber to the Curb construction from John Burns Construction Company in June, 2011 in the amount of \$5,411,000; and

WHEREAS, the total of all bids received for the Fiber to the Curb construction project was \$17,922,574 and was approximately \$2,670,000 over the project budget; and

WHEREAS, the City of Urbana authorized staff to negotiate a revised scope of work and associated pricing with John Burns Construction Company in an effort to reduce the overall cost of the Fiber to the Curb project; and

WHEREAS, the City of Urbana accepted and approved a revised bid for Fiber to the Curb construction project from John Burns Construction Company in the amount of \$5,020,000 in August, 2011; and

WHEREAS, the revised bid as submitted and accepted did not include pricing for the intended standard splice case as was specified in the original bid documents; and

WHEREAS, the UC2B Technical Committee has reviewed a request to utilize contingency funds in an approximate amount of \$30,000 to purchase the splice cases as were originally specified in the bid documents in June, 2011; and

WHEREAS, the Federal Subaward Agreement between the City of Urbana and the University of Illinois includes contingency funds of \$401,600 which have not been utilized to date and are available for this purpose; and

WHEREAS, the Federal Subaward Agreements approved among the UC2B member agencies contains a clause as follows: “At the end of the Project construction phase, if one of the UC2B members has exceeded its construction budget, ILLINOIS will transfer to that UC2B member any unexpended funds that were originally assigned to the Construction Budgets of the other two UC2B members. If two of the UC2B members exceed their Construction Budgets, any unexpended funds in the Construction Budget of the third UC2B member shall be applied proportionately to the budget deficiencies of the two.”

NOW, THEREFORE, BE IT RESOLVED BY THE UC2B POLICY BOARD, as follows:

Section 1. The Policy Board endorses the use of contingency funds in the estimated amount of \$30,000 to purchase splice cases as were originally specified in the Fiber to the Curb bid documents for the City of Urbana.

RESOLUTION NO. 2011-09
PASSED:

APPROVED: _____
Policy Board Chair



REPORT TO UC2B POLICY BOARD

FROM: Teri Legner, Interim UC2B Consortium Coordinator

DATE: December 16, 2011

SUBJECT: FTTP Procurement Process

A. Introduction: The attached summary of a Draft Procurement Plan for the FTTP Construction/Installation project is provided to the Policy Board for discussion and further development. Based upon the input received from this meeting, staff will prepare a final draft to be publicly distributed and discussed with stakeholders, including local minority contractors and any other interested parties. That additional input will be compiled and evaluated so that a final plan may be developed for the Policy Board to consider and recommend to the Champaign City Council.

B. Recommended Action: Staff is seeking Policy Board discussion and input on the attached plan. Based upon the direction provided, staff will then prepare the final draft plan for public review and input.

C. Summary:

- The attached articulates the goals of the FTTP construction project, along with the perceived barriers to achieving those goals.
- A draft procurement plan for the project is also attached.
- The plan is a work in progress and is being developed in an attempt to provide for more minority inclusion in this construction project for, both, minority-owned companies and workers.
- As drafted, the plan provides for 6 component projects which may yield up to 6 separate contractors conducting this work.
- Component projects may range in size from \$100,000 to \$1,000,000 offering opportunity for small to large companies.
- The draft plan also provides for minority and female business enterprise (MAFBE) utilization and a bid evaluation process that provides preference points for bidders who pledge a diverse workforce composition.
- Additional issues to consider include performance bonding requirements; weighted bid evaluation criteria addressing price and workforce diversity; allowing potential bidders to bid

the entire project or only component parts; and providing a bonus payment upon project completion for those contractors that achieve their pledged workforce diversity composition.

- Process moving forward will include public input meeting(s) with stakeholders, including local minority contractors. Input received will be recorded and evaluated for inclusion into the procurement process.
- An additional meeting with the Policy Board to consider a final draft plan is anticipated for January 18, 2012. Once finalized, that plan will be forwarded on to the Champaign City Council for discussion and adoption to guide this procurement.
- Bids are anticipated to be let in early to mid-February so that contracts may be awarded in early to mid-March.

D. Background:

1. Minority Inclusion in Contracting. At its meeting on November 16, 2011, the Policy Board adopted a Resolution articulating a general policy to achieve more minority inclusion in contracting. Consistent with this Resolution, the attached draft plan is being developed as an alternative process for procurement for the Fiber-to-the-Premise (FTTP) construction and installation project so that more minority-owned companies and minority workers may be engaged in this work. The attachment also provides a list of goals for the project, along with the perceived barriers to achieving the articulated goals. These provide the context for the plan.

2. Draft Plan. The draft plan has been prepared by staff from each of the UC2B member agencies as follows:

- Bill DeJarnette, Urbana IS Director
- Todd Rent, Urbana Community Relations Office
- Mike Smeltzer, UI – UC2B Project Investigator
- Fred Coleman, UI – Capital Programs/Real Estate Services
- Bob Miles, UI – UC2B Construction Manager
- John Kersh, UI – UC2B Project Coordinator
- Fred Halenar, Champaign IT Director
- Fred Stavins, Champaign City Attorney
- Garth Minor, Champaign Community Relations Office
- Teri Legner, Champaign – Interim UC2B Consortium Coordinator
- Paul Duke, Shive Hattery

As drafted, the plan identifies 6 component parts of the overall FTTP project. Refer to the attachment representing the horizontal and vertical divisions of work. Six component parts are recommended by staff as a compromise offering smaller component pieces of less than an estimated project cost of \$100,000 up to larger pieces estimated to cost up to \$1,000,000. The draft procurement plan acknowledges that this process values utilization of minority and female owned business enterprises as well as companies that provide for diversity in their workforce composition. It provides a goal for 15% MAFBE utilization/good faith effort for prime contractors and goes a step further by articulating a goal that at least 2/3 of the 15% be with minority business enterprises. Also

included in the plan is a process to identify and collect basic information from minority contractors interested in this work and to provide that information with the bid documents so that prime contractors may use them as resources to achieve the MAFBE goals and provide for diversity in the workforce.

3. Additional Direction Sought. Staff is also seeking Policy Board discussion of the following issues:

- Performance bonding requirements. The project has been broken down into 6 component parts ranging in estimated cost of \$100,000 to \$1,000,000. The City Code requires performance bonds for each construction contract above \$17,500 as follows: *Construction and demolition contracts over the administrative purchasing limit. The successful vendor in all construction and demolition contracts whose estimated contract price exceeds this administrative purchasing limit, are required to submit a performance and labor and material payment bond written for the duration of the contract. The performance bond is conditioned on the full completion of the contract according to its terms and the payment for materials and labor used in such completion, in the amount of one hundred (100) percent on the contract price. The bond shall be secured by an insurance company licensed to do business in the state, cash or letter of credit. The successful vendor shall execute the performance bond on a form provided by the City Attorney or its equivalent and submit the bond with other required contract documents.* Staff is seeking Policy Board input on this requirement. Is this bonding requirement prohibitive to small contractors given the proposed project breakdown? If so, does it need to be adjusted for this procurement process? Because the project is funded by grant funds, how does that impact UC2B's ability to complete the project by the federal deadlines in the event the selected contractor is unable to complete the work? What level of risk is UC2B willing to take with a lower performance bonding requirement?
- Weighted bid evaluation criteria addressing price and workforce diversity. The draft plan identifies a procurement process that recognizes and rewards bidders that pledge a higher diverse workforce composition. The plan values price and workforce composition and evaluates bids based upon these factors. Staff is seeking Policy Board direction on the weight that should be placed on these 2 factors. What value should be placed on price v. workforce composition? 75% - 25%? 80% - 20%? After weights are assigned, is there a limit to the price that UC2B will pay to ensure workforce diversity given that grant funds are the source of funding for the project?
- Allowing potential bidders to bid the entire project or only component parts. The current proposal is to allow bidders to bid on each component piece of the project and to allow bidders to also bid on the component parts as a whole. Should there be a limit on the number of packages a prime contractor can bid on in order to assure that there is some minimum opportunity access for small and diverse vendors? Limiting the number of packages that a prime can bid may limit efficiencies of scale and lead to higher project costs overall.
- Providing a bonus payment upon project completion for those contractors that achieve their pledged workforce diversity composition. In order to hold the selected bidder(s)

accountable for its/their workforce diversity pledge, is UC2B willing to make a “bonus payment” upon completion of the project? The Cities’ Equal Opportunity in Purchasing Ordinance (EOPO) provides for an inspection process to verify that contractors have workforce diversity on site when projects are underway. In the event minority workers are underrepresented on the job site, the Cities work with the contractors to improve that representation. The proposal for this project is provide for a process of regular inspections, monthly reporting demonstrating workforce composition, and payment of a “bonus” for the contractor(s) that follow through on the pledge they have made in their bids. This “bonus payment” is proposed to come from the UC2B start up operations budget that is funded by the Cities and the University. Are the member agencies willing to pay for this “bonus”? If so, how much?

4. Process. Staff is seeking Policy Board discussion and direction on the draft procurement plan at this meeting so that it may be adjusted and prepared for public input. It is anticipated that a public meeting with contractors will be scheduled for early January. Input received from that meeting (and any additional comments that may be received from interested parties outside of that meeting) will be recorded and evaluated for Policy Board discussion and refinement at its meeting on January 18, 2012. At that meeting, the Policy Board will be asked to approve the procurement plan and recommend it to the Champaign City Council (as the purchasing entity) so that the process may be considered and approved as an alternative procurement process for this project. Ideally, the process may be approved in late January or early February so that the bid documents may be released in February and contractor(s) on board in March.

Prepared by:

Teri Legner
Interim UC2B Consortium Coordinator

The UC2B Policy Board and its member agencies, i.e. the Cities of Urbana and Champaign and the University of Illinois, desire to increase local minority and female participation in the Fiber to the Premise (FTTP) construction project and are seeking input on ways to achieve this goal. The purpose of this document is to identify the Project, Customer, and Community Benefit Goals for the project along with the applicable Federal, State and Local requirements, regulations, limitations and barriers and to discuss ideas and opportunities to achieve these goals.

