



Agenda
Village of Glen Ellyn
Capital Improvements Commission
Regular Meeting
Tuesday, March 13, 2018
7:00 PM
Glen Ellyn Civic Center, Room 301

Individuals with disabilities who plan to attend the hearing and who require certain accommodations in order to allow them to observe and participate, or who have questions regarding the accessibility of the meeting or facilities, are requested to contact the Village at least 24 hours before the meeting.

A. Call to Order

B. Public Comment (Non Agenda Items)

C. Approval of Minutes

February 13, 2018 CIC Draft Meeting Minutes

D. Current Discussion

Procurement of Engineering Services

E. Trustee's Report

F. Other Business

G. Public Works Report

H. Project Report

Monthly Construction Report

I. Adjournment



Capital Improvements Commission

535 Duane Street
Glen Ellyn, IL 60137

Meeting: 03/13/18 07:00 PM

Department: Capital Improvements Commission

Department Head: Angela Andrianopoulos

Category: Minutes

Prepared By: Rich Daubert

SCHEDULED

AGENDA ITEM (ID # 3175)

DOC ID: 3175

February 13, 2018 Capital Improvements Commission Minutes

ATTACHMENTS:

- CIC Meeting Minutes Feb 13 2018 - Draft (DOC)

MINUTES (DRAFT)

BOARD OR COMMISSION: Capital Improvements DATE: February 13, 2018

MEETING: Regular X Special _____ CALLED TO ORDER: 7:02 PM

QUORUM: Yes X No _____ ADJOURNED: 10:06 PM

MEMBER ATTENDANCE:

PRESENT: Chairman Lane, Commissioners Biggam, Colliander, Foerster, Lindquist, Ryne, and Zucchero

OTHERS: Professional Engineer Rich Daubert, Senior Civil Engineer Tom Topor, Civil Engineer Steve Warner, Director Julius Hansen, Trustee Kenwood

ABSENT: Commissioner Burton

CALL TO ORDER:

The February 13, 2018 meeting of the Capital Improvements Commission, held at the Glen Ellyn Civic Center, was called to order at 7:02 PM by Chairman Lane. A quorum was present.

AUDIENCE PARTICIPATION (non-agenda items):

There were no comments.

APPROVAL OF MINUTES:

Commissioner Lindquist moved, and Commissioner Zucchero seconded, to approve the January 9, 2018 meeting minutes. The motion was approved unanimously.

CURRENT PROJECT DISCUSSION:

1. Memo to Mark Franz Regarding Central Business District Streetscape Project
Engineer Daubert explained that next week, Staff is giving a presentation to the public and Village Board on the Central Business District Streetscape Project. Engineer Daubert reviewed the memo to Village Manager Mark Franz regarding the project.

Engineer Daubert stated that the CIC reviewed this project extensively back in 2015, and he reviewed the CIC's recommendation at that time. The project scope includes Main Street between Hillside and Pennsylvania, and Crescent east of Main Street. The project budget was \$4.5 million in 2015. The improvements at that time included mid-block brick paver crossings and sidewalks that were to be removed and replaced. Trees would be evaluated and saved as possible. Street light wiring and conduit would be upgraded

while the sidewalk is being replaced. Staff members Steve Warner and Tom Topor have been working on the project essentially evaluating the condition of the existing CBD infrastructure.

Engineer Daubert reviewed the current condition of underground utilities: Staff is overseeing RJN who is televising sewers in the CBD. The study will be completed by summer with recommendations for needed improvements identified at that time. Staff suspects there may be some inappropriate connections between the sewers and private properties (I&I). Acoustical testing of watermain tests the material thickness of the pipe wall (how much deterioration has taken place). RJN will be flow metering and monitoring on the water and sewer main. Funds for repairs will come out of water and sewer fund.

Engineer Daubert reviewed the current condition of streets and pavement: The streets in the CBD are in fair to poor condition. Staff members examined the sidewalk condition and found issues with cross slope, lack of ADA detectable ramps, and street lights located in center of the sidewalk without enough clearance for pedestrians. Certain entryways into businesses have steps and aren't ADA accessible. There are also areas of poor condition, cracked sidewalks. Discussion followed about completing sidewalk upgrades in the areas that are targeted for redevelopment. Staff could include streetscape improvements in their plan but have the future developer be responsible for implementing them. Conversely, the Village could build the improvements and have a recapture on future developments. Or lastly, the Village could phase out the work.

Director Hansen reviewed the tree assessment in the Central Business District. Director Hansen explained that there are basically two types of trees downtown; pear trees and locust trees. About 40 of the 112 trees need to be removed and replaced based on the study that was done recently. The plan includes adding trees where they don't exist currently. Staff would like to consider adding decorative, raised tree boxes that have larger planting areas.

Engineer Steve Warner reviewed the on-street parking assessment. Currently the CBD is maximized for on-street parking. He explained that the size of on-street parking spots varies, and could be standardized and re-striped to get a few more spaces. The CBD also has a lack of handicapped spaces. To implement the correct number of handicapped parking spaces would reduce the overall number parking spots by 24. Currently the CBD has 3 handicapped spots, when it should have 21. The Village could potentially eliminate some parallel spaces and replace them with angled parking to increase spaces in specific areas.

The Commission discussed the possible budget range for each category and made the following recommendations.

Roadway and Sidewalk Work, Possible Budget Range \$5.5M - \$13.5M

The CIC recommends \$7.7M for roadway and sidewalk work.

Upgrade Sidewalk and Street Areas to Pavers, Possible Budget Range \$1.5M - \$3M

The CIC recommends \$1.5M for this work, and recommends using stamped concrete.

Street Lighting Repairs/Installations, Possible Budget Range \$250K - \$1M

The CIC recommends \$600K for street lighting and does not recommend the “urban ceiling” lighting installation.

Lighted Pedestrian Bollards, Possible Budget Range \$50K - \$100K

The CIC recommends to eliminate this expense.

Site Furnishings – Seat walls, benches, bike racks, etc., Possible Budget Range \$100K - \$1M

The CIC recommends \$300K for site furnishings.

Landscaping \$100K - \$1M

The CIC recommends \$300K for trees and landscaping.

The total recommended budget for CBD Streetscape Improvements is \$10.5 million (rounded up from \$10.4M).

Commissioner Ryne made a motion to procure an engineer to start design work for the CBD Streetscape Project in the amount of \$250,000, seconded by Commissioner Zuccherro. The motion was approved unanimously.

TRUSTEE REPORT:

Trustee Kenwood commented on the streetscape presentation. He would like to include enough money to do the job correctly. There are basic improvements that need to be done for ADA, infrastructure, etc. The furnishings, brandings, decorative elements are the icing on the cake. He recommended limiting the geographical scope of the project to the core of downtown (Main Street and Crescent).

Discussion followed about reducing the geographical scope to focus the money on the core of downtown. Staff pointed out that some of the non-core areas of the CBD have the worst condition sidewalks and streets. Director Hansen explained that he feels the lack of ADA compliance is driving the project, then the utilities, then the decorative aspect.

OTHER BUSINESS:

None.

PUBLIC WORKS REPORT:

Director Hansen reported on the recent snow removal operations. The Village received a record 9 days of consecutive snowfall. Public Works employees worked 12 hour shifts around the clock, using a substantial amount of the Village's salt reserves.

PROJECT REPORT:

Engineer Daubert reported that the Park Blvd project is still on track for the March letting. The Taylor Ave Pedestrian Tunnel project is moving forward, Staff is working on finalizing the construction and maintenance agreement with UP. A temporary grading easement was successfully negotiated. There is a 50/50 chance of making the April bid letting. The Village is out to bid for Roosevelt Road water main replacement project.

Director Hansen and Engineer Daubert presented Commissioner Colliander with a plaque, thanking him for his service on the CIC.

ADJOURNMENT:

Commissioner Zuccherro moved to adjourn the meeting, seconded by Commissioner Lindquist. With unanimous consent, the meeting was adjourned at 10:06 PM.

Submitted by C. Johnson, Recording Secretary



Capital Improvements Commission

535 Duane Street
Glen Ellyn, IL 60137

Meeting: 03/13/18 07:00 PM

Department: Capital Improvements Commission

Department Head: Rich Daubert

Category: Discussion Item

Prepared By: Rich Daubert

DRAFT

AGENDA ITEM (ID # 3177)

DOC ID: 3177

Procurement of Engineering Services

ATTACHMENTS:

- March 2018 Meeting (DOC)



MEMORANDUM

TO: Capital Improvements Commission

FROM: Rich Daubert, Professional Engineer

DATE: March 9, 2018

RE: Procurement of Professional Engineering Services

Background

The Village of Glen Ellyn regularly engages the use of both in-house staff as well as consultant engineering firms for the planning, design, and oversight of capital improvement projects. While the Village's in-house staff has exceptional credentials and capabilities to complete engineering assignments, there are limitations to the volume of work that can be completed in-house given the resources required to implement the Village's fairly aggressive Capital Plan. As such, the Village's engineers including the Professional Engineer, Senior Civil Engineer, and Civil Engineer are substantially engaged in procurement and management of consultant engineers.

When procuring engineers for assignments, the Village typically uses Request for Proposal (RFP) document. In summary, the document is tailored to each assignment with the project thoroughly described including a defined scope of services/tasks that the Village requests firms provide a proposal for. The RFP document is sent to firms that the Village's engineering staff feels may likely have a good team available for the assignment. Proposals are typically submitted within 2 weeks or so of the Village's request and then evaluated by staff.

Upon receipt, proposals are reviewed and scored based on the following criteria:

1. Firm Information
2. Experience in Similar Projects
3. Qualifications of Personnel
4. Ability to Meet Project Deadlines
5. Completeness of Project Approach
6. Additional Services/Tasks
7. Project Costs

In conformance with Federal directive, the Illinois Department of Transportation recently updated Chapter 5 of its Bureau of Local Roads and Streets (BLRS) Policy Manual to better align procedures for the procurement of professional engineering services with Federal Qualification Based Selection procedures.

In summary, when State and/or Federal Dollars are used for Professional Engineering Services municipalities must follow the Qualification Based Selection Process for procuring said services. In summary, the process involves the following:

- 1) The scope of the proposed engineering assignment is defined.
- 2) The proposed engineering assignment is advertised (via Public Notice in a newspaper, website, magazines, etc.) with a request for statements of interest, qualifications, and performance data from consultants interested in the assignment.
- 3) The received statements of interest and qualifications are evaluated to short-list the firms that are capable of completing the assignment within the specified parameters. Interviews can be conducted as part of this process along with presentations by firms.
- 4) A minimum of three firms are selected based on the evaluations, discussions and presentations (if selected) as the most qualified to provide the services for the project. The firms are ranked on the merits of their qualifications to provide the services for the project.

It is emphasized that during steps 1-4, cost is not part of the evaluation process.

- 5) The most qualified firm is then contacted and an attempt is made to negotiate an agreement at a fair and reasonable means of compensation based on the Municipality's estimated value of the services being rendered. This process involves developing a specific scope of services with the project schedule, staffing and hours, engineering effort, responsibility/liability, and other critical parameters clearly identified and agreed to as part of the negotiation of the agreement. The independent estimate is to be prepared by the municipality prior to negotiating the agreement.

Municipalities must have their QBS procedures in writing and cannot simply refer to the QBS procedures outlined in the IDOT Bureau of Local Roads and Streets Manual. To slightly complicate matters, there are different QBS procedures depending on whether the funds are State or Federal. In summary, when the funds are Federal, a more restrictive process that is fully aligned with Federal Procedures is required. This is referred to as the Brooks Act. A PDF of the applicable pages of the IDOT Circular and Chapter 5 of the BLRS Policy Manual is attached for reference. The document summarizes key differences between the procedures for assignments utilizing State versus Federal dollars.

It is noted that these procedures do not need to be followed when local funds are used for Engineering Services and municipalities can default to their own procurement procedures.

IDOT indicates with Chapter 5 of the BLRS that local agencies need to follow the Illinois Compiled State Statute 50 ILCS 510 (attached), however home rule municipalities are not included within the definition of a political subdivision, as contained in the document.

As staff noted, the following are some of the advantages to Qualification Based Selection:

- 1) Ensures that an agency attempts to negotiate a fair agreement with the most qualified firm.
- 2) Studies have demonstrated that using a QBS process to procure engineering services results in lower construction costs and timelier project implementation. In summary, a more qualified project team should result in less change orders and project delays.

- 3) More firms are likely to propose knowing that cost is not a factor in an agency's decision to attempt to negotiate with a firm. This may be especially true for small and minority firms.
- 4) Price is still a factor; if in the owner's view, the firm cannot agree to a fair and reasonable price, negotiations may proceed with the next highest-rank firm.

Subject

Based on input from the January 2018 CIC Meeting, the CIC recommends the Village only follow Qualification Based Selection Procedures when required due to the use of Federal Funds for Engineering Services. Consistent with staff's recommendations, the procedures would strictly follow IDOT's QBS procedures as summarized earlier in this memorandum.

While initially somewhat divided, the CIC recommends that for all locally funded engineering assignments, the Village does not follow QBS procedures, and rather it continues to use its standard RFP process which includes cost as a consideration in evaluating proposals. The CIC feels that given the involvement of taxpayer dollars, cost should be considered in procuring engineering services with the understanding that the lowest proposal may not always be the best. The CIC supports staff's determination and recommendations in selecting engineers for assignments provided cost is considered, but other factors compel staff that the lowest proposal is not in the best interest of the Village. The CIC and staff did discuss some improvements to the process including the following:

- 1) The Village should publish a legal notice in the paper requesting statements of interest/qualifications from engineering firms on a three year basis. The intent of this process is to ensure that Village reaches out to the engineering community and offers firms a formal opportunity to submit their qualifications and express interest in proposing on Village projects. Staff would then evaluate the statements of interest/qualifications and short-list firms to be included within future Requests for Proposals.
- 2) While cost should be a component of consideration, the factor should be reduced, especially for higher profile/higher risk projects. For more recent projects, staff has evaluated proposals using the following general weighting factors for the 7 evaluation criteria:

Proposal Evaluation Criteria (Listed in RFP)	Max Points
1. Firm Information (size, location, history, resources, etc.);	5
2. Experience on similar projects with reference (name, title, address, phone, email & fax numbers) within last three years only;	10
3. Qualifications (resumes) of personnel assigned to work on the project (project team), organizational chart, etc.;	10

4. Ability to meet project deadlines (provide schedule with work items/staff hours needed, critical path items, etc.);	10
5. Completeness of project approach (detailed scope of services/tasks, etc.);	30
6. Any additional services/tasks not identified in this RFP that the consultant believes will improve the project, reduce costs and time, etc.;	5
7. Total Fixed Price	30

Adjustment of these factors is still open to discussion by the CIC at this meeting. Staff requests that the CIC provide some direction on what weighting of cost it would support for particularly higher profile projects.

- 3) The CIC also recommends development of a more formal evaluation procedures for engineering firms following completion of assignments which would be taken into consideration for future evaluations of proposals.

Staff Estimates Verses Actuals

As requested by some commissioners, this information is being provided. As part of the Capital Planning & Budgeting Process, staff estimates engineering assignment costs with some more recent (current engineering team) cost estimates and proposal ranges as follows:

Project	Staff Budget Estimate	Range of Proposals
2017 Street Resurfacing – Construction Engineering	\$141,375	\$114,802 - \$181,348
2017 Kenilworth-Alley Construction Engineering	\$120,500	\$89,084 - \$124,000
2017 M-E-D-S-T Design Engineering	\$150,000	\$97,500 - \$200,000
2017 M-E-D-S-T Construction Engineering	\$297,500	\$111,000 - \$222,249
Train Station Phase I Engineering	\$250,000	\$216,375 - \$479,934
Roosevelt Road Water Main Improvements Design Engineering	\$50,000	\$39,896 - \$73,515

Staff notes this information merely for the CIC's consideration of its final recommendation to the Village Board. As discussed at the January CIC meeting, staff has been reasonably close in its estimation of engineering service cost estimates. However, staff is not perfect and there are always exceptions to its estimates which may overlook certain considerations such as competition in the private sector, resource availability, or project complexity. However, as noted by staff, low-bid firms

may often not properly staff a project and in many cases do ask for additional compensation when they fail to consider the efforts required to complete an assignment. In addition, some of the more qualified firms and professional engineers command higher rates of pay which do result in some value for the Village, albeit at a greater front end project cost.

Recommendation and Action Requested

In terms of more formal action, staff would like for the CIC to finalize its recommendation to the Village Board essentially discussing any final comments it may have on this information.

As it currently stands at the time of writing this memorandum, the CIC's recommendations to be made to the Village Board would be as follows:

When it comes to procuring professional engineering services, the Capital Improvements Commission recommends the following:

- 1) IDOT's Qualification Based Selection Procedures, as summarized in this memorandum and detailed in the attached IDOT Circular and Local Roads Manual, shall be utilized for procuring professional engineering services when required for federally funded engineering assignments. The QBS procedures shall be incorporated into the Village's Purchasing Policy as summarized by staff in this memorandum and required by the Illinois Department of Transportation.
- 2) For locally funded engineering assignments, the Capital Improvements Commission recommends that the Village continue to procure engineering services in conformance with the Village's current purchasing policy section "D. Professional Services" in which cost may be considered in evaluating proposals.

Attachments

IDOT BLRS Update on Engineering Procurement
Administrative Order #3 Purchasing Policy



Illinois Department of Transportation

2300 South Dirksen Parkway / Springfield, Illinois / 62764

BLRS PROCEDURE MEMORANDUM

NUMBER: PM2017-02

SUBJECT: BLRS POLICY MANUAL REWRITE - CHAPTER 5

ISSUED DATE: November 29, 2017

EFFECTIVE DATE: November 29, 2017

This memorandum replaces Chapter 5 of the Bureau of Local Roads & Streets Policy Manual.

The Department has further revised Chapter 5 of the Bureau of Local Roads & Streets (BLRS) Policy Manual with regard to Procurement, Management, and Administration of Engineering and Design Related Services, commonly known as Qualification Based Selection (QBS). The revisions to Chapter 5 explain the specific requirements which must be followed when local public agencies are using federal funds to procure professional services.

The most significant change since the June 1, 2017 revision to Chapter 5 includes the requirement for each local public agency using federal funding for professional services to have their QBS procedures in writing. Simply referencing Chapter 5 of the BLRS Policy Manual is not an acceptable procedure. If the local public agency's written QBS procedures follow the guidance outlined in Chapter 5 of the BLRS Policy Manual, then individual approval of the procedures from IDOT is not required. However, if the local public agency's QBS procedures differ from the guidance outlined in Chapter 5 of the BLRS Policy Manual, then approval will be required from IDOT before the procedures may be used.

In addition to the revisions for Chapter 5 of the BLRS Policy Manual, revisions were also made to BLR Form 05610 – Preliminary Engineering Services Agreement for Federal Participation and BLR Form 05611 – Construction Engineering Services Agreement for Federal Participation. These forms now include a QBS checklist (Exhibit C) to ensure the proper QBS procedures have been followed for the procurement of professional services with federal funding.

Finally, revisions were made to Chapter 5 regarding the standard engineering services agreements. Section 5-5.08 now references three forms for standard engineering services agreements: BLR 05510, BLR 05520, and BLR 05530. These forms are in final development by the Department and will be released in the near future.

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Form BLR 05510 – Engineering Services Agreement, will consolidate and replace the following forms:

1. BLR 05510: Preliminary Engineering Services Agreement for Motor Fuel Tax Funds (11/06)
2. BLR 05511: Preliminary Engineering and Construction Guidance Agreement for MFT Funds (11/06)
3. BLR 05512: Preliminary/Construction Engineering Services Agreement for Motor Fuel Tax Funds (1/10/12)
4. BLR 05610: Preliminary Engineering Services Agreement for Federal Participation (11/21/13)
5. BLR 05611: Construction Engineering Services Agreement for Federal Participation (11/21/13)

Form BLR 05520 – Maintenance Engineering to be Performed by a Consulting Engineer, will be revised but continue with the same name, number, and no consolidation with other forms.

Form BLR 05530 – Request for Engineering Services Performed by Local Forces, will be a revision of the following form with no consolidation of other forms:

1. BLR 05612: Request for Construction Engineering Services Performed by Local Agency Employees (3/30/10)

Until BLR Forms 05510, 05520, and 05530 are released by the Department, local public agencies should continue to use the agreements in the numbered lists above.

Please contact the BLRS Local Policy & Technology Unit, at DOT.LocalPolicy@illinois.gov with any questions.



Maureen E. Kastl, P.E.
Engineer of Local Roads and Streets

TW/

Attachment

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5-5-3

4. IDOT employees shall not participate in the procurement, management, and administration of engineering and design related consultant services on behalf of the LPA.

5-5.05 Retainage

The LPA may withhold retainage on state, MFT, or TBP funded engineering services agreements. However, withholding retainage provides no substantial benefits to the LPA. The LPA shall not withhold retainage on federally funded engineering agreements.

5-5.06 Qualifications Based Selection for Engineering and Professional Services**5-5.06(a) Introduction**

The principal objective of the QBS procedures is to allow a LPA to locate a qualified consultant to undertake the project; then, through negotiations, engage the consultant to provide the creative and technical work required at a fair and reasonable cost. The area and magnitude of responsibility in the process can vary widely according to project type.

5-5.06(b) Applicability

The procurement procedures outlined in Section 5-5.06(c) and (e) apply to the selection of all engineering and professional services based on the following funding type parameters:

1. State, MFT or TBP Funded Engineering and Professional Services. QBS procedures for public notice, evaluation, selection, and contract negotiations shall be used whenever a project requiring architectural, engineering, or land surveying services is proposed for a LPA of fewer than 3,000,000 inhabitants, except home rule units, unless the LPA has a satisfactory relationship for services with one or more firms ([50 ILCS 510](#)).

A LPA may also waive the requirements of public notice, evaluation and selection if the LPA determines, by resolution, that an emergency situation exists and a consultant must be selected in an emergency manner, or if the total cost of services from a consultant is estimated to be less than \$25,000 ([50 ILCS 510/8](#)). If the LPA estimates the total cost of services within the contract will be less than \$25,000, IDOT will not approve any agreement or supplemental that exceeds the \$25,000 threshold; unless the LPA followed state statutes.
2. Federally Funded Engineering Services. LPAs shall use QBS in accordance with The Brooks Act, (40 USC 11) and the FHWA's requirements for Procurement, Management, and Administration of Engineering and Design related Services (23 CFR 172) to promote open competition by advertising, ranking, selecting, and negotiating contracts based on demonstrated competence and qualifications for the type of engineering and design related services being procured, and at a fair and reasonable price.

If a consultant is selected to work on multiple phases of a project, the dollar limits apply to the total combined cost of all included phases. If the LPA included an option to perform one or more other phases as part of the original solicitation, the LPA is then not required to conduct another QBS unless the LPA elects to select a different consultant for subsequent phases.

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3. Small Purchases for Federally Funded Engineering Services. If the cost of any individual contract for engineering services (Phase I, II, III, etc.) will be less than \$25,000, then the small purchase procurement method may be used (23 CFR 172.7(a)(2)). The following additional requirements shall apply to the small purchase procurement method:
 - a. The scope of work, within one project phase shall not be broken down into smaller components merely to permit the use of small purchase procedures.
 - b. A minimum of three consultants are required to satisfy the adequate number of qualified sources reviewed. In instances where less than three qualified consultants respond to the solicitation, the LPA shall contact the District LR&S office for verification of the LPA's solicitation to determine the solicitation did not contain conditions or requirements which arbitrarily limited competition.
 - c. Contract costs may be negotiated in accordance with State small purchase procedures; however, the allowability of costs shall be determined in accordance with the Federal cost principles.
 - d. If the cost of any supplemental changes to the contract for the engineering services exceeds \$25,000 and federal QBS procedures were not followed, federal funds become ineligible above the \$25,000 on engineering services.
4. Locally Funded Engineering Services. The IDOT does not have oversight over contracts for engineering services funded entirely with local funds. However, the LPA is still required to comply with [50 ILCS 510](#).

If a consultant is selected to work on multiple phases of a project, the dollar limits apply to the total combined cost of all included phases. If the LPA included an option to perform one or more other phases as part of the original solicitation, the LPA is then not required to conduct another QBS unless the LPA elects to select a different consultant for subsequent phases.

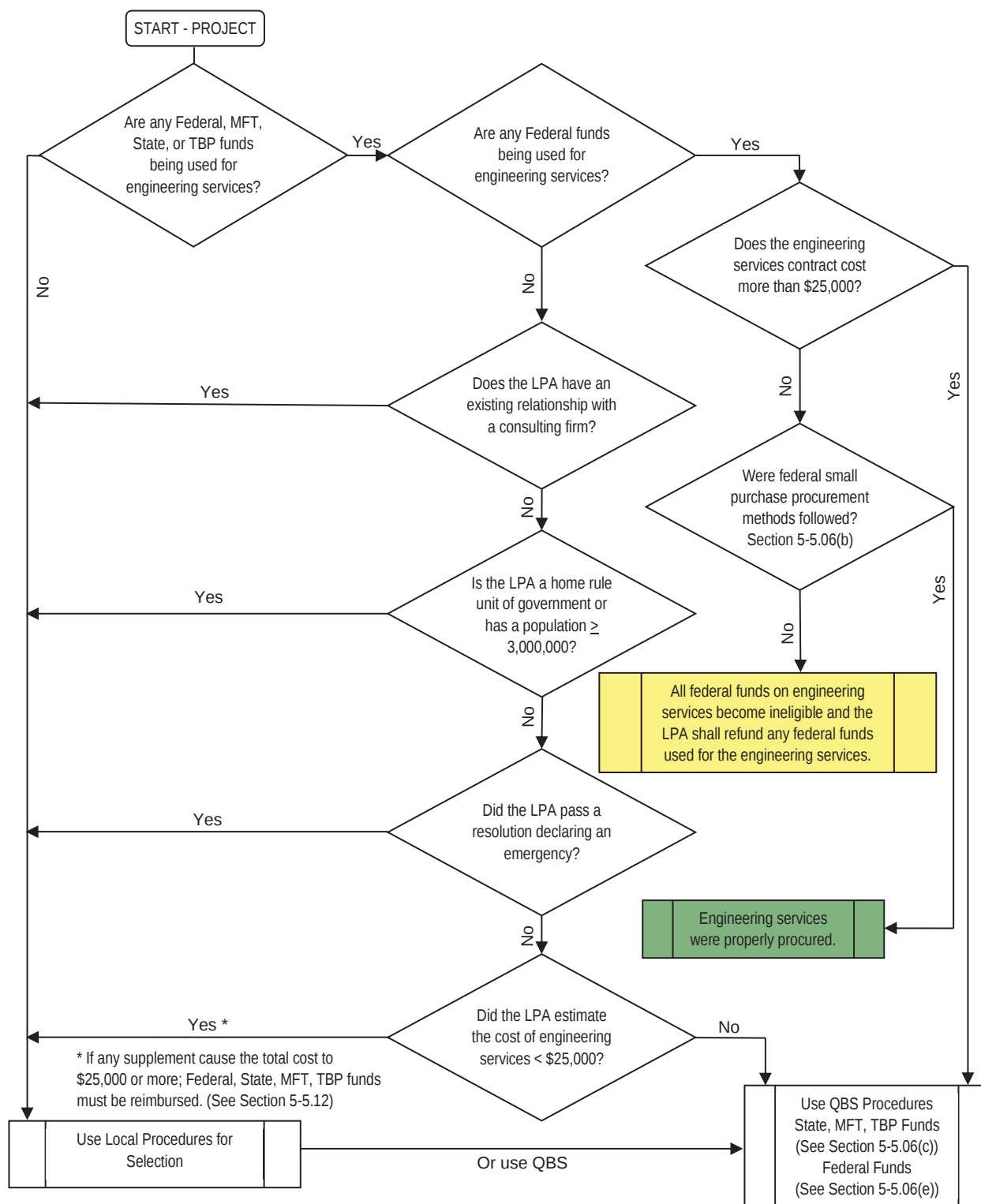
The procurement method used for selection of engineering services will not impact funding for the construction of a project.

Attachment: IDOT BLRS Update on Engineering Procurement (3177 : Procurement of Engineering Services)

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BUREAU OF LOCAL ROADS & STREETS AGREEMENTS

5-5-5



REQUIREMENTS FOR QBS

Figure 5-5A

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5-5.06(c) State Required QBS Procedures using State, MFT or TBP Funds

The procedure for State required QBS procurement consists of the following five basic steps:

1. Define the Project. Clearly define the scope of the services desired. Depending on the amount of data, this may be on one or more pages. This information should include the following:

- describe in general terms the need, purpose, and objective of the project;
- identify the various project components;
- establish the desired timetable for the effort;
- identify any expected problems; and
- determine the total project budget.

A comprehensive evaluation of the problem or need that resulted in the project is essential to the procurement process. The solution, approach, and eventual design for the project will evolve out of the expertise offered by the consultant responding to the request for technical proposals. To ensure that the respondents address the project properly and effectively, clearly articulate all known parameters of the project.

The LPA may skip to Step 5 when both of the following criteria are met.

- The LPA elects to select a consultant that has a satisfactory working relationship with the LPA; and
- The engineering services contract is not being paid for using federal funds.

2. Public Notice. Whenever a project requiring engineering services is proposed, the LPA shall post a public notice requesting a statement of interest along with the qualifications and performance data from consultants. This may be accomplished through an advertisement in a local newspaper, posting on the LPA's website, or through various trade magazines or websites.

Consider the following sources when preparing a list of potential firms:

- identification of consultants from the LPA's or IDOT's prequalification list;
- a directory or source list identifying small, minority, and women owned businesses with capabilities relevant to the project;
- discussions with other persons or agencies who have accomplished similar work;
- lists of consultants secured from professional societies; and/or
- lists of consultants secured from the agency's own experience of consultants.

3. Evaluation. The LPA shall evaluate the consultant submitting letters of interest, taking into account qualifications, ability of professional personnel, past record and experience, performance data on file, willingness to meet time requirements, location, workload of the consultant, and such other qualifications-based factors.

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The first objective of evaluation is the elimination of all respondents who are not qualified or who do not have the experience for the required work. The LPA may conduct discussions with and require presentations by consultants deemed to be the most qualified based on their qualifications, approach to the project, and ability to furnish the required services. When conducted, interviews shall occur separately with a minimum of three consultants, or all qualified consultants if less than three qualified consultants respond. If the LPA decides to conduct discussions with and/or require presentations by consultants deemed to be the most qualified, this should be included in the public notice.

In no case shall the LPA, prior to selecting a consultant for negotiation, seek formal or informal submission of verbal, written, or sealed estimates of costs or proposals in terms of dollars, hours required, percentage of construction cost, or any other measure of compensation.

4. Selection. On the basis of evaluations, discussions and presentations, the LPA shall select no less than three consultants which it determines to be the most qualified to provide services for the project and rank them in order of qualifications to provide services regarding the specific project. The LPA shall then contact the consultant ranked most preferred and attempt to negotiate a contract at a fair and reasonable compensation, taking into account the estimated value, scope, complexity, and professional nature of the services to be rendered. Typical criteria for evaluating and ranking consultants are included in Figure 5-5B. If fewer than three qualified consultants submit letters of interest and the LPA determines that one or both are so qualified, the LPA may proceed to negotiate a contract.
5. Contract Negotiation. The LPA shall prepare a written description of the scope of the proposed services to be used as a basis for negotiations and shall negotiate a contract with the highest qualified consultant at compensation that the LPA determines in writing to be fair and reasonable. In making this decision, the LPA shall take into account the estimated value, scope, complexity, and professional nature of the services to be rendered.

An important objective of the negotiation process is to reach a complete and mutual understanding of the scope of professional services to be provided and the degree of performance desired. The general scope of professional services developed in the procurement process should be broad in order to serve as the basis for negotiation. The negotiation process offers the opportunity for refinement, amendment, and complete definition of the services to be rendered, as well as the areas of responsibility and liability for those services. Mutual understanding on these points at the negotiation stage can minimize the possibility of misunderstanding as the project progresses.

Special elements of the engineering portion of the project to be established during negotiation include:

- project schedule,
- manpower requirement and timing,
- level of engineering effort,
- avenues of research, and
- areas of responsibility/liability.

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Any percentage fee contract should be fully supported by an acceptable estimate of man-hours, anticipated hourly payroll rates by classification of employee for the project, and applicable overhead and burden rates. These rates should be evaluated and, if determined to be acceptable, the percentage fee may be approved by the district.

The consultant's method of dividing the project into work units and calculating related time units are to be such that the estimate can be readily reviewed. The consultant will use its own estimates of man-hours, rates of pay, overhead, profit, and itemized non-salary costs based on the consultant's work force and past job experience.

When the prime consultant requires the services of another consultant to provide expertise, advice, or information to the prime consultant, the prime consultant will complete an analysis of fee for engineering services (including a breakdown of direct salary and direct non-salary costs) or supply specific rate for services (e.g. testing). The prime consultant is responsible for ensuring that Disadvantage Business Enterprises (DBEs) will have an equitable opportunity to compete for subcontracts. See [Chapters 8 and 24](#) for information on DBEs for LPAs.

Contracts between LPAs and consultants must be set forth in fully executed agreements. If there is an agreement with the consultant, and if the fee is within range of the budget, then proceed to finalize an agreement. If problems arise with the scope of the project or the fee, further discussion and clarification may be required.

Selection of a consultant by qualification provides no guarantee that the LPA and the consultant will come to an agreeable fee. For that reason, the ranking process provides, in addition to the first preference, at least two alternative qualified consultant. If agreement cannot be reached on the scope and fee, the LPA may drop negotiations with the top-ranked consultant and continue the process with the second ranked consultant at Step 5.

6. Summary. Ranking and negotiations involve a considerable amount of subjective judgment. Engineering projects involve a large expenditure of public funds, accountability for decisions, and value judgments is most important. To ensure adequate accountability:

- involve more than one knowledgeable person in the evaluation process,
- be consistent in reviewing each applicant,
- keep accurate and complete records of all correspondence, memoranda, evaluations, and decisions.

The primary purpose of undertaking the QBS process is to locate the most qualified consultant to do the work and negotiate a fair and equitable agreement. Federal and Illinois law prohibits selecting consultants based on cost for any project exceeding \$25,000. The selection shall be based on the consultant's experience and expertise in projects of the same type as proposed.

5-5.06(d) Development of Selection Criteria and Weighting

LPAs must determine and publish selection criteria and weightings for projects requiring federal QBS. These criteria and weightings are suggested for all projects regardless of funding. The criteria "must assess the demonstrated competence and qualifications for the type of professional services solicited". LPAs must determine and publish selection criteria and

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weightings for projects requiring federal QBS. The total of all weights must equal 100%. Factors may include but are not limited to the following and Figure 5-5B:

- Technical Approach (10 - 30%)
 - e.g., project understanding,
 - innovative concepts,
 - quality control procedures, or
 - other items
- Firm Experience (10 - 30%)
- Specialized Expertise (10 - 30%)
- Staff Capabilities (Prime/Sub) (10 - 30%)
- Work Load Capacity (10 - 30%)
- Past performance (10 - 30%)

In addition there are two nominal non-qualifications based criteria for evaluation. They are limited to a combined weight of 10% or less*:

- *In-State or Local Presence
 - not based on political or jurisdictional boundaries and may be applied on a project by project basis,
 - used where a need to provide a local presence has been established, a local presence will add value to quality and efficiency of the contract and application of the criteria results in an appropriate number of qualified consultants, and/or
 - if the consultant indicates in the proposal that a local project office will be established the criteria is satisfied.
- *Participation of Qualified and Certified DBE Sub-consultants

The following shall not be used as a factor in the evaluation, ranking and selection:

- All price and cost related items.
 - This includes: cost proposals, direct salaries/wage rates; indirect costs (overhead), and other direct costs.
- In-State or Local Preference (other than as explained above).

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The weight given to each evaluation criterion in the ranking process may vary from project to project, with more weight towards the criteria that are critical to the success of the project. Typical technical criteria for both evaluating and ranking entities should include but not be limited to the following:

- (1) The education, experience, and expertise of the entity's principals and key employees.
- (2) The entity's general experience, stability, and history of performance on projects similar to the one under consideration.
- (3) Availability of adequate personnel, equipment, and facilities to do the required work expeditiously.
- (4) The name, or names, of individuals in the entity who will be assigned key project responsibilities, with particular attention to their qualification, competence, and past performance.
- (5) The entity's approach to the planning, organizing, and management of a project effort, including communication procedures, approach to problem solving, data gathering methods, evaluation techniques, and similar factors.
- (6) Facilities and equipment owned by the entity, including computer capability, reproduction and communication equipment, laboratory and testing equipment, or other specialized equipment applicable to the project under consideration.
- (7) Present workload with attention to current and future commitments of available personnel, particularly those key persons expected to be assigned to your project.
- (8) Financial stability, with particular attention to avoiding a situation in which the entity is solely dependent on income from the project at hand for its existence.
- (9) Recommendations and opinions of each entity's previous clients as to its ability to meet deadlines and remain within budget. Prior clients may also be able to advise you as to each entity's sense of responsibility; attitudes of key personnel; concern for economy, efficiency, and environment; and quality of service.
- (10) If practical, observation of each entity's facility and the sites of current and/or completed projects.
- (11) The reputation and integrity of the engineering entity within the professional field and the community.
- (12) Awards received by the entity and technical papers authored by employees.
- (13) Special considerations for some projects might include staff conversant in foreign languages.

Non-technical criteria may not exceed 10% of the total evaluation and rank weighting. Typical non-technical criteria for both evaluating and ranking entities may include but not be limited to the following:

1. Proximity of the engineering entity to the proposed project site and/or the agency's office.
2. Qualified minority representation.
3. How DBE goals are addressed.

CONSULTANT RANKING CRITERIA

Figure 5-5B

5-5.06(e) Federal QBS Requirements

For engineering agreements \$25,000 or greater which include federal funds, LPAs are required to use QBS which is fully compliant with Federal requirements of 23 CFR 172 and the Brooks Act. As sub-grantees, LPAs must use competitive negotiation supported by qualification based selection procedures. This is the primary method of procurement for engineering and design related services using federal funding. See Figure 5-5C for specific requirements.

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The procedure for federal QBS procurement consists of the following steps. Section 5-5.07 provides an example of a LPA's QBS policies and procedures.

A box (similar to this) will indicate minimum requirements to be addressed for each step. If the LPA's QBS policies and procedures will match the existing language in any step from Section 5-5, their QBS cannot reference the *BLRS Manual* but must include the language.

1. Initial Administration. LPAs shall develop and sustain organizational capacity and provide the resources necessary for the procurement, management, and administration of engineering and design related consultant services.

The LPA must include in their QBS procedures the organizational structure for the procurement, management, and administration for consultant services.

2. Written Policies and Procedures. The LPA shall prepare and maintain written policies and procedures for the procurement, management, and administration of engineering and design related consultant services. All LPAs must have their own QBS procedure. When it follows the policies and procedures as outlined in Section 5-5 and specifically Section 5-5.06(e), further approval is not required. However; if the LPA's QBS procedure has significant differences then IDOT approval is required, see Section 5-5.06(g).

An example of a significant difference would be a multi-step selection process, which would require submission to IDOT for approval.

LPAs who decide their procedures will result in significant differences from that shown in Section 5-5.06(e) must submit their QBS procedures for review and approval by IDOT.

3. Define the Project. Clearly define the scope of the services desired. Depending on the amount of data, this may be on one or more pages. This information should include the following items:
 - describe in general terms the need, purpose, and objective of the project;
 - identify the various project components;
 - establish the desired timetable for the effort;
 - identify any expected problems; and
 - determine the total project budget.

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A comprehensive evaluation of the purpose and need that resulted in the project is essential to the procurement process. The solution, approach, and eventual design for the project will evolve out of the expertise offered by the consultant responding to the request for technical proposals. To ensure that the respondents address the project properly and effectively, clearly articulate all known parameters of the project. This may be the appropriate time to prepare an independent in-house estimate of engineering costs as discussed in Step 9.

The LPA must include at a minimum the five (5) items outlined above in their QBS procedures to define the scope and services desired for the project.

4. Public Notice. Whenever a project requiring engineering services is proposed, the LPA shall post a public notice for a Request for Proposal (RFP) along with the qualifications and performance data expected of consultants. This may be accomplished through an advertisement in a local newspaper, posting on the LPA's website, or through various trade magazines or websites. The notice shall provide no less than 14 calendar days from the last date of acceptance of proposals.

As a minimum, the following must be included in the LPA's QBS procedures:

- if an interview will or will not be required;
- where the public notice will be published;
- the time periods the public notice will be published.

Consider the following sources when preparing a list of potential firms:

- identification of consultants from the LPA's or IDOT's file;
- a directory or source list identifying small, minority, and women owned businesses with capabilities relevant to the project;
- discussions with other persons or agencies who have accomplished similar work;
- lists of consultants secured from professional societies; and/or
- lists of consultants secured from the agency's own experience of consultants.

If the LPA plans to use a multi-step process to minimize the efforts of the LPA in narrowing the list of qualified and interested consultants, this must be described in their QBS procedures and submitted to IDOT for approval. The process must also be described in the initial public notice.

As a minimum, the following must be included in the LPA's QBS procedures:

- if an interview will or will not be required;
- where the public notice will be published;
- the time periods the public notice will be published.

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5. Conflicts of Interest. See Section 5-5.04.

As a minimum, the LPA must include Section 5-5.04, when determining a conflict of interest for engineering services. The LPA may also require the consultants to submit a disclosure statement with their SOI or RFP. IDOT uses the [BDE DISC 2 Template](#), which provides an example of a consultant's disclosure statement. A copy of the LPA's consultant's disclosure statement shall be included in their QBS procedures, if required by their QBS procedures.

6. Suspension and Debarment. Verify any suspension or debarment actions and eligibility of consultants as specified in 2 CFR Part 1200 and 2 CFR Part 180. This may be accomplished by checking the System for Award Management Exclusions (SAM Exclusions); obtaining a disclosure statement; or adding a clause or condition to the covered transaction with the consultant. A LPA may want to also verify by checking the [Chief Procurement Office's \(IDOT\) \(CPO\) website](#), including the other three associated CPOs (Capital Development Board, General Services, and Higher Education), the Illinois Department of Labor and the Illinois Department of Human Rights. Hyperlinks to these other websites can be found on the [CPO IDOT website](#).

As a minimum, the LPA must include the procedure to verify consultant suspension or debarment. The LPA may also require the consultants to submit a disclosure statement with their SOI or RFP. IDOT uses the [BDE DISC 2 Template](#), which provides an example of a consultant's disclosure statement. A copy of the LPA's consultant's disclosure statement shall be included in their QBS procedures, if required by their QBS procedures.

7. Evaluation. The LPA shall evaluate the consultant submitting letters of interest, taking into account qualifications, ability of professional personnel, past record and experience, performance data on file, willingness to meet time requirements, workload of the consultant, and other qualifications-based factors.

The first objective of the evaluation is to determine the most qualified respondents who have the experience for the required work. The LPA may conduct discussions with and require presentations by consultants deemed to be the most qualified based on their qualifications, approach to the project, and ability to furnish the required services. When conducted, interviews shall occur separately with a minimum of three consultants, or all qualified consultants if less than three qualified consultants respond. If the LPA decides to conduct discussions with and/or require presentations by consultants deemed to be the most qualified, this must be included in the public notice.

Criterion and weighting for the evaluation is discussed further in Section 5-5.06(d) and Figure 5-5B.

In no case shall the LPA, prior to selecting a consultant for negotiation, seek formal or informal submission of verbal, written, or sealed estimates of costs or proposals in terms of dollars, hours required, percentage of construction cost, or any other measure of compensation.

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If the LPA plans to use a multi-step process to minimize the efforts of the LPA in narrowing the list of qualified and interested consultants, this must be described in their QBS procedures. This is discussed in Step 4 – Public Notice above.

The criterion and weighting for evaluation and selection is discussed in Section 5-5.06(d) and Figure 5-5B. If there is a possibility of additional discussions or presentations being required, this must be described in their QBS procedures. The criterion and weighting need to be included in all RFPs.

If a form will be used during the evaluation, a copy of a typical form must be included in their QBS procedures.

8. Selection. The selection committee is typically composed of individuals, who have some knowledge of the project and procedures. This could be the county / city engineer, public works director, LPA staff, an elected official, municipal manager, private citizen, etc. On the basis of evaluations (Step 7), discussions and presentations, the LPA shall select no less than three consultants which it determines to be the most qualified to provide services for the project and rank them in order of qualifications to provide services regarding the specific project. The LPA shall contact the consultant ranked most preferred and attempt to negotiate a contract at a fair and reasonable compensation, taking into account the estimated value, scope, complexity, and professional nature of the services to be rendered.

If fewer than three qualified consultants submit letters of interest and the LPA determines that one or both are so qualified, IDOT approval is required. After IDOT approval is received, the LPA may proceed to negotiate a contract.

The LPA must include who (titles) will serve on the selection committee. Procedures for selecting must also be described, an example of IDOT's selection procedures may be found in [Section 8-2.05](#) of the *BDE Manual*.

9. Estimate of Cost for Engineering. The LPA must prepare an independent in-house estimate for the cost of engineering prior to the start of negotiations. This will be used during the contract negotiation process.

The LPA must prepare an independent in-house estimate for the cost of engineering prior to the start of negotiations. This should be prepared early in the process, but must be completed before starting contract negotiations.

10. Contract Negotiation. The LPA shall prepare a written description of the scope of the proposed services to be used as a basis for negotiations. The LPA shall negotiate a contract with the highest qualified consultant at compensation that the LPA determines in writing to be fair and reasonable. In making this decision, the LPA shall take into account the estimated value, scope, complexity and professional nature of the services to be rendered.

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An important objective of the negotiation process is to reach a complete and mutual understanding of the scope of professional services to be provided and the degree of performance desired. The general scope of professional services developed in the procurement process should be broad in order to serve as the basis for negotiation. The negotiation process offers the opportunity for refinement, amendment, and complete definition of the services to be rendered, as well as the areas of responsibility and liability for those services. Mutual understanding on these points at the negotiation stage can minimize the possibility of misunderstanding as the project progresses.

Special elements of the engineering portion of the project to be established during negotiation include:

- project schedule,
- manpower requirement and timing,
- level of engineering effort,
- avenues of research, and
- areas of responsibility/liability.

Any percentage fee contract should be fully supported by an acceptable estimate of man-hours, anticipated hourly payroll rates by classification of employee for the project, and applicable overhead and burden rates. These rates should be evaluated and, if determined to be acceptable, the percentage fee may be approved by the district.

The consultant's method of dividing the project into work units and calculating related time units are to be such that the estimate can be readily reviewed. The consultant will use its own estimates of man-hours, rates of pay, overhead, profit, and itemized non-salary costs based on the consultant's work force and past job experience.

When the prime consultant requires the services of another consultant to provide expertise, advice, or information to the prime consultant, the prime consultant will complete an analysis of fee for engineering services (including a breakdown of direct salary and direct non-salary costs) or supply specific rate for services (e.g. testing). The consultant is responsible for ensuring that DBEs will have an equitable opportunity to compete for subcontracts. See [Chapters 8](#) and [24](#) for information on DBEs for LPAs.

Contracts between LPAs and consultants must be set forth in fully executed agreements. See Section 5-5.08 for the BLR forms, which must be used for the agreement between the LPA and the consultant when federal funds are used for professional services. If there is an agreement with the consultant, and if the fee is within range of the budget, proceed to finalize an agreement. If problems arise with the scope of the project or the fee, further discussion and clarification may be required.

Selection of a consultant by qualification provides no guarantee that the LPA and the consultant will come to an agreeable fee. For that reason, the ranking process provides at least two alternative qualified consultants, in addition to the first preference. If agreement cannot be reached on the scope and fee, the LPA may drop negotiations with the top-ranked consultant and continue the process with the second ranked consultant at Step 9. The LPA shall develop procedures for proper disposal of concealed cost proposals of unsuccessful bidders.

The LPA must describe their procedures for contract negotiations, including procedures if a contract cannot be negotiated with the selected consultant along with the proper disposal of sealed cost proposals.

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11. Acceptable Costs. IDOT will review and approve the engineering agreement to verify elements of contract costs, acceptable indirect cost rate(s) for application to contracts, and assuring consultant compliance with the Federal cost principles.

The LPA must describe their process for review, if one exists; before forwarding the engineering agreement to IDOT for further review and approval.

12. Invoice Processing. See Section 5-10.

The LPA must describe their process for review and approving for payment; before forwarding the request for reimbursement to IDOT for further review and approval.

13. Ongoing and Finalizing Administration. The following are ongoing and finalizing requirements:

- Monitoring the consultant's work and compliance with the terms, conditions, and specifications of the contract;
- Preparing a consultant's performance evaluation when services are completed and using such performance data in future evaluation and ranking of consultant to provide similar services;
- Closing-out a contract;
- Retaining supporting programmatic and contract records;
- Determining the extent to which the consultant, who is responsible for the professional quality, technical accuracy, and coordination of services, may be reasonably liable for costs resulting from errors and omissions in the work furnished under its contract;
- Assessing administrative, contractual, or legal remedies in instances where consultants violate or breach contract terms and conditions, and providing for such sanctions and penalties as may be appropriate; and
- Resolving disputes in the procurement, management, and administration of engineering and design related consultant services.

This is a compilation of items 12 through 18 as shown in Figure 5-5C and further discussed in Sections 5-5.13 and 5-5.14. The LPA must describe their process for these items.

In summary, the ranking and negotiations involve a considerable amount of subjective judgment. Because engineering projects involve a large expenditure of public funds, accountability for decisions and value judgments is most important. To ensure adequate accountability:

- involve more than one knowledgeable person in the evaluation process,
- be consistent in reviewing each applicant,
- keep accurate and complete records of all correspondence, memoranda, evaluations, and decisions.

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The primary purpose of undertaking the QBS process is to locate the most qualified consultant to do the work and negotiate a fair and equitable agreement. Current federal regulations limit contracts in the amount to the lesser of \$150,000 or the state limits ([50 ILCS 510/8](#)). The state limit on contracts is currently less than \$25,000, therefore; contracts above this amount require federal QBS in the selection of a consultant (see Section 5-5.06(b) Item 2). For contracts below this amount the Small Purchases requirements need to be followed (see Section 5-5.06(b) Item 3). The selection shall be based on the consultant's experience and expertise in projects of the same type as being solicited.

Per 23 CFR 172.5 - Program management and oversight.

- (a) **STA responsibilities.** STAs or other recipients ... (*i.e. STA State Transportation Agency – IDOT*)
- (b) **Subrecipient responsibilities.** Subrecipients shall develop and sustain organizational capacity and provide the resources necessary for the procurement, management, and administration of engineering and design related consultant services, reimbursed in whole or in part with FAHP funding as specified in 23 U.S.C. 106(g)(4)(A). Responsibilities shall include the following:
 - (1) Adopting written policies and procedures prescribed by the awarding STA or other recipient for the procurement, management, and administration of engineering and design related consultant services in accordance with applicable Federal and State laws and regulations; or when not prescribed, shall include:
 - (i) Preparing and maintaining its own written policies and procedures in accordance with paragraph (c) of this section; or
 - (ii) Submitting documentation associated with each procurement and subsequent contract to the awarding STA or other grantee for review to assess compliance with applicable Federal and State laws, regulations, and the requirements of this part;
 - (2) Procuring, managing, and administering engineering and design related consultant services in accordance with applicable Federal and State laws, regulations, and approved policies and procedures, as specified in 23 CFR 1.9(a).
- (c) Written policies and procedures. The contracting agency shall prepare and maintain written policies and procedures for the procurement, management, and administration of engineering and design related consultant services. The FHWA shall approve the written policies and procedures, including all revisions to such policies and procedures, of the STA or recipient to assess compliance with applicable requirements. The STA or other recipient shall approve the written policies and procedures, including all revisions to such policies and procedures, of a subrecipient to assess compliance with applicable requirements. These policies and procedures shall address, as appropriate for each method of procurement a contracting agency proposes to use, the following items to ensure compliance with Federal and State laws, regulations, and the requirements of this part:
 - 1. Preparing a scope of work and evaluation factors for the ranking/selection of a consultant;
 - 2. Soliciting interests, qualifications, or proposals from prospective consultants;

Federal QBS Requirements

Figure 5-5C

(Sheet 1 of 2)

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3. Preventing, identifying, and mitigating conflicts of interest for employees of both the contracting agency and consultants and promptly disclosing in writing any potential conflict to the STA and FHWA, as specified in 2 CFR 200.112 and 23 CFR 1.33, and the requirements of this part.
4. Verifying suspension and debarment actions and eligibility of consultants, as specified in 2 CFR part 1200 and 2 CFR part 180;
5. Evaluating interests, qualifications, or proposals and the ranking/selection of a consultant;
6. Determining, based upon State procedures and the size and complexity of a project, the need for additional discussions following RFP submission and evaluation;
7. Preparing an independent agency estimate for use in negotiation with the selected consultant;
8. Selecting appropriate contract type, payment method, and terms and incorporating required contract provisions, assurances, and certifications in accordance with § 172.9;
9. Negotiating a contract with the selected consultant including instructions for proper disposal of concealed cost proposals of unsuccessful bidders;
10. Establishing elements of contract costs, accepting indirect cost rate(s) for application to contracts, and assuring consultant compliance with the Federal cost principles in accordance with § 172.11;
11. Ensuring consultant costs billed are allowable in accordance with the Federal cost principles and consistent with the contract terms as well as the acceptability and progress of the consultant's work;
12. Monitoring the consultant's work and compliance with the terms, conditions, and specifications of the contract;
13. Preparing a consultant's performance evaluation when services are completed and using such performance data in future evaluation and ranking of consultant to provide similar services;
14. Closing-out a contract;
15. Retaining supporting programmatic and contract records, as specified in 2 CFR 200.333 and the requirements of this part;
16. Determining the extent to which the consultant, which is responsible for the professional quality, technical accuracy, and coordination of services, may be reasonably liable for costs resulting from errors and omissions in the work furnished under its contract;
17. Assessing administrative, contractual, or legal remedies in instances where consultants violate or breach contract terms and conditions, and providing for such sanctions and penalties as may be appropriate; and
18. Resolving disputes in the procurement, management, and administration of engineering and design related consultant services.

FEDERAL QBS REQUIREMENTS

(Sheet 2 of 2)

Figure 5-5C

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Attachment: IDOT BLRS Update on Engineering Procurement (3177 : Procurement of Engineering Services)

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5-5.06(f) Major Differences between Federal and State Requirements

The major differences between federal and state requirements are:

- The existing relationship and home rule requirements permitted with state, MFT, and TBP QBS are not allowed for federal QBS.
- IDIQ contracts are limited to a maximum term length of five years for federal QBS and ten years for non-federal.
- A maximum of 10% of the evaluation criteria can be assigned to local presence and DBE participation for federal QBS.
- Notification must be provided to responding applicants of the final ranking of the three most highly qualified applicants for federal QBS.
- Preparing a consultant's performance evaluation when services are completed and using such performance data and ranking of the consultant with regard to providing similar services in the future is required for federal QBS.
- Additional work which was not included in the scope of services and evaluation criteria may not be allowed to be added to contracts for federal QBS.
- If non-competitive procurement (sole source, emergency, or less than three consultants) is used; it must be approved by IDOT in advance for federal QBS.
- LPAs are responsible for ensuring a consultant's costs billed are allowable in accordance with the federal cost principles and consistent with the contract terms for federal QBS.

5-5.06(g) Approval of LPA's Federal QBS Procedures

When federal funds are used to fund a portion of engineering and design related services, LPAs must have their own QBS procedures. If it follows the policies and procedures as outlined in Section 5-5 and specifically Section 5-5.06(e), further approval may not be required. However; if the LPA's QBS procedures has significant differences then IDOT approval is required.

An example of a significant difference would be a multi-step selection process, which would require submission to IDOT for approval.

The LPA's QBS procedures should address items discussed in Section 5-5.06, along with:

- Purpose and applicability.
- Definitions.
- Program management and oversight.
- Procurement methods and procedures.
- Contracts and administration.
- Allowable costs and oversight.

The above topics are expanded in 23 CFR 172 – *Procurement, Management, And Administration of Engineering and Design Related Services*.

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5-5.07 Federal QBS Examples

In order to assist LPAs in implementing Federal QBS requirements two examples are provided with a) written policies and procedures and b) project specific information. Either example can be modified by LPAs to meet their individual organization structures and needs or project specific details. Contact the appropriate District LR&S office, if your QBS requires IDOT approval (see Section 5-5.06(g)) or for additional questions.

5-5.07(a) Written Policies and Procedures Example

[LPA Name] receives federal funds, which may be used to fund the engineering and design related consultant services. Our written policies and procedures as describe herein for QBS will meet the requirements of 23 CFR 172 and the Brooks Act.

1. Initial Administration – [LPA Name] QBS policy and procedures assigns responsibilities to the following [**describe the titles and/or other departments**] within [LPA Name] organization for the procurement, management, and administration for consultant services.
2. Written Policies and Procedures – [LPA Name] believes their adopted QBS written policies and procedures substantially follows Section 5-5 of the *BLRS Manual* and specifically Section 5-5.06(e), therefore; approval from IDOT is not required.
3. Project Description – [LPA Name] will use the following five items when developing the project description and may include additional items when unique circumstances exist.
 - Describe in general terms the need, purpose, and objective of the project;
 - Identify the various project components;
 - Establish the desired timetable for the effort;
 - Identify any expected problems
 - Determine the total project budget.
4. Public Notice – [LPA Name] will post an announcement on our website [**website address**] and/or publish an ad in a newspaper with appropriate circulation. The item will be advertised for at least 14 days prior to the acceptance of proposals, and at least twice in the newspaper and/or on continuous display on our website.
5. Conflict of Interest – [LPA Name] require consultants to submit a disclosure statement with their procedures. [LPA Name] require the use of the IDOT BDE DISC 2 Template as their conflict of interest form.
6. Suspension and Debarment – [LPA Name] will use of SAM Exclusions, IDOT's CPO's website and the three other state CPO's websites to verify suspensions and debarments actions to ensure the eligibility of firms short listed and selected for projects.
7. Evaluation Factors – [LPA Name] allows the following [**specify title**] to set the evaluation factors for each project, but must include a minimum of [**number**] criterion and stay within the established weighting range. The maximum of DBE and local presence combined will not be more that 10% on projects where federal funds are used.

Attachment: IDOT BLRS Update on Engineering Procurement (3177 : Procurement of Engineering Services)

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Project specific evaluation factors will be included at a minimum in the Request for Proposals. **[List the criterion and weighting range].**

8. Selection – [LPA Name] require a [number] person selection committee. Typically the selection committee members include **[specify title 1, title 2 ..., title x]**. The selection committee members must certify that they do not have a conflict of interest. Selection committee members are chosen by the **[specify title]** for **[each project or a specific period of time]**. [LPA Name] require each member of the selection committee to provide an independent score for each proposal using the form below prior to the selection committee meeting.

Criteria	Weighting	Points	Firm 1	Firm 2 ...	Firm x
<i>Criterion 1</i>					
<i>Criterion 2 ...</i>					
<i>Criterion x</i>					
<i>Total</i>	<i>100%</i>				

The selection committee members' scores are averaged for a committee score which is used to establish a short list of three firms. The committee score is adjusted by the committee based on group discussion and information gained from presentations and interviews to develop a final ranking. If there are other firms within **[xx%]** of the minimum score, the **[specify title]** may choose to expand the short list to include more than three firms.

9. Independent Estimate – [LPA Name] will prepare an independent in-house estimate for the project prior to contract negotiation. The estimate is used in the negotiation.
10. Contract Negotiation – [LPA Name] require a [number] person team to negotiate with firms. The team consists of **[specify title 1, title 2 ..., title x]**. Members of the negotiation team **[may / may not]** delegate this responsibility to staff members.
11. Acceptable Costs – [LPA Name] require the **[specify title]** to review the contract costs and the indirect cost rates to assure they are compliant with Federal cost principles prior to submission to IDOT.
12. Invoice Processing – [LPA Name] require the **[specify title]** assigned to any project using federal funds to review and approve all invoices prior to payment and submission to IDOT for reimbursement.
13. Project Administration – [LPA Name] require the assigned **[specify title]** to monitor work on the project in accordance with the contract and to file reports with the **[specify title]**. The [LPA Name] procedures require an evaluation of the consultant's work at the end of each project. These reports are maintained in [LPA Name] consultant information database. [LPA Name] follows IDOT's requirements and the required submission of BLRS Form 05613 to the IDOT district at contract close-out along with the final invoice.

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5-5.07(b) Project Specific Information Example

The City of Giant Springs plans to reconstruct Main Street and improve their sidewalks along the street to comply with ADA requirements. In order to proceed with Phase I and II engineering, the city decided to hire an engineering consultant to handle the design. The city has federal funds available to help fund the design of the project and realizes the total engineering costs will exceed \$25,000. The city knew they were required to use written QBS procedures which complied with state and federal guidelines. Their QBS procedures and example forms are included along with discussion in this example.

City of Giant Springs Qualification Based Selection Procedure (*Project Specific Information is italicized*)

1. Initial Administration – Giant Springs has a City Engineer. The City Engineer's office has two junior engineers and a technician and an administrative assistant, who will handle the day-to-day management and administration. The City Engineer's office will work with the City Purchasing office in procurement.
2. Written Policies and Procedures – Giant Springs believes their written procedures substantially follows Section 5-5 of the *BLRS Manual* and specifically Section 5-5.06(e), therefore; approval from FHWA is not required.
3. Project Description – Giant Springs will use the following five items when developing the project description and may include additional items under unique circumstances.
 - Describe in general terms the need, purpose, and objective of the project;
 - Identify the various project components;
 - Establish the desired timetable for the effort;
 - Identify any expected problems
 - Determine the total project budget.

Project Description:

The scope of services desired is to have Phase I and II engineering provided for the reconstruction of Main Street between Price Street and Oak Street. Main Street is the primary transportation corridor through the city. This reconstruction is necessary because the existing street and sidewalks are older and in poor condition. The major components of the design are roadway and pavement design, parking and traffic control, sidewalks, and drainage. Phase I is expected to last 18 months and Phase II is expected to last another 12 months. Providing detours for both vehicular traffic and pedestrians will be challenging because there are both businesses and the elementary school located along this section of Main Street. Minimizing impacts to both the school and businesses is an important consideration in the design of this project. Because both a school and part of the city's business district are located within the limits of the project compliance with ADA requirements is also critical. The total budget for this project \$1,540,000.

4. Public Notice – Giant Spring's procedures requires the city to post an announcement on the city's website ([provide hyperlink](#)) and publish an ad in the Big City Telegraph, a

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newspaper with appropriate circulation. The item will be advertised at least 14 days prior to the acceptance of proposals and at least twice in the newspaper and will be on continuous display on the city's website for.

The ad for this project was placed on the city's website and in the newspaper on two consecutive Mondays. Here is the example advertisement.

"Giant Springs is accepting proposals from consultants for Phase I and Phase II engineering design of Main Street between Price and Oak Street. The evaluation criteria and weighting for this project is as follows: technical approach - 30%, firm experience - 20%, staff capabilities - 20%, work load capacity - 20%, and local presence - 10%.

Consultants should request a proposal packet from the city. The packet contains a detailed description of the project, conflict of interest forms, and specific requirements for the format and content of their submission.

Proposal responses are due October 18th, 2017 at 2:00 pm at City Hall, 205 W. Main Street, Room 205, Giant Springs, IL 62764. The technical proposal must not contain any cost information. All proposals shall include a conflict of interest form.

Proposals will be evaluated and at least three consultants will be selected to interview for this project. Interviews of consultants for this project will be held the week of November 1, 2017."

5. Conflict of Interest – Giant Spring's procedures require consultants to submit a disclosure statement with their procedures. The city uses the IDOT BDE DISC 2 Template as their conflict of interest form.

All three firms included a disclosure statement with their submittal; no conflicts of interest were discovered.

6. Suspension and Debarment – Giant Spring's procedures require verification of suspension and debarment actions to ensure the eligibility of firms short listed and selected for projects. The city uses the SAM Exclusions, IDOT's CPO's website and the three other state CPO's websites to verify suspensions and debarments.

All three firms were checked and verified not to be suspended or debarred.

7. Evaluation Factors – Giant Spring's procedures for QBS allow the City Engineer to set the evaluation factors for each project, but will include a minimum of five criterion and stay within the established range. The maximum of DBE and local presence requirements combined cannot be more that 10% on projects where federal funds are being used. Project specific evaluation factors will be included at a minimum in the Request for Proposals.

Criteria and weighting per the city's QBS procedures

Technical Approach (10 - 30%)

Firm Experience (10 - 30%)

Specialized Expertise (10 - 30%)

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Staff Capabilities (Prime/Sub) (10 - 30%)
 Work Load Capacity (10 - 30%)
 Past Performance (10 - 30%)
 In-State or Local Presence*
 Participation of Qualified and Certified DBE Sub-consultants*
 (* The combined total of these two items cannot exceed 10%)

For this project the City Engineer set the following selection criteria and weighting.

<i>Technical Approach</i>	<i>30%</i>
<i>Firm Experience</i>	<i>20%</i>
<i>Staff Capabilities</i>	<i>20%</i>
<i>Work Load Capacity</i>	<i>20%</i>
<i>Local Presence</i>	<i>10%</i>

The city is requiring interviews with the top three firms. The interviews will be used to adjust the preliminary scores selection committee members individually develop based on the proposal.

8. Selection – Giant Spring's procedures require a five person selection committee. Typically the selection committee members include the director of public works, the city engineer, and at least one of the other public works staff members. Usually the city has at least one member, but not more than two members from outside the public works department. These outside members may be public works directors or engineers from nearby communities, their county engineer, council members, or members of the community. The selection committee members will certify that they do not have a conflict of interest. Selection committee members are chosen by the director of public works for each project. The selection committee members individually review and score each proposal prior to the selection committee meeting. Their scores are averaged for a committee score which is used to establish a short list of three firms. If there are other firms within 10% of the minimum score, the public works director may choose to expand the short list to include more than three firms. The committee score is adjusted by the committee based on group discussion and information gained from presentations and interviews to develop a final ranking.

For this project the city's selection committee was composed of the public works director, the city engineer, two staff engineers from the public works department and their county engineer.

The city's procedure requires the use of this basic form to score the submissions. Each member of the selection committee is to provide an independent score for each proposal using the form below prior to the selection committee meeting.

Their scores are averaged for a committee score which is used to establish a short list of three firms. The committee score is adjusted by the committee based on group discussion and information gained from presentations and interviews to develop a final ranking. If there are other firms within [10%] of the minimum score, the public works director may choose to expand the short list to include more than three firms.

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Criteria	Weighting	Points	Firm 1	Firm 2	Firm 3
<i>Technical Approach</i>	30%	30			
<i>Firm Experience</i>	20%	20			
<i>Staff Capabilities</i>	20%	20			
<i>Work Load Capacity</i>	20%	20			
<i>Local Presence</i>	10%	10			
<i>Total</i>	100%	100			

9. Independent Estimate – Giant Spring's staff will prepare an independent in-house estimate for the project prior to contract negotiation. The estimate is to be used in the negotiation.

The City Engineer prepared a detailed estimate for the Phase I and II engineering for this project. His estimate was \$231,000.

10. Contract Negotiation – Giant Spring's procedures require a two person team to negotiate with firms. The team consists of the public works director and the city's manager. When necessary either the public works director or the city manager may delegate this responsibility to staff members.

For this project, the city engineer and city manager began negotiations with the highest ranked firm. The firm's cost exceeded the engineer's estimate by 40% and the firm did not believe they could adjust their scope or staffing in any way to reduce costs. The team moved to negotiation with the second ranked firm. The costs were slightly below the city's estimate and their project scope covered all the city's requirements. Negotiations with the second ranked firm were successful. A sealed cost proposal from the third ranked firm was returned to the firm unopened. The proposal from the first ranked firm was disposed of by shredding.

11. Acceptable Costs – Giant Spring's procedures require the city manager to review the contract costs and the indirect cost rates to assure they are compliant with Federal cost principles prior to submission to IDOT.

For this project, the city manager reviewed the costs and found no issues and forwarded to IDOT for final review and approval.

12. Invoice Processing – Giant Spring's procedures require the project manager assigned to any project using federal funds to review and approve all invoices prior to payment and submission to IDOT for reimbursement.

13. Project Administration – Giant Spring's procedures require the assigned project manager to monitor work on the project in accordance with the contract and to file reports with the public works director. The city's procedures require an evaluation of the consultant's work at the end of each project. These reports are maintained in the city's consultant information database. The city follows IDOT's requirements and they require submission of form [BLR 05613](#) to the IDOT district at contract close-out along with the final invoice.

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When submitting form BLR 05510, the completion of Exhibit C (Figure 5-5D) is required. See Section 5-5.08 for information concerning the BLR forms for engineering agreements.

Exhibit C Federal Qualification Based Selection (QBS) Checklist

Local Public Agency City of Giant Springs
 Section Number 17-00123-00-PV
 Project Number _____
 Job Number _____

The LPA must complete Exhibit C, if federal funds are used for this engineering agreement and the value will exceed \$25,000. The LPA must follow federal small purchase procedures, if federal funds are used and the engineering agreement has a value less than \$25,000.

☐ Form Not Applicable (engineering services less than \$25,000)

1.	Do the written QBS policies and procedures discuss the initial administration (procurement, management, and administration) concerning engineering and design related consultant services? ☒ Yes ☐ No																				
2.	Do the written QBS policies and procedures follow the requirements as outlined in Section 5-5 and specifically Section 5-5.06(e) of the <i>BLRS Manual</i> ? ☒ Yes ☐ No If no, IDOT's approval date: _____																				
3.	Was the scope of services for this project clearly defined? ☒ Yes ☐ No																				
4.	Was public notice given for this project? ☒ Yes ☐ No Due date of submittal: <u>10/18/2017</u> Method(s) used for advertisement and dates of advertisement: <u>City's website (provide hyperlink) beginning 10/02/2017 and Big City Telegraph on 10/02/2017 and 10/09/2017</u>																				
5.	Do the written QBS policies and procedures cover conflicts of interest? ☒ Yes ☐ No																				
6.	Do the written QBS policies and procedures use covered methods of verification for suspension and debarment? ☒ Yes ☐ No																				
7.	Do the written QBS policies and procedures discuss the method of evaluation? ☒ Yes ☐ No <table style="width: 100%; border: none;"> <tr> <td style="width: 40%;">Criteria for this project</td> <td style="width: 10%; text-align: center;">Weighting</td> <td style="width: 40%;">Criteria for this project</td> <td style="width: 10%; text-align: center;">Weighting</td> </tr> <tr> <td><u>Technical Approach</u></td> <td style="text-align: center;"><u>30 %</u></td> <td><u>Local Presence</u></td> <td style="text-align: center;"><u>10%</u></td> </tr> <tr> <td><u>Firm Experience</u></td> <td style="text-align: center;"><u>20 %</u></td> <td>_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td><u>Staff Capabilities</u></td> <td style="text-align: center;"><u>20 %</u></td> <td>_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td><u>Work Load Capacity</u></td> <td style="text-align: center;"><u>20 %</u></td> <td>_____</td> <td style="text-align: center;">_____</td> </tr> </table>	Criteria for this project	Weighting	Criteria for this project	Weighting	<u>Technical Approach</u>	<u>30 %</u>	<u>Local Presence</u>	<u>10%</u>	<u>Firm Experience</u>	<u>20 %</u>	_____	_____	<u>Staff Capabilities</u>	<u>20 %</u>	_____	_____	<u>Work Load Capacity</u>	<u>20 %</u>	_____	_____
Criteria for this project	Weighting	Criteria for this project	Weighting																		
<u>Technical Approach</u>	<u>30 %</u>	<u>Local Presence</u>	<u>10%</u>																		
<u>Firm Experience</u>	<u>20 %</u>	_____	_____																		
<u>Staff Capabilities</u>	<u>20 %</u>	_____	_____																		
<u>Work Load Capacity</u>	<u>20 %</u>	_____	_____																		
8.	Do the written QBS policies and procedures discuss the method of selection? ☒ Yes ☐ No Selection committee (titles) for this project: <u>The public works director, the city engineer, two staff engineers from the public works department, and their county engineer.</u> Top three consultants selected for this project in order: 1) <u>Firm 1</u> 2) <u>Firm 2</u> 3) <u>Firm 3</u> If less than 3 responses were received, IDOT's approval date: _____																				
9.	Was an estimated cost of engineering for this project developed in-house prior to contract negotiation? ☒ Yes ☐ No																				
10.	Were negotiations for this project performed in accordance with federal requirements? ☒ Yes ☐ No																				
11.	Were acceptable costs for this project verified? ☒ Yes ☐ No ☒ LPA will rely on IDOT review and approval of costs.																				
12.	Do the written QBS policies and procedures cover review and approving for payment, before forwarding the request for reimbursement to IDOT for further review and approval? ☒ Yes ☐ No																				
13.	Do the written QBS policies and procedures cover ongoing and finalizing administration of the project (monitoring, evaluation, closing-out a contract, record retention, responsibility, remedies to violations or breaches to a contract, and resolution of disputes)? ☒ Yes ☐ No																				

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 Printed on 11/28/2017 11:13:33 AM

BLR 05610 (Rev. 11/09/17)

Attachment: IDOT BLRS Update on Engineering Procurement (3177 : Procurement of Engineering Services)

EXHIBIT C – FORM BLR 05510 (EXAMPLE)

Figure 5-5D



ADMINISTRATIVE ORDER NO. #3

Subject: Village Purchasing Policies and Procedures

Original order approved December 7, 2011, revised September 16, 2013, and November 14, 2016

Applicability

This policy shall apply to the procurement or purchase of goods, supplies, equipment, and services by the Village.

Purpose

The purpose of this policy is to assist in obtaining supplies, equipment and services as economically and efficiently as possible. It is intended to:

1. Simplify and clarify existing purchasing practices and policies;
2. Provide guidance for compliance with applicable purchasing rules;
3. Ensure the fair and equitable treatment of all persons who deal with purchasing activities;
4. Promote increased economy in purchasing activities;
5. Foster broad-based competition within the free enterprise system; and
6. Provide safeguards for the maintenance of a procurement system of quality and integrity.

Policy

A. ETHICAL CONDUCT

1. Elected officials and employees shall adhere to the Village's Ethics Policy when making all purchasing decisions.
2. Elected officials and employees may not participate directly or indirectly in a purchase when the elected official or employee or any member of his immediate family will benefit. Any attempt by an employee to realize personal gain through public employment by conduct inconsistent with these policies is subject to discipline and/or dismissal.

3. No elected official or employee, either on that person's behalf or on behalf of any other person, shall have any financial or personal interest in any business or transaction with any Board, Commission, Committee or other public body of the Village unless that official or employee makes full public disclosure of the nature and full extent of such interest and disqualifies him or herself from participating in and acting upon the resolution of the business or transaction.
4. Employees shall adhere to this policy consistent with the philosophy above to ensure cost savings and efficiency. When competitive bidding, employees shall attempt to solicit as many bids as reasonably possible. Employees shall not subdivide any contract or purchase with the intent to circumvent the bidding requirements or approval limits established within this policy.
5. If any portion of this policy is found to be in conflict with any federal, state or local law, the federal, state or local law shall apply. However, if this policy is more restrictive than the federal, state or local law, the policy shall apply.

B. AUTHORITY TO PURCHASE

1. **Up to \$5,000:** Department Directors may approve purchases up to \$5,000. It is the Department Director's responsibility to ensure budgeted funds are available and competitive pricing is obtained prior to purchase. A Department Director may delegate any level of purchasing authority under \$5,000 to other department employees with approval by the Village Manager and Finance Director.
2. **Up to \$20,000:** The Village Manager may approve purchases up to \$20,000. It is the Village Manager's responsibility to ensure budgeted funds are available and competitive pricing is obtained prior to purchase.
 - a. The Village Manager is authorized to approve any change order to a Village contract which is less than \$10,000. Any change order in excess of \$10,000 must be submitted to the Village Board as an agenda item for the Board's consideration. The Village Manager is also authorized to execute change orders above \$10,000 in instances where the change order falls within a contract contingency authorized by the Village Board.
 - b. The Village Manager may authorize disposal of any Village property valued up to \$20,000 in a manner deemed most beneficial to the Village. All items above \$20,000 must be authorized for disposal by the Village Board.
3. **Greater than \$20,000:** Any single purchase or contract with a single vendor over \$20,000 requires Village Board approval. Glen Ellyn Village Code (1-10-1) requires that all contracts for labor, services or work, or for the purchase of personal property, materials, equipment or supplies involving amounts estimated to be in excess of \$20,000 shall be let only by competitive bidding after advertisement for bids to the lowest responsible bidder submitting a bid in conformance with the advertisement. Bi-annually, the Village Manager and Finance Director will review cumulative spending with the Village's vendors to identify if the scope of products

and/or services provided by said vendor to determine if the aggregate purchases should be considered for approval by the Village Board. The Village Manager and Finance Director will base his or her decisions on this administrative order.

4. **Payments greater than \$20,000 not requiring current purchase order or explicit Village Board approval:** Required or routine payments will be made through the normal check issuance procedures, without the need for prior purchase order or explicit Village Board authorization, under the following circumstances:
 - a. *Government or utility payments.* The Village is required to make payments to regulatory agencies or other governments with authority over the Village or Village activity. Examples include, but are not limited to: the State of Illinois, Federal Government, County of DuPage, each in their official or oversight capacity, the Illinois Department of Employment Security (unemployment insurance), the Illinois Municipal Retirement Fund, the Illinois Department of Revenue (sales tax remittances), and utility companies. These payments are not limited to the amount budgeted, but amounts spent over the budget amount will be reported to the Village Board in a timely manner as appropriate.
 - b. *Village Contracts.* The Village Board periodically approves contracts or service agreements that span multiple years, which later require periodic and ongoing payments that exceed \$20,000 individually or in aggregate. Examples include, but are not limited to, DuComm, DuPage Water Commission, Glenbard Wastewater Authority, GIS Consortium legal services, insurance providers, debt service principal and interest, and waste haulers. Payments for these Village Contracts are not limited to the amount budgeted, but amounts spent over the budget amount will be reported to the Village Board in a timely manner as appropriate.
 - c. *Village support of other organizations.* Payments are made to various service providers, such as the Glen Ellyn Volunteer Fire Company, and the Downtown Alliance of Glen Ellyn. For such arrangements, payments for service shall be limited to the original Village Board approval and/or the Village budget for such services.
 - d. *Subdividing or Split Purchases.* Purchases shall not be split or subdivided to avoid a level of review or approval or to avoid competitive selection.
5. **Rule of Three:** In order to ensure competitive pricing, at least three quotes shall be obtained prior to a purchase over \$1,000 whenever practical to do so. If a purchase of goods or services is recurring and/or ongoing, a quote may be obtained once every three years, so long as the cost remains competitive and there is no significant (i.e. 10%) change to the scope of goods/services. Documentation of quotes should be retained by the purchasing department for three years subsequent to the date of purchase.

- a. *Selection of Lowest Price:* Invoices submitted for payment greater than \$1,000 must include the three quotes obtained. If the lowest price quote is not selected, there must be justification included on why the lowest price was not chosen.
 - b. *Local Preference:* Every effort should be made to solicit one of the three quotes from a business located in the Glen Ellyn corporate boundaries. In evaluating the quotes, costs such as delivery or freight should be considered to arrive at the lowest cost selection.
- 6. **Transportation and Delivery Charges:** The Department Director shall make every effort to determine any transportation or delivery charges prior to proceeding with a purchase. Transportation charges must be included when determining cost of a purchase.
- 7. **Maximum Practicable Competition:** All specifications for purchases shall be drafted so as to promote overall economy for the purposes and encourage competition in satisfying the Village's needs, and shall not be unduly restrictive.
- 8. **Budget:** Careful consideration of the budget must be undertaken when purchasing. It is the Department Manager's responsibility to ensure they are within their budget constraints. If an item would cause the fund to exceed budget, then it should be taken to the Village Board along with a budget amendment.
- 9. **Contracts:** All contracts must be reviewed and approved by the Village Attorney prior to execution. Contracts under \$5,000 may be signed by a Department Head. Contracts \$5,000 to under \$20,000 may be signed by the Village Manager. Contracts greater than \$20,000 must be approved by the Village Board.

C. COMPETITIVE SEALED BIDDING

An openly publicized competitive process for the procurement of goods, supplies, equipment, services, and construction, is the most effective means of determining the lowest cost from a responsible source and should be utilized whenever possible.

1. **Exceptions to Competitive Bidding:** A purchase or contract over \$20,000 that is by its nature not adapted to award by competitive bidding may be approved by a 2/3rd vote of the Village Board.

Examples of exceptions to competitive bidding are listed below.

- a. *Professional services* requiring individual skill or expertise shall be governed by the policy on professional services in Section D. Such services include, but are not limited to, engineers, financial advisors, search firms, accountants, architects, inspectors, attorneys, and professional consultants.

- b. *Emergency purchases* are purchases obtained in circumstances which include threats to public health or safety, where immediate repairs to Village property are required to protect or prevent against further loss or damage, or where immediate action is needed to prevent or minimize serious disruption to Village services. Emergency purchases shall be authorized if timing is critical. The Village Manager shall report to the Village Board regarding emergency purchases as soon as practicable.
- c. *State or federal contracts* are exempted from the competitive bidding process. The Village may take advantage of the favorable prices obtained under a State contract whenever practical to do so.
- d. *Cooperative purchases*, defined as more than one unit of government purchasing goods and services together by competitive bid.
- e. *Single Source purchases*, defined as material or services that are available from only one vendor but are deemed necessary to Village operations may be exempted from bidding requirements.
- f. *Standardization purchases*, defined as technical nature of certain items or services may result in the standardization of a particular supplier's specifications being necessary or desirable to Village operations. Competitive bidding may be waived if the Village requires compatibility with existing software, machinery or other existing equipment.
- g. *Certain items are purchased by the Village Links/Reserve 22 for resale.* These items are generally offered for resale in the Pro Shop or food/hospitality products. Merchandise items are chosen for their marketability and public demand and cannot be purchased through the formal bidding process. Food and hospitality items may be purchased based on immediate need or demand, product quality, availability schedule, or other factors deemed necessary to properly run the food and hospitality functions of the Department. The management of the Village Links/Reserve 22 will make every effort to obtain these items at the best possible prices.

2. Procedures for Competitive Bidding

- a. **Invitations for Bids:** An Invitation for Bids shall be issued and shall include a purchase description, and all necessary contractual terms, specifications, and conditions applicable to the purchase.
- b. **Bids for Installation of Equipment:** For all bids for the installation of products and equipment, consideration shall be given to requesting bids for the product or equipment separate from bids for the labor involved in installing the equipment in order to reduce the overall costs.
- c. **Review by Village Attorney:** When practicable, all invitations for bids shall be reviewed and approved by the Village Attorney prior to being issued.

- d. **Public Notice:** Adequate public notice of the Invitation for Bids shall be given at a reasonable time prior to the date set for the opening of bids. It is the policy of the Village to seek as broad an advertisement for bids as is practical under the circumstances. As a minimum, advertisement for bids shall be as follows:
- a. Notice inviting bids shall be published once in at least one newspaper of general circulation in the village and at least ten (10) days prior to the last day set for the receipt of bid proposals.
 - b. The newspaper notice required herein shall include at least a general description of the work to be performed or the articles to be purchased, shall state where bid proposals forms and detailed specifications may be secured, and shall state the time and place for opening bids.
 - c. Bids and proposals shall, to the extent possible, be solicited from all responsible prospective suppliers who have requested to be notified of purchases of the type being proposed or who are known to the village to do work or provide supplies of the type being sought, by sending those responsible prospective suppliers a copy of the notice to acquaint them with the proposed purchase or sale.
 - d. Bid announcements shall be advertised on the Village website.
- e. **Requirement for Bid Security:** Bid Security will be required for all competitive sealed bidding for construction contracts. Bid security shall be a bond provided by a surety company authorized to do business in the State of Illinois, or a certified check, bank draft, or cashier check, or other form satisfactory to the Village.
- f. **Amount of Bid Security:** Bid security amount is to be determined by the requisitioning department and shall be in an amount no less than 5% of the bid and no more than 10% of the bid.
- g. **Bid Opening:** Bids shall be opened publicly by the Finance Director or the Finance Director's designee and in the presence of one or more witnesses at the time and place designated in the Invitation for Bids. The amount of each bid, together with the name of each bidder, shall be recorded, and the record of each bid shall be open to public inspection.
- h. **Bid Evaluation and Acceptance:** Bids shall be unconditionally accepted without alteration or correction, except as addressed in this policy statement. Bids shall be evaluated based on the requirements described in the Invitation for Bids, which may include criteria to determine acceptability such as inspection, testing, quality, workmanship, delivery and suitability for a particular purpose. The Invitation for Bids shall set forth the evaluation criteria to be used. No criteria may be used in bid evaluation that is not set out in the Invitation for Bids. At no time should any information be made available to any prospective bidder which is not available to all prospective bidders.

- i. **Correction or Withdrawal of Bids:** After a bid opening, no changes in bid prices or other provisions of bids prejudicial to the interest of the Village or fair competition shall be permitted. Decisions to permit correction or withdrawal of bids, or to cancel awards or contracts based on bid mistakes prior to approval by the Village Board should be based upon the following criteria:
 - a. A bidder will not be permitted to correct a bid mistake after bid opening that would cause the bidder to have the low bid, unless the mistake is clearly evident from examining the bid document, and is supported by proof that has evidentiary value--for example, extension of unit prices or errors in addition.
 - b. A low bidder will not be permitted to correct a bid for errors in judgment.
 - c. In lieu of bid correction, the Village may permit a low bidder alleging a material mistake of fact to withdraw its bid when there is reasonable proof that a mistake was made and the intended bid cannot be ascertained with reasonable certainty.
 - d. After bid opening, an otherwise low bidder will not be permitted to delete exceptions to the bid conditions which affect price or substantive obligations.
 - e. If the Village suspects a mistake has been made by a bidder, it may request confirmation of a bid.
- j. **Award:** Contracts shall be awarded to the lowest responsible bidder. In determining "lowest responsible bidder", in addition to the price, the Village may consider the following factors:
 - a. The ability, capacity and skill of the bidder to perform the contract or provide the service required;
 - b. Whether the bidder can perform the contract or provide the service promptly, or within the time specified, without delay or interference;
 - c. The character, integrity, reputation, judgment, experience and efficiency of the bidder;
 - d. The quality of performance of previous contracts or services;
 - e. The previous and existing compliance by the bidder with laws and ordinances relating to the contract or service;
 - f. The sufficiency of the financial resources and the ability of the bidder to perform the contract or provide the service;

- g. The quality, availability and adaptability of the supplies or contractual services to the particular use required by the village;
- h. The ability of the bidder to provide future maintenance and service for the use of the contract; and
- i. The number and scope of conditions attached to the bid, if any.
- k. After approval by the Village Board, the award shall be processed with reasonable promptness by written notice to the successful bidder.
- l. **Non-monetary Change Orders:** The Village Manager may execute change orders to extend the length of a construction contract by up to 30 days or other terms and conditions of a contract deemed necessary or in the best interest of the Village.

D. PROFESSIONAL SERVICES

1. All professional services contracts related to Architectural, Engineering, and Land Surveying Services will be governed by the requirements of the Local Government Professional Services Selection Act (50 ILCS 510/1 et seq.). Proposals shall be evaluated based upon the requirements set forth in the request for proposals, which may include qualifications, ability of professional personnel, past record and experience, performance data on file, willingness to meet time and budget requirements, location, workload of the firm, work on similar projects, past performance with the Village, and financial stability. