



Illinois Department of Transportation

2300 South Dirksen Parkway / Springfield, Illinois / 62764

October 22, 2009

SUBJECT: Various Routes
Section 2009-0711
Various Counties
Contract No. 60H79
Item No. 135, November 6, 2009 Letting
Addendum A

NOTICE TO PROSPECTIVE BIDDERS:

Attached is an addendum to the plans or proposal. This addendum involves revised and/or added material.

1. Revised the Table of Contents to the Special Provisions.
2. Revised pages 25 - 32 of the Special Provisions, replacing the Special Provision DISADVANTAGED BUSINESS ENTERPRISE (BDE) with DISADVANTAGED BUSINESS ENTERPRISE – NONFEDERAL–AID CONTRACTS (BDE).

Prime contractors must utilize the enclosed material when preparing their bid and must include any Schedule of Prices changes in their bidding proposal.

Bidders using computer-generated bids are cautioned to reflect any and all Schedule of Prices changes, if involved, into their computer programs.

Very truly yours,

Charles Ingersoll, Chief
Bureau of Design and Environment

A handwritten signature in cursive script, reading "Ted B. Walschleger" followed by "P.E." in a smaller font.

By: Ted B. Walschleger, P. E.
Engineer of Project Management

cc: Diane O'Keefe, Region 1, District 1; Bill Frey; Estimates

TBW:MS:jc

TABLE OF CONTENTS

LOCATION OF PROJECT 1
DESCRIPTION OF PROJECT 1
TERM OF CONTRACT 1
RENEWAL OF CONTRACT 1
LAYOUT 2
WORK ORDERS AND PRIORITY WORK..... 2
LANDSCAPE CONSTRUCTION WORK 2
INTERIM COMPLETION DATE FOR PHASE ONE 2
INTERIM COMPLETION DATE FOR PHASE TWO 2
INTERIM COMPLETION DATE FOR PHASE THREE..... 3
INTERIM COMPLETION DATE FOR PHASE FOUR..... 3
INTERIM COMPLETION DATE FOR PHASE FIVE 3
INTERIM COMPLETION DATE FOR PHASE SIX 3
COMPLETION DATE FOR PHASE SEVEN..... 3
FAILURE TO COMPLETE LANDSCAPE CONSTRUCTION 3
TRAFFIC CONTROL PLAN 4
KEEPING THE EXPRESSWAY OPEN TO TRAFFIC 5
WORK ZONE TRAFFIC CONTROL 6
CONTRACTOR'S WEEKLY WORK SCHEDULE..... 6
LANDSCAPE COMPLETION REPORT 6
INTERSEEDING, CLASS 4 (MODIFIED) – NATIVE GRASSES..... 7
INTERSEEDING, CLASS 5 (MODIFIED) – FORBS..... 7
PLANTING WOODY PLANTS FOR LANDSCAPE REPAIRS..... 10
PLANTING PERENNIAL PLANTS..... 14
SELECTIVE CLEARING 15
SUPPLEMENTAL WATERING 16
PLANT CARE..... 17
GENERAL REQUIREMENTS FOR WEED CONTROL SPRAYING 18
MULCH PLACEMENT FOR EXISTING WOODY PLANTS..... 20
WEED CONTROL, NON-SELECTIVE AND NON-RESIDUAL..... 21
APPROVAL OF PROPOSED BORROW AREAS, USE AREAS, AND/OR WASTE AREAS INSIDE
ILLINOIS STATE BORDERS (BDE) 22
CONSTRUCTION AIR QUALITY - DIESEL VEHICLE EMISSIONS CONTROL (BDE) 22

Revised 10/22/2009

CONSTRUCTION AIR QUALITY - IDLING RESTRICTIONS (BDE)..... 23
DISADVANTAGED BUSINESS ENTERPRISE PARTICIPATION – NONFEDERAL-AID CONTRACTS
(BDE)..... 25
EQUIPMENT RENTAL RATES (BDE)..... 32
LIQUIDATED DAMAGES (BDE)..... 33
NATIONAL POLLUTANT DISCHARGE ELIMINATION SYSTEM / EROSION AND SEDIMENT
CONTROL DEFICIENCY DEDUCTION (BDE) 34
PAYMENTS TO SUBCONTRACTORS (BDE) 35
PAYROLLS AND PAYROLL RECORDS (BDE) 36
PERSONAL PROTECTIVE EQUIPMENT (BDE) 37
REFLECTIVE SHEETING ON CHANNELIZING DEVICES (BDE) 37
SEEDING (BDE) 38
SUBCONTRACTOR MOBILIZATION PAYMENTS (BDE) 40

Revised 10/22/2009

DISADVANTAGED BUSINESS ENTERPRISE PARTICIPATION – NONFEDERAL-AID CONTRACTS (BDE)

Effective: November 1, 2009

STATE OBLIGATION. This Special Provision enforces the provisions of Sections 4(c) and 6(d) of the Business Enterprise for Minorities, Females, and Persons with Disabilities Act, 30 ILCS 575. Sections 4(c) and 6(d) of the Act specify the use of Federal regulations, standards and procedures for the Department to implement a disadvantaged business enterprise program. The Department, as a recipient of federal financial assistance, is required to take all necessary and reasonable steps to ensure nondiscrimination in the award and administration of contracts. When this Special Provision is used to satisfy state law requirements on 100 percent state-funded contracts, the federal government has no involvement in such contracts and no responsibility to oversee the implementation of this Special Provision by the Department on those contracts. DBE participation on 100 percent state-funded contracts will not be credited toward fulfilling the Department's annual overall DBE goal required by the US Department of Transportation to comply with the federal DBE program requirements. For the purposes of this Special Provision, a disadvantaged business enterprise (DBE) means a business certified by the Department in accordance with the requirements of 49 CFR part 26 and listed in the Illinois Unified Certification Program (IL UCP) DBE Directory. Except as modified by Section 4(c) of the State Act, the procedures used in this Special Provision are taken from 49 CFR part 26.

CONTRACTOR ASSURANCE. The Contractor makes the following assurance and agrees to include the assurance in each subcontract that the Contractor signs with a subcontractor:

The Contractor, subrecipient, or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The Contractor shall carry out applicable requirements of 49 CFR part 26 in the award and administration of contracts funded in whole or in part with federal or state funds. Failure by the Contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the recipient deems appropriate.

OVERALL GOAL SET FOR THE DEPARTMENT. As a requirement of compliance with 49 CFR part 26, the Department has set an overall goal for DBE participation in its federally assisted contracts. That goal applies to all federal-aid funds the Department will expend in its federally assisted contracts for the subject reporting fiscal year. That goal is also used to satisfy the obligations under the State Act. The Department is required to make a good faith effort to achieve the overall goal. The dollar amount paid to all approved DBE companies performing work called for in this contract is eligible to be credited toward fulfillment of the Department's overall goal.

CONTRACT GOAL TO BE ACHIEVED BY THE CONTRACTOR. This contract includes a specific DBE utilization goal established by the Department. The goal has been included because the Department has determined that the work of this contract has subcontracting opportunities that may be suitable for performance by DBE companies. This determination is based on an assessment of the type of work, the location of the work, and the availability of DBE companies to do a part of the work. The assessment indicates that, in the absence of unlawful discrimination, and in an arena of fair and open competition, DBE companies can be expected to perform **10.0%** of the work.

Revised 10/22/2009

This percentage is set as the DBE participation goal for this contract. Consequently, in addition to the other award criteria established for this contract, the Department will only award this contract to a bidder who makes a good faith effort to meet this goal of DBE participation in the performance of the work. A bidder makes a good faith effort for award consideration if either of the following is done in accordance with the procedures set forth in this Special Provision:

- (a) The bidder documents that it has obtained DBE participation to meet the goal; or
- (b) The bidder documents that a good faith effort has been made to meet the goal, even though the effort did not succeed in obtaining enough DBE participation to meet the goal.

DBE LOCATOR REFERENCES. Bidders may consult the IL UCP DBE Directory as a reference source for DBE-certified companies. In addition, the Department maintains a letting and item specific DBE locator information system whereby DBE companies can register their interest in providing quotes on particular bid items advertised for letting. Information concerning DBE companies willing to quote work for particular contracts may be obtained by contacting the Department's Bureau of Small Business Enterprises at telephone number (217)785-4611, or by visiting the Department's web site at www.dot.il.gov.

BIDDING PROCEDURES. Compliance with the bidding procedures of this Special Provision is required prior to the award of the contract.

- (a) **DBE Utilization Plan Submission.** The bidder shall submit a DBE Utilization Plan on Department form SBE 2026 with its bid. The DBE Utilization Plan shall document that either the bidder has obtained enough DBE participation to meet the goal or that the bidder made adequate good faith efforts to meet the goal, even though it did not succeed in obtaining enough DBE participation to do so. The bidder shall attach to the DBE Utilization Plan a full list of each and every certified DBE that will participate in the contract to meet the goal. The Utilization Plan shall further provide the name, telephone number, and telefax number of a responsible official of the bidder designated for purposes of notification of plan approval or disapproval under the procedures of this Special Provision. Failure to submit the DBE Utilization Plan shall cause the bid to be rejected as not responsive.
- (b) **DBE Participation Statements and Good Faith Effort Post-Bid Submission.** No later than seven calendar days after the letting, the as-read low bidder determined responsive by the Department shall, for bidder responsibility evaluation, submit a completed and signed DBE Participation Statement on SBE form 2025 for each and every certified DBE listed in the DBE Utilization Plan submitted with the bid. In addition, the bidder shall submit all evidence of the good faith effort made by the bidder if enough DBE participation was not obtained to meet the contract goal. To meet the seven calendar day requirement, the bidder shall deliver the original documentation or send the required information by certified mail or delivery service within the seven day period. Telefax delivery shall not be acceptable. If a question arises concerning the mailing date, the mailing date will be established by the U.S. Postal Service postmark on the original certified mail receipt from the U.S. Postal Service or the receipt issued by a delivery service.

Revised 10/22/2009

It is the responsibility of the bidder to ensure that the postmark or receipt date is affixed within the seven days if the bidder intends to rely upon mailing or delivery service to satisfy the submission day requirement. The required information shall be delivered to the Department of Transportation, Bureau of Small Business Enterprises, Contract Compliance Section, Room 319, 2300 South Dirksen Parkway, Springfield, Illinois 62764. The bidder shall be deemed not responsible if the required information is not timely delivered. In the event the bidder fails to deliver the required information, the penal sum of the bidder's proposal guaranty shall be forfeit, and the bidder shall be denied authorization to bid the project if re-advertised for bids. The Department reserves the right to invite any other bidder to submit the required information at any time for evaluation or to extend the time for award.

(c) DBE Participation Statements Content. The DBE Participation Statement, Department form SBE 2025, for each DBE proposed for the performance of work to achieve the contract goal shall include all elements of information indicated on the said form, including but not limited to the following:

- (1) The name and address of each DBE to be used;
- (2) A description, including pay item numbers, of the commercially useful work to be done by each DBE;
- (3) The price to be paid to each DBE for the identified work specifically stating the quantity, unit price, and total subcontract price for the work to be completed by the DBE. If partial pay items are to be performed by the DBE, indicate the portion of each item, a unit price where appropriate and the subcontract price amount;
- (4) A commitment statement bearing the original signature of the bidder and each DBE evidencing availability and intent to perform commercially useful work on the project; and
- (5) If the bidder is a joint venture comprised of DBE companies and non-DBE companies, the plan must also include a clear identification of the portion of the work to be performed by the DBE partner(s).

(d) Review Procedures and Restrictions. The contract will not be awarded until the DBE Utilization Plan and DBE Participation Statements submitted by the bidder are approved. Once submitted, the DBE Participation Statements shall become part of the DBE Utilization Plan. Under no circumstances shall the bidder remove, add or substitute DBEs included on the DBE list attached to the DBE Utilization Plan submitted with the bid. The Utilization Plan will be approved by the Department if the Plan commits sufficient commercially useful DBE work performance to meet the contract goal. The Utilization Plan will not be approved by the Department if the Plan does not commit sufficient DBE performance to meet the contract goal unless the bidder has submitted adequate documentation and evidence that it made a good faith effort to meet the goal. The good faith procedures of this special provision apply.

Revised 10/22/2009

GOOD FAITH EFFORT PROCEDURES. If the bidder did not list sufficient DBE commitments in the DBE Utilization Plan submitted with the bid to meet the contract goal, the bidder must document in the post-bid submission the good faith efforts made in the attempt to meet the goal. This means that the bidder must show that all necessary and reasonable steps were taken to achieve the contract goal. Necessary and reasonable steps are those which could reasonably be expected to obtain sufficient DBE participation. The Department will consider the quality, quantity, and intensity of the kinds of efforts that the bidder has made. Mere *pro forma* efforts are not good faith efforts; rather, the bidder is expected to have taken those efforts that would be reasonably expected of a bidder actively and aggressively trying to obtain DBE participation sufficient to meet the contract goal.

(a) The following is a list of types of action that the Department will consider as part of the evaluation of the bidder's good faith efforts to obtain participation. These listed factors are not intended to be a mandatory checklist and are not intended to be exhaustive. Other factors or efforts brought to the attention of the Department may be relevant in appropriate cases, and will be considered by the Department.

(1) Soliciting through all reasonable and available means (e.g. attendance at pre-bid meetings, advertising and/or written notices) the interest of all certified DBE companies that have the capability to perform the work of the contract. The bidder must solicit this interest within sufficient time to allow the DBE companies to respond to the solicitation. The bidder must determine with certainty if the DBE companies are interested by taking appropriate steps to follow up initial solicitations.

(2) Selecting portions of the work to be performed by DBE companies in order to increase the likelihood that the DBE goals will be achieved. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate DBE participation, even when the prime Contractor might otherwise prefer to perform these work items with its own forces.

(3) Providing interested DBE companies with adequate information about the plans, specifications, and requirements of the contract in a timely manner to assist them in responding to a solicitation.

(4)

a. Negotiating in good faith with interested DBE companies. It is the bidder's responsibility to make a portion of the work available to DBE subcontractors and suppliers and to select those portions of the work or material needs consistent with the available DBE subcontractors and suppliers, so as to facilitate DBE participation. Evidence of such negotiation includes the names, addresses, and telephone numbers of DBE companies that were considered; a description of the information provided regarding the plans and specifications for the work selected for subcontracting; and evidence as to why additional agreements could not be reached for DBE companies to perform the work.

b. A bidder using good business judgment would consider a number of factors in negotiating with subcontractors, including DBE subcontractors, and would take a firm's price and capabilities as well as contract goals into consideration.

Revised 10/22/2009

However, the fact that there may be some additional costs involved in finding and using DBE companies is not in itself sufficient reason for a bidder's failure to meet the contract DBE goal, as long as such costs are reasonable. Also, the ability or desire of a bidder to perform the work of a contract with its own organization does not relieve the bidder of the responsibility to make good faith efforts. Bidders are not, however, required to accept higher quotes from DBE companies if the price difference is excessive or unreasonable.

- (5) Not rejecting DBE companies as being unqualified without sound reasons based on a thorough investigation of their capabilities. The bidder's standing within its industry, membership in specific groups, organizations, or associations and political or social affiliations (for example union vs. non-union employee status) are not legitimate causes for the rejection or non-solicitation of bids in the bidder's efforts to meet the project goal.
 - (6) Making efforts to assist interested DBE companies in obtaining bonding, lines of credit, or insurance as required by the recipient or Contractor.
 - (7) Making efforts to assist interested DBE companies in obtaining necessary equipment, supplies, materials, or related assistance or services.
 - (8) Effectively using the services of available minority/women community organizations; minority/women contractors' groups; local, state, and federal minority/women business assistance offices; and other organizations as allowed on a case-by-case basis to provide assistance in the recruitment and placement of DBE companies.
- (b) If the Department determines that the bidder has made a good faith effort to secure the work commitment of DBE companies to meet the contract goal, the Department will award the contract provided that it is otherwise eligible for award. If the Department determines that a good faith effort has not been made, the Department will notify the bidder of that determination by contacting the responsible company official designated in the Utilization Plan.
- (c) The bidder may request administrative reconsideration of a determination adverse to the bidder within the five working days after the notification date of the determination by delivering the request to the Department of Transportation, Bureau of Small Business Enterprises, Contract Compliance Section, 2300 South Dirksen Parkway, Room 319, Springfield, Illinois 62764 (Telefax: (217)785-1524). Deposit of the request in the United States mail on or before the fifth business day shall not be deemed delivery. The determination shall become final if a request is not made and delivered. A request may provide written documentation and/or argument concerning the issue of whether an adequate good faith effort was made to meet the contract goal. In addition, the request shall be considered consent by the bidder to extend the time for award. The request will be forwarded to the Department's Reconsideration Officer. The Reconsideration Officer will extend an opportunity to the bidder to meet in person in order to consider all issues of whether the bidder made a good faith effort to meet the goal. After the review by the Reconsideration Officer, the bidder will be sent a written decision within ten working days after receipt of the request for reconsideration, explaining the basis for finding that the bidder did or did not meet the goal or make adequate good faith efforts to do so.

Revised 10/22/2009

A final decision by the Reconsideration Officer that a good faith effort was made shall approve the Utilization Plan submitted by the bidder and shall clear the contract for award. A final decision that a good faith effort was not made shall be a determination that the bidder is not responsible and not eligible for the award of the contract.

CALCULATING DBE PARTICIPATION. The Utilization Plan values represent work anticipated to be performed and paid for upon satisfactory completion. The Department is only able to count toward the achievement of the overall goal and the contract goal the value of payments made for the work actually performed by DBE companies. In addition, a DBE must perform a commercially useful function on the contract to be counted. A commercially useful function is generally performed when the DBE is responsible for the work and is carrying out its responsibilities by actually performing, managing, and supervising the work involved. The Department and Contractor are governed by the provisions of 49 CFR part 26.55(c) on questions of commercially useful functions as it affects the work. Specific counting guidelines are provided in 49 CFR part 26.55, the provisions of which govern over the summary contained herein.

- (a) DBE as the Contractor: 100 percent goal credit for that portion of the work performed by the DBE's own forces, including the cost of materials and supplies. Work that a DBE subcontracts to a non-DBE does not count toward the DBE goals.
- (b) DBE as a joint venture Contractor: 100 percent goal credit for that portion of the total dollar value of the contract equal to the distinct, clearly defined portion of the work performed by the DBE's own forces.
- (c) DBE as a subcontractor: 100 percent goal credit for the work of the subcontract performed by the DBE's own forces, including the cost of materials and supplies, excluding the purchase of materials and supplies or the lease of equipment by the DBE subcontractor from the prime Contractor or its affiliates. Work that a DBE subcontractor in turn subcontracts to a non-DBE does not count toward the DBE goal.
- (d) DBE as a trucker: 100 percent goal credit for trucking participation provided the DBE is responsible for the management and supervision of the entire trucking operation for which it is responsible. At least one truck owned, operated, licensed, and insured by the DBE must be used on the contract. Credit will be given for the full value of all such DBE trucks operated using DBE employed drivers. Goal credit will be limited to the value of the reasonable fee or commission received by the DBE if trucks are leased from a non-DBE company.
- (e) DBE as a material supplier:
 - (1) 60 percent goal credit for the cost of the materials or supplies purchased from a DBE regular dealer.
 - (2) 100 percent goal credit for the cost of materials or supplies obtained from a DBE manufacturer.
 - (3) 100 percent credit for the value of reasonable fees and commissions for the procurement of materials and supplies if not a regular dealer or manufacturer.

Revised 10/22/2009

CONTRACT COMPLIANCE. Compliance with this Special Provision is an essential part of the contract. The Department is prohibited by federal regulations from crediting the participation of a DBE included in the Utilization Plan toward either the contract goal or the Department's overall goal until the amount to be applied toward the goals has been paid to the DBE. The following administrative procedures and remedies govern the compliance by the Contractor with the contractual obligations established by the Utilization Plan. After approval of the Plan and award of the contract, the Utilization Plan and individual DBE Participation Statements become part of the contract. If the Contractor did not succeed in obtaining enough DBE participation to achieve the advertised contract goal, and the Utilization Plan was approved and contract awarded based upon a determination of good faith, the total dollar value of DBE work calculated in the approved Utilization Plan as a percentage of the awarded contract value shall become the amended contract goal.

- (a) No amendment to the Utilization Plan may be made without prior written approval from the Department's Bureau of Small Business Enterprises. All requests for amendment to the Utilization Plan shall be submitted to the Department of Transportation, Bureau of Small Business Enterprises, Contract Compliance Section, 2300 South Dirksen Parkway, Room 319, Springfield, Illinois 62764. Telephone number (217) 785-4611. Telefax number (217) 785-1524.
- (b) All work indicated for performance by an approved DBE shall be performed, managed, and supervised by the DBE executing the Participation Statement. The Contractor shall not terminate for convenience a DBE listed in the Utilization Plan and then perform the work of the terminated DBE with its own forces, those of an affiliate or those of another subcontractor, whether DBE or not, without first obtaining the written consent of the Bureau of Small Business Enterprises to amend the Utilization Plan. If a DBE listed in the Utilization Plan is terminated for reasons other than convenience, or fails to complete its work on the contract for any reason, the Contractor shall make good faith efforts to find another DBE to substitute for the terminated DBE. The good faith efforts shall be directed at finding another DBE to perform at least the same amount of work under the contract as the DBE that was terminated, but only to the extent needed to meet the contract goal or the amended contract goal. The Contractor shall notify the Bureau of Small Business Enterprises of any termination for reasons other than convenience, and shall obtain approval for inclusion of the substitute DBE in the Utilization Plan. If good faith efforts following a termination of a DBE for cause are not successful, the Contractor shall contact the Bureau of Small Business Enterprises and provide a full accounting of the efforts undertaken to obtain substitute DBE participation. The Bureau of Small Business Enterprises will evaluate the good faith efforts in light of all circumstances surrounding the performance status of the contract, and determine whether the contract goal should be amended.
- (c) The Contractor shall maintain a record of payments for work performed to the DBE participants. The records shall be made available to the Department for inspection upon request. After the performance of the final item of work or delivery of material by a DBE and final payment therefor to the DBE by the Contractor, but not later than thirty calendar days after payment has been made by the Department to the Contractor for such work or material, the Contractor shall submit a DBE Payment Agreement on Department form SBE 2115 to the Regional Engineer.

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If full and final payment has not been made to the DBE, the DBE Payment Agreement shall indicate whether a disagreement as to the payment required exists between the Contractor and the DBE or if the Contractor believes that the work has not been satisfactorily completed. If the Contractor does not have the full amount of work indicated in the Utilization Plan performed by the DBE companies indicated in the Plan, the Department will deduct from contract payments to the Contractor the amount of the goal not achieved as liquidated and ascertained damages.

- (d) The Department reserves the right to withhold payment to the Contractor to enforce the provisions of this Special Provision. Final payment shall not be made on the contract until such time as the Contractor submits sufficient documentation demonstrating achievement of the goal in accordance with this Special Provision or after liquidated damages have been determined and collected.
- (e) Notwithstanding any other provision of the contract, including but not limited to Article 109.09 of the Standard Specifications, the Contractor may request administrative reconsideration of a decision to deduct the amount of the goal not achieved as liquidated damages. A request to reconsider shall be delivered to the Contract Compliance Section and shall be handled and considered in the same manner as set forth in paragraph (c) of "Good Faith Effort Procedures" of this Special Provision, except a final decision that a good faith effort was not made during contract performance to achieve the goal agreed to in the Utilization Plan shall be the final administrative decision of the Department.

EQUIPMENT RENTAL RATES (BDE)

Effective: August 2, 2007

Revised: January 2, 2008

Replace the second and third paragraphs of Article 105.07(b)(4)a. of the Standard Specifications with the following:

"Equipment idled which cannot be used on other work, and which is authorized to standby on the project site by the Engineer, will be paid for according to Article 109.04(b)(4)."

Replace Article 109.04(b)(4) of the Standard Specifications with the following:

- "(4) Equipment. Equipment used for extra work shall be authorized by the Engineer. The equipment shall be specifically described, be of suitable size and capacity for the work to be performed, and be in good operating condition. For such equipment, the Contractor will be paid as follows.
 - a. Contractor Owned Equipment. Contractor owned equipment will be paid for by the hour using the applicable FHWA hourly rate from the "Equipment Watch Rental Rate Blue Book" (Blue Book) in effect when the force account work begins. The FHWA hourly rate is calculated as follows.

FHWA hourly rate = (monthly rate/176) x (model year adj.) x (Illinois adj.) + EOC
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