I. NTIA, DCEO and UC2B Project Goals

- A. Complete 2,700 FTTP installations within the NTIA grant's budget
- B. Complete 2,700 FTTP installations for the least possible cost
- C. Complete 2,700 FTTP installations before February 1, 2013
- D. Perform the work efficiently and correctly
- E. Increase broadband adoption by households, businesses and Anchor Institutions
- F. Increase broadband adoption by "vulnerable populations" as described by ARRA
- G. Minimize the oversight and coordination needed by city or UC2B staff

II. UC2B Customers' Goals

- A. Receive a robust low-cost, high-bandwidth Internet Service
- B. Receive competing telecommunication services over a shared fiber infrastructure
- C. Have the work performed efficiently and correctly
- D. Have the work performed promptly – once started, complete within 48 hours – as weather permits
- E. Minimize damage to property and properly restore all damage
- F. Minimize the number of times UC2B installers need to be in the home or business

III. Community Benefit Goals

- A. Receive a robust, low-cost, high-bandwidth Internet service
- B. Receive competing telecommunication services over a shared fiber infrastructure
- C. Increase broadband adoption by households, businesses and Anchor Institutions
- D. Maximize the employment of local ethnic minority and female workers
- E. Maximize the employment of local ethnic minority- and female-owned companies
- F. Create long-term sustainable fiber construction and installation employment

IV. Federal/State/Local Regulations, Limitations, Barriers

- A. Federal grant regulations prohibit geographically based hiring criteria
- B. Davis-Bacon wage rates and reporting obligations apply, adding to project cost and administrative burden (certified payrolls required with pay requests)
- C. Performance bonding requirements
- D. Lack of broad local expertise in this type of work
- E. Limited City/UC2B staff available to manage multiple contracts for work conducted on private property
- G. No engineering design completed for this work requiring qualified and experienced installation contractors

- H. Limited knowledge of the FTTP customer base (connections) at time of bidding
- I. The NTIA grant requires project completion by February 1, 2013

**Not all goals described above are compatible with each other. In instances where they conflict or are in competition with each other, decisions must be made in order to proceed with implementation of the project. For example, in an effort to maximize work opportunities for employees and/or companies, the project has been broken down into 6 component parts leading to the potential of having 6 contractors working on the project. Managing multiple contracts/contractors leads to less accountability, less efficiency and more demands on limited City/UC2B staff time.

DRAFT

Draft Plan for the UC2B Fiber-to-the-Premise Construction/Installation RFP

In order to achieve the various goals enumerated on the attached list, the UC2B Policy Board seeks to conduct the bidding for the next phase of UC2B construction in the following manner.

1. Split the work into the six horizontal/vertical packages as shown on the attached chart. Bidders can bid on just one package, all packages or most logical combinations of those packages. Some of these packages may be worth less than \$100,000. Some may be worth more than \$1,000,000. The work is split logically, geographically as well as by type or division of work, i.e. inside work v. outside work.
2. UC2B will collect standardized information from companies that desire to work as subcontractors on this next phase of UC2B construction. UC2B cannot vouch for any vendor, but will provide the information collected from potential sub-contractors to all prime contractors seeking bid information.
3. Prime contractors (bidders) will need to pre-qualify with the University of Illinois Facilities and Services office. This is not an arduous task, nor does it take months, but it should eliminate potential vendors who are not capable of doing this work.
4. A 15% MAFBE utilization goal will apply to prime contractors responding to this RFP. Of that MAFBE utilization, at least 10% of the total, or 2/3 of the MAFBE goal, must be applied to minority-owned MAFBE firms. If unable to secure the MAFBE utilization as described above in the proposal, proposers must demonstrate a good faith effort was made to meet the goal. The MAFBE process addresses minority and female business ownership but not the diversity of the workforce.
5. Prime contractors will be required to pledge in their bid that X percentage of their workforce will be minority workers. Contractors can choose any value for X that they feel appropriate.
6. The scoring for the bids for this next phase of construction will be scored on both price and the percentage pledged for a diverse workforce. Bids with lower prices and a higher percentage of ethnic minority workers will be scored higher than bids with higher prices and a lower percentage of ethnic minority workers. The proposed split between scoring price and diversity is xx% price, xx% diversity.

7. From the UC2B start-up fund, a bonus will be awarded to the contractor or contractors that meet or exceed their pledged minority workforce participation through the length of the project. The exact mechanism for determining the level of the bonus is yet to be determined.
8. UC2B will award the work to the firm or firms that score the highest when factoring in both price and diversity.

DRAFT



Contractor Annual Prequalification System (CAPS)

Help Document

UNIVERSITY OFFICE OF CAPITAL PROGRAMS AND REAL ESTATE SERVICES

APRIL 2011

Contractor Annual Prequalification System (CAPS)

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Before You Begin

State of Illinois Requirements

All vendors who wish to bid on State of Illinois public university contracts must:

- Show legal entity authorization to do business in Illinois by the [Illinois Secretary of State](#)
- Register with the [Illinois State Board of Elections](#)
- Hold a current Bidder Eligibility Number from the [Illinois Department of Human Rights \(IDHR\)](#)

University of Illinois Office of Capital Programs & Real Estate Services Requirements

The University of Illinois' Office of Capital Programs & Real Estate Services (UOCP&RES) reviews disclosures and certifications to ensure that vendors meet the State and University requirements noted above.

The University Office of Capital Programs and Real Estate Services (UOCP&RES) provides the following capital systems relevant to vendors:

- **VSA:** The Vendor Services Application (VSA). VSA synchronizes vendor data among all capital applications to ensure complete and up-to-date vendor information.
- **CAPS:** The Contractor Annual Pre-Qualification System

Steps to University of Illinois Prequalification

Before you can pre-qualify, your firm must:

Step 1. Register with VSA. To do this, you will need your firm's:

- FTIN (Federal Tax Information Number)
- IDHR number (see above)
- Your email address.
- As you register, you will create a username and password.
- Write your login information below.

Write your VSA logon information here.

User Name _____

Password _____

Step 2. Gather necessary information, as listed below.

NOTE: An example Prequalification form is contained in [Appendix C](#) in this document for your use in information gathering. You may begin your prequalification without most of this information but you will be required to gather all of it in order to complete and submit.

- Your Firm's U.S. Department of Labor's Bureau of Apprenticeship and Training Program number.
- A list of key persons in your firm.

NOTE: A "key person" holds 5% or more ownership in the company, regardless of his/her title or position. Also identify all other persons who have duties, responsibilities or authority conventionally delegated to owners, officers, partners, or directors. In the event the firm is owned by another corporation, partnership, trust, or business association, include all ultimate individuals who hold a 5% or more interest. If percentage does not total 100, please explain.

- Names and titles of parties authorized to sign bids, proposals, or contract documents.
- Number of full-time, non-labor employees, including management, clerical, supervisory, and technical people working for your company.
- All names used by the company to do business in the past five years, with dates.
- Key persons and any other occupations or businesses (other than construction companies) in which they are currently engaged.
- Identify all firms in which key persons of this firm have been employed during the past five years and provide the dates of employment.
- Company's Business Volume (in dollars) for the past fiscal year.
- Number of Years the company has been in business.
- Number of Years under present ownership.
- Yes or no answers to questions noted under [Section 6](#), below.
- Performance and Payment Bond Surety information, including the surety's A.M. Best rating.
- A Summary of Work Experience for Your Firm, including both relevant work experience, and current and pending projects.

Step 3. Login to CAPS.

- Once you have gathered at least some of the data from Step 2, you can login to CAPS.
- Use the username you created in Step 1 and the temporary password emailed to you to login to CAPS. In order to ensure that you have a single login and password for all systems, you may wish to change your CAPS password to be the same one you used in VSA.
- Complete your electronic pre-qualification. (See procedures later in this document.)
- Print, sign, and mail the packet with its related documentation to the campus construction unit. You will learn more about this process in this document.

How to Use This Document

While this document may seem long and complex, it is quite simply organized. The first half helps you create and complete your Prequalification document. The second half contains three Appendices:

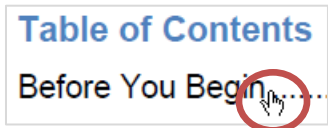
- A workflow diagram, to help you understand the steps to prequalification
- Excerpts from UOCP&RES' contract documents' General Conditions
- An example prequalification document.

Navigate

You can use more than one method to navigate this Help document. You can use:

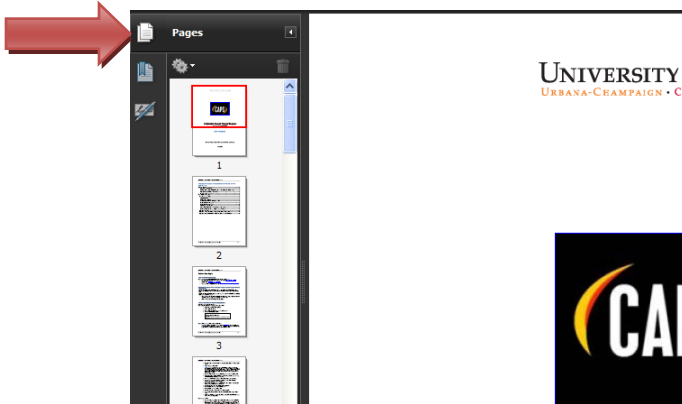
- The document's **Table of Contents**. All topics are hyperlinks. Simply click on any topic.
- **Hyperlinks** within the document. Many, but not all, hyperlinks are blue and underlined. Click on any hyperlink.

NOTE: You can tell that something is a hyperlink because the mouse pointer turns into a hand pointer, as illustrated below.

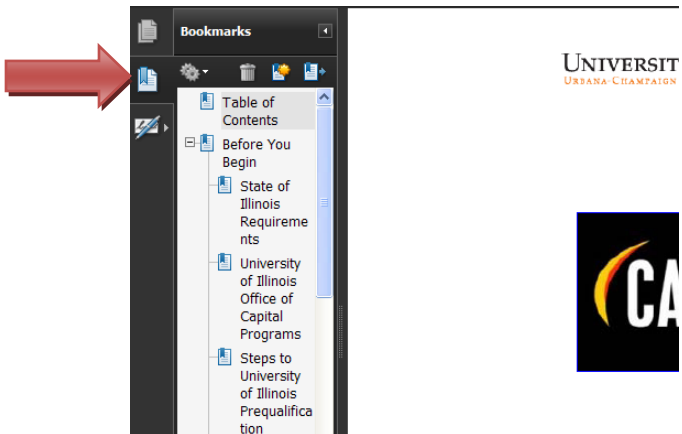


- **The Adobe Acrobat Pages** option. Click on any page to move to it.

NOTE: Your version of Adobe Acrobat may appear slightly different from the one displayed here but the Pages and Bookmarks functionality should be available from the left navigation pane.



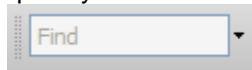
- **The Adobe Acrobat Bookmarks** option. Click on any bookmark to move to that section of the document.



Search

This PDF document is completely searchable. You can search for the information you need using the

Find box at the top right.



Prequalifying as a Contractor

Contractor's Responsibilities

The following steps must be completed by the Contractor in order to prequalify. Each step is explained further in its own section. You can click on any of the hyperlinks below to go to the section you're interested in.

1. [Login to CAPS](#)
 - a. Your VSA login is your CAPS login.
 - b. When you register with VSA, a temporary CAPS password will be sent to you. Once you login, change it immediately. You may find it most helpful to have the same login and password for VSA and CAPS.
NOTE: Contractors who are already registered with VSA and/or PRZM™ should use current login and password.
2. [Create your Prequalification Form.](#)
3. Complete the Contractor Annual Prequalification Form.
 - a. [Review Sections 1 – 4](#)
 - b. [Save the Pre-qualification / Not ready to submit](#)
 - c. [Prepare Sections 5 – 8](#)
4. [Submit the Prequalification Form.](#)
5. [Print out the Pre-qualification Form](#) and send it to the appropriate campus.
6. [Annually create a new version](#) of the Prequalification, review and/or update its information and submit for approval.

Logging in to CAPS

To navigate to the Contractor Annual Prequalification System (CAPS):

1. From the [University Office of Capital Programs & Real Estate Services](#) website, dropdown the Applications menu, and select **CAPS (sign in)**, as illustrated below.



The CAPS login screen appears.

The image shows the CAPS login interface. At the top left, there is a red octagonal icon with a hand and the text "Please identify yourself:". To the right is the CAPS logo, which consists of the word "CAPS" in bold black letters with a stylized yellow and red swoosh behind it. Below the icon and logo, there are two input fields: "User name:" and "Password:". Below these fields is a "Sign In" button.

2. Type in your User name and Password.

NOTE: Your Username is the same as the one you used when you registered with VSA. A temporary CAPS password was sent to you by email. You will be able to change that password to the one you used with VSA once you have logged in. (Your password is kept more secure when this process is used. It is not safe to send it through email along with your username.)

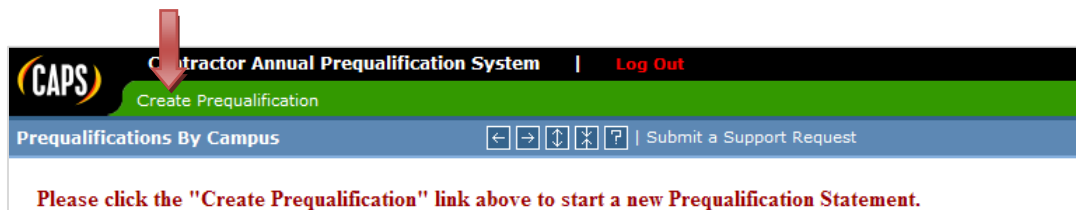
The CAPS interface appears, displaying the Contractor's home page. If you are new to CAPS, you will not see any prequalification documents at first, because you will need to create one. For security reasons, you will be unable to view the prequalification documents of other firms.

Creating a Prequalification

When you first login to CAPS, unless you have previously prequalified, you will only see three bands at the top of the screen: The black band, that denotes the system name and the Log Out option; the green band, which provides options; and the blue band, which provides navigation options. Contractors keep track of prequalification(s) by campus and by contract division of work.

IMPORTANT: You will need to create a prequalification document for each division of work you intend to bid on. The process for creating any prequalification for any division of work is exactly the same.

1. To begin the Prequalification process, from your contractor homepage, on the green tab, click **Create Prequalification**, as illustrated below.



The screen refreshes, and a new prequalification document opens.

Tips:

You may complete the Prequalification in parts. When you wish to save your progress, scroll to the bottom of the form and click the **Save Prequalification** button. Your data will be saved and you may come back at a later time to complete the form. To learn more about saving, [click here](#).

Keep track of your time. Leaving the form open for longer than 3 hours can result in the loss of your data, due to required system time-outs.

- In the **Choose the Company Name / Location / Division or Branch that this Prequalification Submittal is for** field, drop down the menu and select the appropriate company / location / division.

A screenshot of a web form field. The label reads "Choose the Company Name / Location / Division or Branch that this Prequalification Submittal is for." The dropdown menu is currently empty, showing only a downward-pointing arrow.

The form refreshes and your firm’s name, address, and other information are automatically populated from your Vendor Services Application (VSA) registration.

NOTE: This information is brought into the prequalification form from the Vendor Services Application, with which you registered. If there is an error, you, or someone from your company who is the Primary Contact, will have to correct it in the Vendor Services Application.

- In the **Choose Campus** field, drop down the menu and select the campus you want to prequalify for.

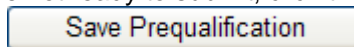
A screenshot of a web form field. The label reads "Choose Campus:". The dropdown menu is open, showing a list of options: "University of Illinois at Chicago", "University of Illinois at Springfield", and "University of Illinois at Urbana-Champaign". The "University of Illinois at Chicago" option is currently selected and highlighted in blue.

IMPORTANT: Once you save the form, you cannot change the selected campus. The campus selection affects where you will send your printed prequalification for approval and which campus unit will review it. Be sure to check your work before you save the form. By agreement, once your prequalification is approved by one campus, you will be automatically prequalified on all campuses.

Saving the Prequalification / Not Ready to Submit

If at any time you wish to stop working on the prequalification document, in order to gather more information or because your time is currently limited, you may save the document and return to it later, without submitting it.

- To save the prequalification form if you are not ready to submit, click the **Save Prequalification** button located at the bottom of the form.



NOTE: You may need to scroll to find this button.

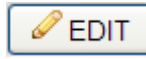
The prequalification form closes and the screen refreshes. CAPS marks the Status of your prequalification as **Pending Completion**, as illustrated below next to the red arrow.

A screenshot of the CAPS web application interface. At the top, there is a header with the CAPS logo, the text "Contractor Annual Prequalification System", and a "Log Out" link. Below the header is a navigation bar with "Prequalifications By Campus" and "Prequalifications Pending Approval". The main content area shows a table with two columns: "Contract Division" and "Status". Under "Contract Division", there is a dropdown menu showing "University of Illinois at Urbana-Champaign". Under "Status", there is a dropdown menu showing "Zebra Mechanical Corp. Division 3 - Heating A/C Temp Control Work Pending Completion". A red arrow points to the "Pending Completion" status.

- To resume work on your prequalification, click on the name of your company, which is a link to the prequalification document.

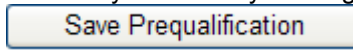
The prequalification document opens in Read-Only mode.

- At the top left hand corner, click on the **Edit** button.

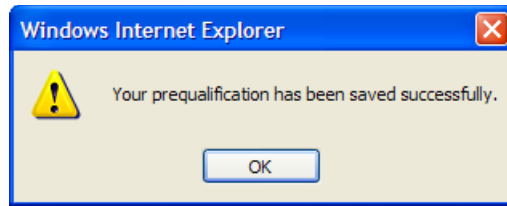


The form refreshes and returns to Edit mode at the top of the document.

- You may now continue to add information to the prequalification document.
- If you are interrupted, don't forget to save your work by clicking on the **Save Prequalification** button at the bottom of the form.



The form closes and a confirmation dialog box opens, as illustrated below.



- Click the **OK** button.

The CAPS view returns and displays your prequalification link, as illustrated in step 1, above.

Completing Sections 1 through 4

- Sections 1 through 4 of the Prequalification have been automatically populated from your company's registration with the University's Vendor Services Application (VSA), to display the following information:

Section 1:	Federal Taxpayer Identification Number
Section 2:	Illinois Department of Human Rights Number
Section 3:	Minority, Female, and Person with Disability Business Enterprise Status
Section 4:	Business Organization

Review each section for accuracy.

- In Section 4 – Business Organization, at the bottom in the **Is the information above correct?** area, as illustrated below, select one radio button: **Yes** or **No**.

Section 4 - Business Organization	
Type of Firm:	Corporation
If the Contractor is a corporation , provide the following information:	
A. State in which incorporated:	IL
Name and address of the corporation's registered agent in Illinois:	
Agent name:	Julius Shapiro
Address:	303 West Madison Street, 23Rd Floor
City, State Zip:	Chicago, IL 60606
Is the information above correct? <input type="radio"/> Yes <input type="radio"/> No	

If your information is not correct, and you selected **No**, you will be directed to save the Prequalification and return to the University's Vendor Services Application (VSA) to update the information in VSA that is shared with CAPS.

In the **Is the information above correct?** area, if you selected **Yes**, the form refreshes to display Sections 5 through 8:

- Section 5: Key Personnel, Business, and Financial Information
- Section 6: Disclosures and General Questions
- Section 7: Performance and Payment Bond
- Section 8: Summary of Work Experience

Completing Sections 5 through 8

3. In **Section 5: Key Personnel, Business, and Financial Information**, provide the requested information.

Section 5 - Key Personnel, Business, and Financial Information

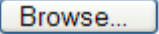
5.1 List all key persons. "Key person" is defined as any individual who holds a 5% or more ownership interest, regardless of position with the firm, or any officer and/or director, regardless of ownership in the firm. Also identify all other persons who have duties, responsibilities or authority conventionally delegated to owners, officers, partners, or directors. In the event the firm is owned by another corporation, partnership, trust, or business association, include all ultimate individuals who hold a 5% or more interest. If percentage does not total 100, please explain.
(please enter whole numbers only in the Ownership fields - i.e. "25", "33", "100" NOT "33 1/3" or "50.5")

Name of Person	Position/Title	Ownership
		% <input style="width: 50px;" type="text"/>
		% <input style="width: 50px;" type="text"/>

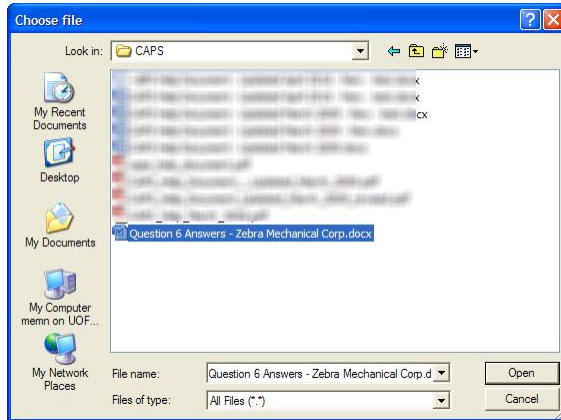
- a. In **Section 5.1**, list all **Key Personnel**, by Name and Position/Title, as defined in the above illustration. Round percentages to whole numbers to define the percentage of ownership. If percentages do not add up to 100, explain in the space provided.
 - b. In **Section 5.2**, list the names and titles of all parties authorized to sign bids, proposals, and/or contract documents.
 - c. In **Section 5.3**, give the number of full-time non-labor employees in your firm. Include all management, clerical, supervisory, and technical people working for your firm.
 - d. In **Section 5.4**, identify all the names your firm has done business under for the past five years, including the firm's predecessor names (if applicable). Provide the dates for which those names were in effect. If none, click the Not Applicable checkbox.
 - e. In **Section 5.5**, identify key persons and any other occupations or businesses (including other construction companies) in which they are currently engaged. Explain in the text box provided. If none, click the Not Applicable checkbox.
 - f. In **Section 5.6**, in the text box, identify all firms in which key persons of this firm have been employed during the past five years, along with dates of employment. If none, click the Not Applicable checkbox.
 - g. In **Section 5.7**, list the firm's annual Business Volume for the past fiscal year, in dollars.
 - h. In **Section 5.8**, type the number of years the firm has been in business.
 - i. In **Section 5.9**, type the number of years under present ownership.
4. In **Section 6**, answer the Disclosure and General questions. For any "Yes" answer, attach a document to explain.

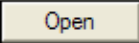
NOTE: The default response to each question is **No**. Please read and answer each question. After Section 6.14, you will be asked to provide an explanation of all **Yes** answers by attaching separate documents.

For your use and review, Section 6 is reproduced in [Appendix C, Section 6](#). Following are instructions for uploading your explanation document(s).

- a. If you need to attach documents, for each document you wish to attach, at the bottom of the Disclosures and General Questions section, click the **Browse** button.  The Choose File dialog box opens.

- b. Using the Choose file dialog box, navigate your computer's file system and select the appropriate document.



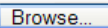

- c. Click the **Open** button. 

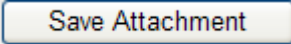
The dialog box closes and the file path appears in the text box, as illustrated below.

FOR A YES ANSWER TO ANY QUESTION 6.1 to 6.12 - Attach a separate sheet with an explanation.

FOR A YES ANSWER TO ANY QUESTION 6.13 to 6.14 - Attach a separate sheet that provides a brief explanation of the facts, the names of the parties involved, the dollar amount being claimed from your firm, and the present status of the case. Attach explanations of any lawsuits alleging negligent or defective work or breach of contract on the part of your firm. Do not include lien matters, automobile accident cases, or Workmen's Compensation cases.

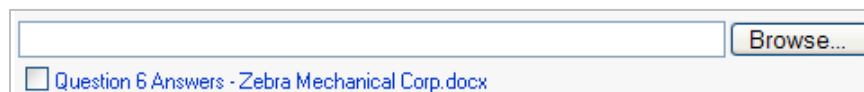
Use the "Browse" button below to locate a required document. Once the path to the document appears in the text box to the left of the "Browse" button use the "Save Attachment" button to include the file with this form. If multiple documents are required first create a single zipped file to attach or attach them one at a time repeating the "Browse" and "Save Attachment" sequence.

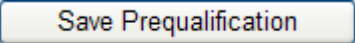
C:\Documents and Settings\memn\My Documents\Training\Course\  

- d. Click the **Save Attachment** button. 

The attachment is saved, and its title appears below, as illustrated.

NOTE: The filename becomes the attachment name.



- e. You may delete your attachment, if necessary. To delete the attachment, click in the checkbox next to the document title, illustrated above. Scroll down the document and click the **Save Prequalification** button. 

The attachment is discarded as you save.

5. In **Section 7 - Performance and Payment Bond**, provide the following information about the bonding company you will use.
 - a. In **Section 7.1**, please read the following before filling in your information.

Section 7 - Performance Bond and Payment Bond

7.1 Prequalification is contingent upon the applicant having a surety (performance and payment) bond capacity authorized by a surety company acceptable to University of Illinois. The Bidder submits the name of the following surety company meeting the requirements set forth in Article 4.2.G of the Instructions to Bidders and Article 15 of the General Conditions who will provide a performance bond and payment bond to the Owner in event that the Bidder is awarded the contract. **A signed statement from the surety and confirming documentation of the authority of the officer or agent signing the letter must be attached including a current power of attorney.** ([View Example](#))

For Telephone and Telefax Numbers, use the format:
(xxx) xxx-xxxx.

- i. In the **Specific Surety Company Name** field, type in the company's name.
- ii. In the **Street Address** field, type in the surety company's street address.
- iii. In the **City, State Zip** field, type in the surety company's city. Select the state from the dropdown menu. Type in the surety company's five-digit zip code.
- iv. In the **Telephone Number** field, type in the phone number for the surety. In the **Telefax Number** field, type in the fax number for the surety.
- v. In the **Local Broker/Agent** field, type in the name of the Local Broker/Agent.
- vi. In the **Contact Person** field, type in the name of the contact person for the surety.
- vii. In the **Street Address** field, type the street address for the Contact Person.
- viii. In the **City, State Zip** field, for the Contact Person, type in the city. Select the state from the dropdown menu. Type in the contact person's five-digit zip code.
- ix. In the **Telephone Number** field, type in the phone number for the contact person.
- x. In the **Telefax Number** field, type in the fax number for the contact person.

- b. In **Section 7.2**, provide the ratings for the surety.

Note: A.M. Best's rating classifications are a letter designation ranging from A++ to F. A.M. Best's financial size categories are a Roman numeral designation ranging from I to XV. The Contract Documents require that sureties be rated as **A- / VI** or better.

- i. In the **Rating Classification** field, from the dropdown menu, select the surety's rating.
- ii. In the **Financial Size Category**, from the dropdown menu, select the surety's category.

- c. In **Section 7.3**, provide information about your bank.

- i. In the **Bank Name** field, type the name of your bank.
- ii. In the **Street Address** field, type in the bank's street address.
- iii. In the **City, State Zip** field, type in the bank's city. Select the state from the dropdown menu. Type in the bank's five-digit zip code.
- iv. In the **Telephone Number** field, type in the phone number for the bank.
- v. In the **Contact Person** field, type in the name of the contact person for the bank.

6. In **Section 8 - Summary of Work Experience**, provide information for similar contracts for the contract division you selected earlier.

Note: You should list ten (10) projects.

If a row has missing information, be sure to click in the **No Information** checkbox, next to the number. See example below.

Section 8 - Summary of Work Experience				
8.2 Similar contracts completed within the last five years. You should list at least 10. Select the "No Information" option for any of the project lines you are unable to complete.				
	Project and Location	Contract Type and Final Amount	Start and Completion Dates (month/year)	Name and Phone # of Owner & Professional Services Consultant References
1.	<input type="checkbox"/> No Information			
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
2.	<input type="checkbox"/> No Information			
	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

- a. In **Section 8.2 Similar Contracts**, for each contract, report the following for contracts completed within the past five years.

NOTE: If a row has missing information, be sure to click in the **No Information** checkbox, next to the number.

- i. In the **Project and Location** column, type the project name and location.
- ii. In the **Contract Type and Final Amount** column, type in the type of contract and the final amount of the contract.
- iii. In the **Start and Completion Dates**, type the start date and end date, using month and year (e.g., 06/2009) for the project.
- iv. In the **Name and Phone # of Owner & Professional Service Consultant References** column, type
 - 1. The name of the project's Owner
 - 2. The Owner's phone number section, type in the Owner's telephone number.
 - 3. The Professional Services Consultant's name,
 - 4. The Professional Services Consultant's phone number, in the format (xxx) xxx-xxxx

- b. In **Section 8.3 Contracts Under Construction**, report the following for contracts currently under construction.

NOTE: If a row has missing information, be sure to click in the **No Information** checkbox, next to the number.

- i. In the **Project and Location** column, type the project name and location.
- ii. In the **Contract Type and Final Amount** column, type in the type of contract and the final amount of the contract.
- iii. In the **Start and Completion Dates**, type the start date and end date, using month and year (e.g., 06/2009) for the project.
- iv. In the **Name and Phone # of Owner & Professional Service Consultant References** column, type:
 - 1. The name of the Project's Owner
 - 2. The Owner's phone number, in the format (xxx) xxx-xxxx
 - 3. The Professional Services Consultant's name
 - 4. The Professional Services Consultant's phone number, in the format (xxx) xxx-xxxx

- c. In **Section 8.4 Contracts Pending**, report the following for contracts currently pending.

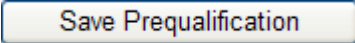
NOTE: If a row has missing information, be sure to click in the **No Information** checkbox, next to the number.

- i. In the **Project and Location** column, type the project name and location.
- ii. In the **Contract Type and Final Amount** column, type in the type of contract and the final amount of the contract.

- iii. In the **Expected Start and Completion Dates**, type the start date and end date, using month and year (e.g., 06/2009) for the project.
 - iv. In the **Name and Phone # of Owner & Professional Service Consultant References** column, type
 1. The name of the Project's Owner
 2. The Owner's phone number, in the format (xxx) xxx-xxxx
 3. The Professional Services Consultant's name
 4. The Professional Services Consultant's phone number, in the format (xxx) xxx-xxxx
7. Review the form.
 8. In the **All sections Completed are you ready to submit for Approval?** area at the bottom of the form, when you are ready to submit your prequalification, click in the **Yes** radio button.

The name and address of the Prequalification Officer appear on the form.

9. Click the **Save Prequalification** button.

A rectangular button with a light blue background and a thin blue border. The text "Save Prequalification" is centered in a dark blue, sans-serif font.

Notes:

- Selecting **Yes** and saving the document will notify the Prequalification Officer to begin the approval process.
 - If you select **Yes** and there are incomplete sections on the Prequalification form, the system will notify you about the missing information and will not allow you to save.
 - Once you have submitted for approval, if the form is complete, you will not be able to edit the document.
 - Following the electronic submission for approval you will need to:
 - Open the document in read mode.
 - Print the document.
 - Obtain the required signature(s).
 - Formally submit the signed document by mail to the Prequalification Officer.
10. Follow the instructions under [Submitting the Prequalification Form](#), below.

Submitting the Prequalification

Once you have completed all sections of the Prequalification, you must submit it both electronically and physically with a wet signature.

1. After completing the Prequalification, at the bottom of the document, in the **All sections Completed are you ready to submit for Approval?** section, click on the **Yes** radio button.

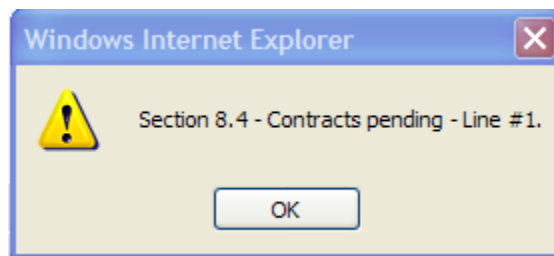
ATTN: Gayle Wildman, Contractor Prequalification Officer
University of Illinois at Urbana-Champaign
1501 S. Oak Street
Champaign, IL 61820

All sections Completed are you ready to submit for Approval? Yes No

Note: Selecting "Yes" and saving the document will notify the Campus Administrator to begin the approval process. Once you have submitted for approval you will not be able to edit the document. Following the submission for approval you will need to open the document in read mode, print the document, obtain the required signature and then formally submit the signed document.

*NOTE: This illustration shows the Urbana campus information; other campuses will display alternative Prequalification Officer names and addresses.

CAPS checks to verify that all sections are complete. If a section is not complete, a small dialog box will pop up indicating the section which is incomplete, as illustrated below.



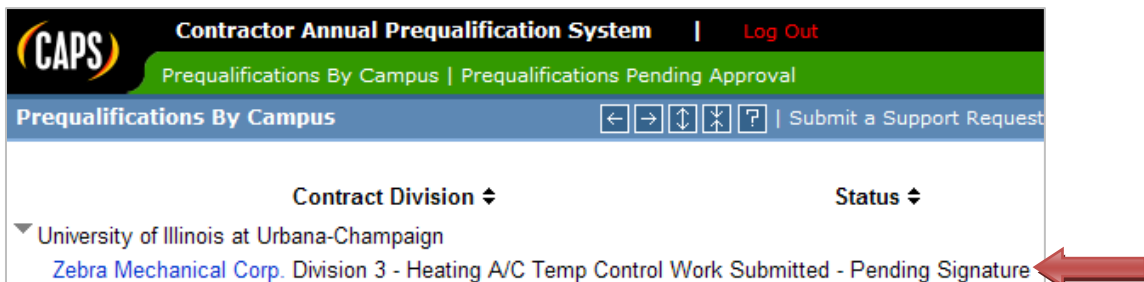
When you click the OK button, CAPS automatically moves to the first section of the document which is incomplete.

- a. If you need to modify a section, review the document and make your changes.
 - b. Review the entire prequalification to ensure all sections are complete.
2. When all sections are complete, click on the **All sections Completed are you ready to submit for Approval? Yes** radio button.

3. Click the **Save Prequalification** button.

The Prequalification closes and the view returns, indicating that your Prequalification is Pending Signature. See next page.

4. Open the document again and print it, obtain the necessary signature, and mail to the address at the end of the Prequalification.



Notes:

- Selecting **Yes** and saving the document will notify the Campus Prequalification Officer to begin the approval process.
- If you select **Yes** and there are incomplete sections on the Prequalification form, the system will notify you about the missing information and will not allow you to save.
- Once you have submitted for approval, if the form is complete, you will not be able to edit the document.
- Following the electronic submission for approval you will need to:
 - Open the document in read mode.
 - Print the document.
 - Obtain the required signature(s).
 - Formally submit the signed document by mail to the Prequalification Officer.

Print out Prequalification Form and Send to Appropriate Campus

1. After submitting the prequalification form electronically, open the Prequalification form in Read Mode.

9.2 Signature - FORM MUST BE SIGNED BY THE FIRM'S PRESIDENT, VICE-PRESIDENT or CEO (if corporation), PARTNER (if partnership), or SOLE OWNER (if sole proprietorship).

I hereby certify that all of the information contained in this prequalification statement is true and complete, and that I have authority to execute this document on behalf of this firm.

Signed _____

Name _____

Title _____

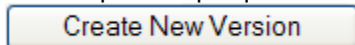
2. Print out the form, obtain the required signature and send to the appropriate campus.

NOTE: The campus address to which you will send the form will appear at the end of the printed document.

Creating a New Version (Renew / Reject / Suspend / Rescind)

RENEW – 45 and 15 days before the expiration, the system will send an auto-generated email to the contractor. Contractors can begin the renewal process 45 days before expiration.

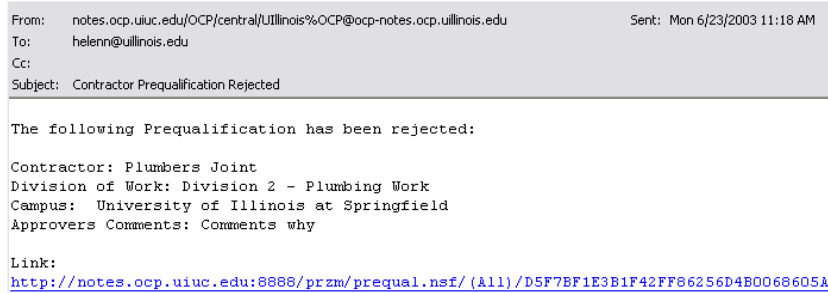
1. Use the email link to access the prequalification form or navigate to the CAPS login page through the University of Illinois Office of Capital Programs and Real Estate Services [website](#).
2. At the top of the prequalification form, click the **Create New Version** button.

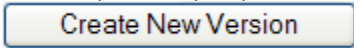


3. The Prequalification auto-populates with the same information as the previous form.
4. Review and update information as necessary.
5. Submit for approval electronically.
6. Follow up with a signed physical copy to the appropriate campus, as noted at the bottom of the form.

REJECT - If the prequalification is rejected, the system sends an auto-generated email to the contractor.

1. Use the email link (see below) to access the prequalification form or navigate to the CAPS login page through the University of Illinois Office of Capital Programs and Real Estate Services [website](#).

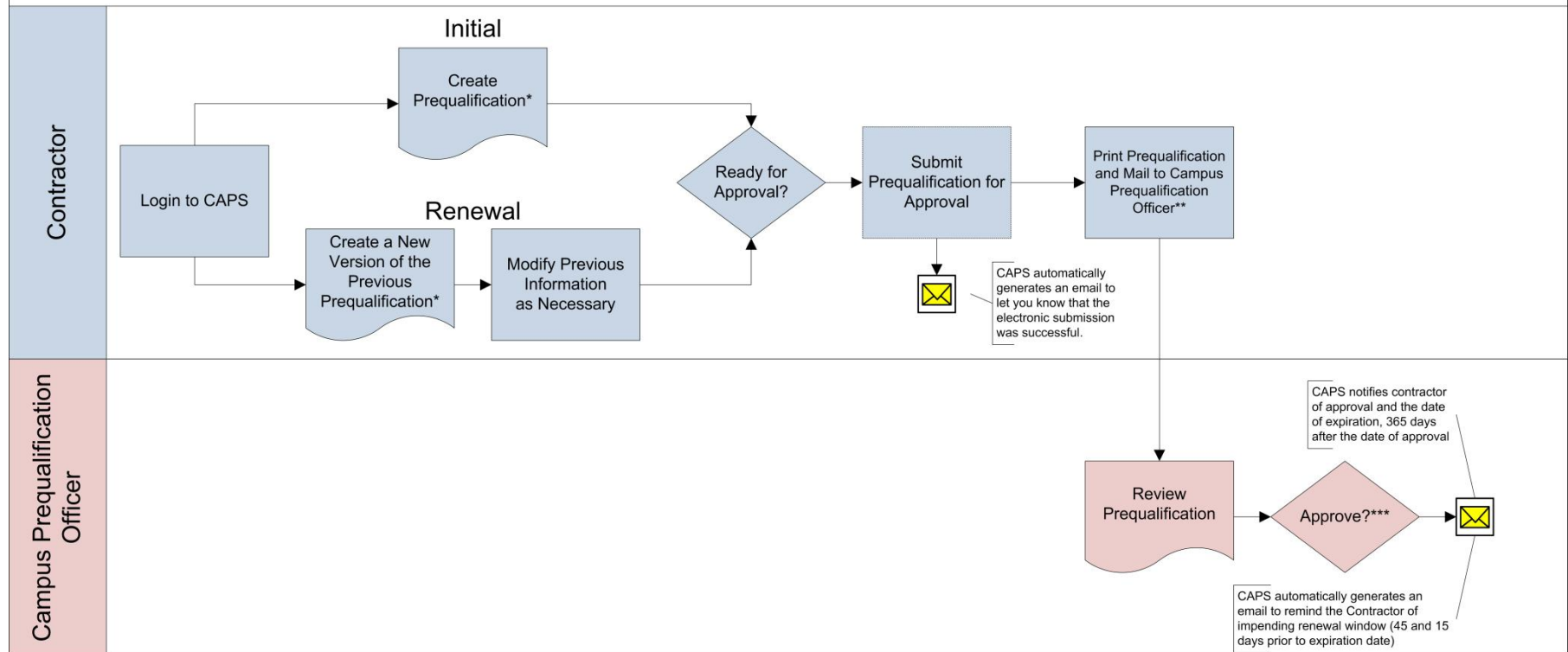


2. At the top of the prequalification form, click the **Create New Version** button.

3. The Prequalification auto-populates with the same information as the previous form.
4. Review and update information as necessary.
5. Submit for approval electronically.
6. Follow up with a signed physical copy to the appropriate campus, as noted at the bottom of the form.

SUSPEND / RESCIND – If for any reason the prequalification is suspended or rescinded, CAPS will auto-generate an email to the contractor 45 and 15 days before the end of suspended or rescinded period. The contractor can create a new version after the suspended or rescinded period. Follow the same process as for the renewal, above.

Appendix A: Workflow

Contractor Annual Prequalification System (CAPS): Workflow



*Contractor may begin, save, and return as many times as necessary to continue until the prequalification form is ready for submission

**The prequalification will not be reviewed until the signed copy is received.

***If a prequalification is not approved, the contractor is notified by email to create a new version and to update it to remedy issues noted by the prequalification officer.

Updated: May, 2010

Appendix B: Excerpt from Document 00 20 00 – General Instructions to Bidders

4.0 BIDDER'S QUALIFICATIONS

- 4.1 Statutory Requirements: In order to sell to or contract with The Board of Trustees of the University of Illinois, the Bidder must comply with the requirements of the Illinois Procurement Code and the Procurement Rules of the Chief Procurement Office for Public Institutions of Higher Education.
- 4.2 Annual Prequalification: The Bidder shall prequalify in accordance with the instructions contained herein. All Bidders shall be prequalified with the Owner. New Bidders that are not prequalified shall prequalify with the Owner using the Owner's web-based Contractor Annual Prequalification System (CAPS). The Bidder shall follow the instructions contained in the CAPS and return the Annual Prequalification Statement to the Owner 14 days before bidding a University of Illinois project. The application may take 14 days to process after a complete and accurate application is received by the University of Illinois Campus Construction Unit. The following information is required in the Annual Prequalification Statement (referenced in Document 00 45 00 – Contractor Annual Prequalification Statement):
- A. Federal Taxpayer Identification Number (Section 1): Enter the Bidder's Federal Taxpayer Identification Number (FTIN). Individuals and sole proprietors should enter their Social Security Number (SSN). All other business entities should enter their Federal Employer Identification Number (FEIN).
 - B. Illinois Department of Human Rights Number (Section 2): Enter the Bidder's Illinois Department of Human Rights (IDHR) number. The Bidder must be prequalified for equal employment opportunity purposes by the Illinois Department of Human Rights, Compliance Division, Public Contracts Section, State of Illinois Building, 100 West Randolph Street, Chicago, Illinois 60601 (telephone 312-814-2431/2).
 - C. Minority, Female, Person with Disabilities or Disadvantaged Business Enterprise Status (Section 3): Identify whether or not the Bidder is a Minority, Female, or Person with Disabilities Business Enterprise as defined in Section 2 of the Illinois Business Enterprise for Minorities, Females, and Persons with Disabilities Act, as amended (30 ILCS 575/0.01 et. seq.) or Disadvantaged Business Enterprise as defined in 49CFR Part 26. If the Bidder is a MBE, FBE, PBE or DBE provide additional information relating to minority, female, or person with disabilities ownership, the applicable minority category, and the Bidder's certification status with the Illinois Department of Central Management Services (CMS), the Illinois Department of Transportation (IDOT) or other certifying body. Pursuant to this Act and 49CFR Part 26, the Owner has established goals for the participation of small businesses and minority, female, and person with disabilities and disadvantaged business enterprises in Owner's construction contracts not less than those stated below:

Campus {County}	Combined Goals MBE/FBE
Chicago Campus {Cook}	22%
Urbana Campus {Champaign}	15%
Springfield Campus {Sangamon}	15%
Peoria Medical Center {Peoria}	15%
Rockford Medical Center {Winnebago}	15%

The following definitions apply:

1. **Minority:** The term "Minority," as used in the Contract Documents, shall mean a person who is a citizen or lawful permanent resident of the United States who is:
 - a. Black/African American (a person having origins in any of the black racial groups in Africa);
 - b. Hispanic American (a person of Spanish or Portuguese culture with origins in Mexico, South or Central America, or the Caribbean Islands, regardless of race);
 - c. Asian American (a person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent or the Pacific Islands); or
 - d. Native American or Alaskan Native (a person having origins in any of the original peoples of North America).

2. **Female:** The term "Female," as used in the Contract Documents, shall mean a person who is a citizen or lawful permanent resident of the United States who is of the female gender.

3. **Person with a Disability:** The term "Person with a Disability," as used in the Contract Documents, refers to a citizen or lawful permanent resident of the United States who qualifies as being disabled pursuant to the provisions of section 2(A)(2.1) of the above-referenced Act.

4. Minority-Owned Business: The term "Minority-Owned Business," as used in the Contract Documents, means a business concern which is at least 51 percent owned by one or more minority persons, or, in the case of a corporation, at least 51 percent of the stock is owned by one or more minority persons; and the management and daily business operations of which are controlled by one or more of the minority individuals who own it. (Minority-Owned Businesses are also referred to as Minority Business Enterprises or MBEs).

 5. Female-Owned Business: The term "Female-Owned Business," as used in the Contract Documents, means a business concern which is at least 51 percent owned by one or more females, or, in the case of a corporation, at least 51 percent of the stock is owned by one or more females; and the management and daily business operations of which are controlled by one or more of the females who own it. (Female-Owned Businesses are also referred to as Female Business Enterprises or FBEs).

 6. Person with Disabilities Owned Business: The term "Person with Disabilities Owned Business", as used in the Contract Documents, refers to a business concern of which at least 51 percent is owned by one or more persons with a disability, or in the case of corporation, one in which at least 51 per centum of the stock is owned by one or more persons with a disability or by a not for profit agency for the disabled organized pursuant to Section 501 of the Internal Revenue Code of 1954; and the management and daily business operations of which are controlled by one or more of the persons with a disability who own it. (Person with Disabilities Owned Businesses are also referred to as Person with Disabilities Business Enterprises or PBEs)

 7. Disadvantaged Owned Business: The term "Disadvantaged Owned Business", as used in the Contract Documents, refers to a for-profit small business concern of which is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged or, in the case of a corporation, in which 51 percent of the stock is owned by one or more such individuals; and whose management and daily business operations are controlled by one or more of the socially and economically disadvantaged individuals who own it. This Disadvantaged Owned Business must be certified in accordance with the requirements of 49 CFR Part 26 with the state of Illinois Uniform Certification Program (IL UCP). Disadvantaged Owned Businesses are also referred to as Disadvantaged Business Enterprises or DBEs.
- D. Business Organization (Section 4): Provide information indicating whether the Bidder's business organization is a sole proprietorship, partnership, or corporation and provide the additional information requested for the applicable type of business organization. For corporations, the term "registered agent" refers to the contact person identified in the corporation's annual report filed with the Illinois Secretary of State.

- E. Key Personnel, Business, and Financial Information (Sections 5): Provide historical information, business volume, financial references, and the number of managerial and supervisory personnel employed by the Bidder.

- F. Disclosures and General Questions (Section 6): Answer all questions in this Section. The questions relate to the Bidder's eligibility to enter into a contract with The Board of Trustees of the University of Illinois and to the statutory requirements, which may affect the Bidder's ability to perform all contractual responsibilities.

- G. Performance Bond and Payment Bond (Section 7): Identify the Bidder's surety, its surety's A.M. Best Co. Rating, and local agent. The Bidder's surety shall have a policyholder's rating not lower than "A-" and a financial rating not lower than "VI" in the current edition of Best's Key Rating Guide for property/casualty insurance companies. The Bidder's surety shall also be licensed to write surety bonds in the State of Illinois and shall be listed on the United States' Department of the Treasury's Listing of Approved Sureties (Department Circular 570), and shall have an underwriting limitation in an amount not less than the amount bid by Bidder including all alternates, if any.

- H. Summary of Work Experience (Section 8): Provide a resume of the Bidder's experience in similar projects, including a list of the following:
 - 1. Similar contracts completed within the last five years.
 - 2. Contracts currently under construction.
 - 3. Contracts upon which the Bidder is negotiating a contract or is the apparent low Bidder even though no contract has yet been awarded.

The Bidder shall list all public works contracts performed within the last two years or the four most recent public works contracts performed, whichever is fewer. The Bidder shall provide information in sufficient detail to enable the Owner to evaluate the Bidder's capacity and experience to provide project coordination on University of Illinois projects (including assigned contracts) and to ensure the completion of projects within the time specified.

Note: The Owner reserves the right to require from the Bidder a detailed statement regarding the business and technical organization and the physical facilities and equipment of the Bidder that is available for the Work that is contemplated, information pertaining to financial resources and experience of personnel, and any additional information or documentation necessary to satisfy the Owner that the Bidder is equipped and prepared to finance and perform the Work.

- 4.3 Application for Renewal: A prequalification renewal will be sent to Bidders approximately 45 days before the expiration of current prequalification. Bidders who

do not receive a prequalification renewal are responsible for obtaining one at least 30 days prior to expiration. When all information is complete and satisfactory, processing may take up to 14 days. When any information is incomplete or unsatisfactory, a longer processing time will be required. Bidders will be notified when information is incomplete or unsatisfactory. Unless otherwise specified in writing by the Owner, the term of prequalification is one year. When prequalification is granted, the bidder will be notified in writing of the expiration date. The Owner may grant a shorter term of prequalification when a determination is made by the Owner that a shorter period is justified. The Owner, in its discretion, may grant a longer period of prequalification when deemed appropriate.

- 4.4 Project-Specific Prequalification: The Project-Specific Prequalification Statement shall be submitted to the Owner as soon as possible but in any event not later than the date and time stipulated in the Notice to Bidders. The Project-Specific Prequalification Statement shall be submitted on the forms included with the bid documents and in an envelope marked "Project-Specific Prequalification." Failure to submit the required information by the project-specific prequalification deadline and failure to meet the project-specific prequalification requirements may result in the bid being returned unopened. Project-specific information required by the Owner shall be stated in Document 00 46 00 – Project-Specific Prequalification Form.

Note: The Owner reserves the right to require from the Bidder, prior to the bid opening, a detailed statement regarding the business and technical organization and the physical facilities and equipment of the Bidder that is available for the Work that is contemplated, information pertaining to financial resources and experience of personnel, and any additional information or documentation necessary to satisfy the Owner that the Bidder is equipped and prepared to finance and perform the Work.

- 4.5 Owner's Evaluation: The Owner shall evaluate the information provided in the Annual Prequalification Statement and Project-Specific Prequalification Statement. The Bidder's performance on previous projects at the University of Illinois and other available evidence will be used to determine, prior to the opening of bids, whether the Bidder has satisfactorily prequalified to submit a bid for the project. The Owner shall perform all such evaluations in compliance with applicable State and Federal law which define and prohibit unlawful discrimination. Unsatisfactory performance on previous projects may be sufficient cause for disqualifying a Bidder. Any Bidder who is determined to be unqualified on the basis of data submitted and/or investigation completed will be notified at or prior to the bid opening, and any bid submitted will be returned unopened. Prequalification by a Bidder shall not, however, constitute a final determination by the Owner of the qualifications and responsibility of the Bidder. The Owner reserves the right to re-evaluate the Bidder's qualifications and responsibility and to request additional information and substantiation at any time prior to the award of contract.
- 4.6 Actions Affecting Prequalification: The Owner may, at any time, consider whether action should be taken concerning a Bidder's prequalification. Actions that may be taken by the Owner include, but are not limited to, one or more of the following: modification or limitation of a Bidder's ability to bid; suspension of a Bidder's prequalification; debarment of a Bidder.

Appendix C: Document 00 45 00 – Contractor Annual Prequalification Statement

THE BIDDING AND CONTRACT PROVISIONS
Document 00 45 00 – Contractor Annual Prequalification Statement
(Standard Multiple and Single Contract Sets)

Legal Firm Name _____
Common Firm Name _____
(Doing business as - if applicable)
Street Address _____
City, State, Zip _____
County _____
Business Phone _____
Facsimile Number _____
E-mail Address _____

Please complete if the mailing address is different from above address.

1. Mailing Address _____
City, State, Zip _____

2. Contact Person _____
(List the person responsible for completing this form)

3. Submittal is for: () Parent Company () Division () Branch Office

Parent Company Name _____
Address _____
City, State, Zip _____

Section 1– Federal Taxpayer Identification Number

1.1 Provide the firm’s Federal Taxpayer Identification Number. If sole proprietorship, provide the Social Security Number.

Taxpayer ID Number: _____

Section 2 - Illinois Department of Human Rights Number

- 2.1 Provide the firm's Illinois Department of Human Rights (IDHR) number. All prospective contractors shall be registered or have an application pending (not subject to an Order of Noncompliance) with the Illinois Department of Human Rights (IDHR) prior to the bid opening. To obtain an IDHR identification number, contact the Illinois Department of Human Rights, Compliance Division, Public Contracts Unit, 100 West Randolph Street, 10th Floor, Chicago, Illinois 60601, 312/814-2432. If an application is pending with the Illinois Department of Human Rights, please so indicate below. It is the firm's responsibility to notify this agency once an IDHR number has been assigned.

IDHR number: _____

Section 3 – Minority, Female, Person with Disability and Disadvantaged Business Enterprise Status

- 3.1 [MAFBE Status of Contractor](#): The Contractor certifies that this business

is is not

A Minority, Female, or Person with Disabilities Business Enterprise as defined in Section 2 of the Illinois Business Enterprise for Minorities, Females, and Persons with Disabilities Act as amended (30 ILCS 575/0.01 et seq.) or Disadvantaged Business Enterprise as defined in 49 CFR Part 26, (refer to Document 200 - General Instructions to Bidders). If this business is a MBE, FBE, PBE, or DBE, the Contractor further certifies that:

A. The Business Ownership is:

- Minority Business Enterprise (MBE)
- Female Business Enterprise (FBE)
- Person with Disabilities Business Enterprise (PBE)
- [Disadvantaged Business Enterprise \(DBE\)](#)

B. The Applicable Gender is:

Male Female

C. The Applicable Race/Ethnicity is:

- Black/African American
- Hispanic American
- Asian American

- Native American Indian
- White/Caucasian American

D. The MBE/FBE/PBE/DBE Certification is with: (Please attach copy of Certificate)

Certificate Expiration Date is: IL UCP Certificate Expiration Date is:

- | | |
|--|--|
| <input type="checkbox"/> CMS _____ | <input type="checkbox"/> IDOT _____ |
| <input type="checkbox"/> CMBDC _____ | <input type="checkbox"/> City of Chicago _____ |
| <input type="checkbox"/> WBDC _____ | <input type="checkbox"/> PACE _____ |
| <input type="checkbox"/> Cook County _____ | <input type="checkbox"/> CTA _____ |
| <input type="checkbox"/> City of Chicago _____ | <input type="checkbox"/> METRA _____ |
| <input type="checkbox"/> Not Currently Certified | |

3.2 MAFBE Status Changes: The Contractor agrees to notify the Board of Trustees University of Illinois of all changes to the Contractor's status as a Minority, Female, Person with Disabilities or Disadvantaged Business Enterprise within 15 business days of the occurrence of such a change.

Section 4 – Business Organization

4.1 Type of firm:

- () Corporation () Limited Liability Company () Individual () Partnership
- () Limited Liability Partnership () Sole Proprietorship () Joint Venture
- () Tax Exempt Organization () Not-For-Profit Corporation () Trust or Estate
- () Governmental Entity () Educational Institution () Medical Health Care Provider

If the Contractor is a **corporation**, provide the following information:

A. State in which incorporated: _____

B. If incorporated in another state, is the corporation authorized to do business in the State of Illinois? Yes _____ No _____

C. Name and address of the corporation's registered agent in Illinois:

NOTE: Corporations shall be classified as being in "good standing" with the Illinois Secretary of State at time of contract award. Firms are encouraged to maintain an active status with the Illinois Secretary of State to avoid delays in the event that a contract is awarded. **For verbal confirmation of status for firms previously listed as being in good standing, call 217/782-7880. To order a Certificate of Good Standing with credit card, call 217/782-6875. For firms wishing to become incorporated, call 217/782-9520.** You may also write to the Illinois Secretary of State, Corporations Division, Third Floor, Howlett Building, Springfield, Illinois 62706.

Section 5 – Key Personnel, Business, and Financial Information

5.1 List all key persons. "Key person" is defined as any individual who holds a 5% or more ownership interest, regardless of position with the firm, or any officer and/or director, regardless of ownership in the firm. Also identify all other persons who have duties, responsibilities or authority conventionally delegated to owners, officers, partners, or directors. In the event the firm is owned by another corporation, partnership, trust, or business association, include all ultimate individuals who hold a 5% or more interest. If percentage does not total 100, please explain.

Name of Person	Position/Title	Ownership
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

5.2 List the names and titles of parties authorized to sign bids, proposals, or contract documents.

Name of Person	Title
_____	_____
_____	_____
_____	_____

5.3 Number of full-time, non-labor employees. Include management, clerical, supervisory, and technical people working for the firm. _____

5.4 Identify all other names the firm or its predecessors have used in the past five years. Provide the dates that names were in effect.

5.5 Identify key persons and any other occupations or businesses (including other construction companies) in which they are currently engaged. Please explain below or attach a separate sheet.

5.6 Identify all firms in which key persons of this firm have been employed during the past five years and provide the dates of employment. Please explain below or attach a separate sheet.

5.7 List the firm's business volume (dollar amount) for the last fiscal year. _____
Do not attach financial statement.

5.8 Number of years the firm has been in business. _____

5.9 Number of years under present ownership. _____

Section 6 - Disclosures and General Questions

FOR A YES ANSWER TO ANY QUESTION IN THIS SECTION, PLEASE ATTACH EXPLANATION ON A SEPARATE SHEET

6.1 In the past five years, has the firm or its predecessor been investigated or found in non-compliance by the Illinois Department of Labor regarding prevailing wage requirements?

_____ Yes _____ No

6.2 In the past five years, has the firm or its predecessor been cited for violating state or federal safety, sanitary, or environmental laws?

_____ Yes _____ No

6.3 Has the firm or its predecessor or any key person with the firm or its predecessor ever been convicted of any state or federal crime (excluding traffic violations), including, but not limited

to, embezzlement, theft, forgery, bribery, falsification or destruction of records, receipt of stolen property, criminal anti-trust violations, bid-rigging or bid-rotating?

Yes No

6.4 Has the firm or its predecessor or any key person with the firm or its predecessor ever been convicted of a state or federal civil anti-trust violation or similar offense?

Yes No

6.5 In the past five years, has the firm or its predecessor defaulted on a loan?

Yes No

6.6 Has the firm or its predecessor ever filed for bankruptcy?

Yes No

6.7 Has the firm or its predecessor ever been suspended or debarred by a state, federal, or municipal agency?

Yes No

6.8 Is any owner, person with an interest in firm profits, or their spouse or minor child employed in any way by the State of Illinois?

Yes No

6.9 In the past five years, has the firm or its predecessor failed to complete any contract?

Yes No

6.10 Is the firm currently under investigation as a provider under Medicare or Medicaid or any other federal or state health care program or under any third party insurance programs?

Yes No

- 6.11 Is the firm currently excluded or barred from submitting claims to Medicare or Medicaid or to any other federal or state health care programs or to any third party insurer?

_____ Yes _____ No

- 6.12 In accordance with the Illinois Procurement Code (30 ILCS 500/50-36), please check "Yes" or "No" to indicate whether the following statements are applicable to the bidder. If "Yes," please provide additional information as appropriate (attach additional pages as necessary).

Within the 24 months before submission of the bid, offer, or proposal the bidder, offeror, or proposing entity, or any of its corporate parents or subsidiaries, has had business operations that involved contracts with or provision of supplies or services to

- (a) the Government of Iran;
- (b) companies in which the Government of Iran has any direct or indirect equity share;
- (c) consortiums or projects commissioned by the Government of Iran; or
- (d) companies involved in consortiums or projects commissioned by the Government of Iran;

and

(1) more than 10% of the company's revenues produced in, or assets located in, Iran involve oil-related activities or mineral-extraction activities; less than 75% of the company's revenues produced in, or assets located in, Iran involve contracts with or provision of oil-related or mineral-extraction products or services to the Government of Iran or a project or consortium created exclusively by that government; and the company has failed to take substantial action;

or

(2) the company has, on or after August 5, 1996, made an investment of \$20 million or more, or any combination of investments of at least \$10 million each that in the aggregate equals or exceeds \$20 million in any 12-month period, that directly or significantly contributes to the enhancement of Iran's ability to develop petroleum resources of Iran.

_____ Yes _____ No

FOR A YES ANSWER TO ANY QUESTION 6.13 to 6.14,

Attach a separate sheet that provides a brief explanation of the facts, and identifies by name, location and number the proceeding, the names of the parties involved, the dollar amount being claimed from or by your firm, and the present status of the proceeding. Attach explanations of any lawsuits alleging negligent or defective work or breach of contract on the

part of your firm. Do not include lien matters, automobile accident cases, or Workmen's Compensation cases.

6.13 Has a court or other tribunal or panel issued a judgment or an award against the firm or its predecessor in the past five years?

_____ Yes _____ No

6.14 Is the firm or its predecessor currently a party to a pending lawsuit arbitration or other proceeding?

_____ Yes _____ No

Section 7 – Performance Bond and Payment Bond

7.1 Prequalification is contingent upon the applicant having a surety (performance and payment) bond capacity authorized by a surety acceptable to University of Illinois. The Contractor submits the name of the following surety meeting the requirements set forth in Article 4.2.G of the Instructions to Bidders who will provide a performance bond and payment bond to the Owner in event that the Contractor is awarded a contract.

Name of Firm _____
Specific Surety Name _____
Street Address _____
City, State, Zip _____
Telephone Number _____
Telefax Number _____

Local Broker/Agent _____
Contact Person _____
Street Address _____
City, State, Zip _____
Telephone Number _____
Telefax Number _____

7.2 Surety's Rating in A.M. Best's Insurance Guide:

Rating Classification: _____ Financial Size Category: _____

Note: A.M. Best's rating classifications are a letter designation ranging from A++ to F. A.M. Best's financial size categories are a Roman numeral designation ranging from I to XV. The Contract Documents require that sureties be rated as A-, VI or better.

7.3 Bank Name _____
Street Address _____
City, State, Zip _____
Telephone Number _____
Contact Person _____

EXAMPLE

Section 8 – Summary of Work Experience

8.1 Firms may be prequalified in any of the forty-seven (47) categories listed below according to experience. Please indicate in which category/ies the firm intends to bid. For **EACH** trade indicated, firms will be required to provide recent, relevant construction experience on the following page.

- Division 1 - General Work
- Division 2 - Plumbing Work
- Division 3 - Heating A/C Temp Control Work
- Division 4 - Ventilation Work
- Division 5 - Electrical Work
- Division 6 - Sprinkler Work
- Division 7 - Temperature Control Work
- Division 8 - Test/Balance Work
- Division 9 - Elevator Work
- Division 10 - Access Flooring Work
- Division 11 - Building Signage-Interior Work
- Division 12 - Carpentry Work
- Division 13 - Carpet/Resilient Flooring Work
- Division 14 - Ceiling Work
- Division 15 - Concrete Work
- Division 16 - Demolition Work
- Division 17 - Drywall Work
- Division 18 - Excavation Work
- Division 19 - Fire Protection Work
- Division 20 - Flooring Work
- Division 21 - Hardscape Work
- Division 22 - Landscaping Work
- Division 23 - Masonry Work
- Division 24 - Miscellaneous Metals Work
- Division 25 - Painting Work
- Division 26 - Roofing Work
- Division 27 - Site Work
- Division 28 - Structural Steel Work
- Division 29 - Utility Site Work-Electrical
- Division 30 - Utility Site Work-Gas
- Division 31 - Utility Site Work-Heating

- Division 32 - Utility Site Work-Plumbing
- Division 33 - Utility Site Work-Water
- Division 34 - Utilities Site Work
- Division 35 - Windows/Entrances Work
- Division 36 - Telecommunications Work
- Division 37 - Telecomm Copper Media Ex
- Division 38 - Telecomm Emergency Phone
- Division 39 - Telecomm Networking
- Division 40 - Telecomm Underground Infrastructure
- Division 41 - Telecomm Wiring-Exterior
- Division 42 - Telecomm Wiring-Interior
- Division 43 - Other Telecommunications Work
- Division 44 - Other Work
- Division 45 – Environmental/Asbestos Abatement Work
- Division 46 – Power Plant Work
- Division 47 – Kitchen Equipment

8.2 Similar contracts completed within the last five years (list at least 10):

Project and Location	Contract Type and Final Amount	Start and Completion Dates*	Name and Phone # of Owner & Professional Services Consultant References

*month/year

8.3 Contracts under construction:

Project and Location	Contract Type, Current Amount, & % Complete	Start and Completion Dates*	Name and Phone # of Owner & Professional Services Consultant References

*month/year

8.4 Contracts pending:

Project and Location	Contract Type and Amount	Expected Start and Completion	Name and Phone # of Owner & Professional Services Consultant References

EXAMPLE

Section 9 – Signature Block

9.1 As a condition of prequalification, the Contractor agrees that it:

- A. Has read, understands, and will comply with all instructions pertaining to this statement.
- B. Will notify the Owner within five business days of any material changes to the information contained in this statement.
- C. Will, upon request, provide the Owner with financial statements within ten business days.
- D. Will adhere to all provisions of the Illinois Procurement Code.
- E. Will adhere to all provisions of the Drug Free Workplace Act.
- F. Will adhere to all provisions of the Prevailing Wage Act.
- G. Is approved by and registered with the U. S. Department of Labor’s Bureau of Apprenticeship and Training for the same trade(s) in which the Contractor will perform work. Proof of Compliance – Apprenticeship and Training Program # _____.
- H. Agrees that if any of the above conditions is violated by the firm or if any responses are found to be materially untrue, the prequalification of the firm will be suspended.
- I. Authorizes the surety and local broker/agent listed in Item 7.1 and the bank listed in Item 7.3 to provide any and all information regarding the firm to the Owner, as a condition of the firm's prequalification.
- J. Will adhere to the requirements of the Substance Abuse Prevention on Public Works Projects Act (820 ILCS 265), and shall include with this Annual Prequalification Statement a written substance abuse prevention program that meets or exceeds the requirements of the Act.
- K. Certifies that it has complied with the disclosure requirements of Section 50-36 of the Illinois Procurement Code (30 ILCS 500/50-36) requiring companies seeking to do business with Owner to make certain disclosures related to the conduct of business with the nation of Iran.
- L. Will adhere to the requirements of Public Act 95-0971, ‘Registration of Business Entities,’ which amends the Illinois State Procurement Code (30 ILCS 500) by adding sections 20-160 and 50-37, for registration and certification with the Illinois State Board of Elections.

9.2 **Signature - FORM MUST BE SIGNED BY THE FIRM’S PRESIDENT, VICE-PRESIDENT or CEO (if corporation), PARTNER (if partnership), or SOLE OWNER (if sole proprietorship).**

I hereby certify that all of the information contained in this prequalification statement is true and complete, and that I have authority to execute this document on behalf of this firm.

Signed _____
Name _____
Title _____

END OF DOCUMENT 00 45 00

Functional - Vertical Divisions of Work

Sub-Package A1
Champaign Anchors Outside Work.
(Includes splicing & terminating the fiber inside the building.)

Sub-Package B1
Urbana Anchors Outside Work.
(Includes splicing & terminating the fiber inside the building.)

Sub-Package C1
All Fiber-to-the-Premise locations Outside Work. (No splicing required. Fiber coiled at outside of building.)

Vertical Package 1 Outside Work

Design & install fiber from the curb to the building and restore landscaping, sidewalks and driveways to previous states.

Sub-Package A2
Champaign & Savoy Anchors Inside Work.
(Includes splicing.)

Sub-Package B2
Urbana Anchors Inside Work.
(Includes splicing.)

Sub-Package C2
All Fiber-to-the-Premise locations Inside Work. (No splicing required.)

Vertical Package 2 Inside Work

Design & install copper and fiber inside cabling. Configure UC2B Optical Network Terminal (ONT), Wi-Fi & Gateway. Configure customer's Internet-capable wired and wireless devices.

Horizontal Package A

All 132 Champaign/Savoy Anchor & IRU Locations. 9 have multiple Anchors. None have existing fiber. 101 require splicing. Also includes up to 144 MDU & MTU units in 13 buildings with interior hallways. All MDU and MTU buildings will require splicing.

Horizontal Package B

All 84 Urbana Anchor & IRU Locations. 13 have multiple Anchors. 24 have existing fiber. 64 require splicing. Also includes up to 112 MDU & MTU units in 16 buildings with interior hallways. All MDU and MTU buildings will require splicing.

Horizontal Package C

Fiber Distribution Hub Service Areas 1-12. An estimated 2,356 total single family, single business, mobile home, MDU/MTU or single Anchor locations. None have existing fiber. None require splicing. Only includes MDU and MTU locations with no interior hallways.

Proposed divisions of work for UC2B Fiber-to-the-Premise (FTTP) construction and equipment installation



Urbana-Champaign Big Broadband

Geographic - Horizontal Divisions of Work

UC2B FTTP RFP - Final Scoring of Combinations

Combo #	Winning Sub Packages	Component Price	Total Price	Component Diversity %	Average Diversity %	Price Points	Diversity Points	Total Points	
	A	All of Everything	\$ 2,000,000	\$ 2,000,000	10%	10%	750.00	71.43	821.43
	B	All Outside - Vert-1	\$ 1,100,000	\$ 2,200,000	30%	35%	675.00	250.00	925.00
		All Inside - Vert-2	\$ 1,100,000		40%				
	C	All Champaign Anchors - Horiz-A	\$ 200,000	\$ 2,225,000	10%	20%	665.63	142.86	808.48
		All Urbana Anchors - Horiz-B	\$ 125,000		20%				
		All FTTP - Horiz-C	\$ 1,900,000		30%				
	D	All Anchors Outside & Inside - Horiz-A & B	\$ 300,000	\$ 2,580,000	15%	20%	532.50	142.86	675.36
		All FTTP Outside & Inside - Horiz-C	\$ 2,280,000		25%				
	E	All Anchors Outside - A1 & B1	\$ 225,000	\$ 2,350,000	10%	18%	618.75	125.00	743.75
		All Anchors Inside - B2 & B2	\$ 125,000		25%				
		All FTTP Outside - C1	\$ 1,300,000		15%				
		All FTTP Inside - C2	\$ 700,000		20%				
	F	All Anchors Outside - A1 & B1	\$ 225,000	\$ 2,630,000	10%	20%	513.75	142.86	656.61
		All Anchors Inside - B2 & B2	\$ 125,000		25%				
		All FTTP Outside & Inside - Horiz-C	\$ 2,280,000		25%				
	G	All Anchors Outside & Inside - Horiz-A & B	\$ 300,000	\$ 2,300,000	15%	17%	637.50	119.05	756.55
		All FTTP Outside - C1	\$ 1,300,000		15%				
		All FTTP Inside - C2	\$ 700,000		20%				
	H	Champaign Anchors Outside - A1	\$ 165,000	\$ 2,460,000	10%	17%	577.50	119.05	696.55
		Champaign Anchors Inside - A2	\$ 95,000		15%				
		Urbana Anchors Outside - B1	\$ 130,000		10%				
		Urbana Anchors Outside - B2	\$ 70,000		20%				
		FTTP Outside - C1	\$ 1,300,000		15%				
		FTTP Inside - C2	\$ 700,000		30%				

Least Cost: \$ 2,000,000 Largest %: 35%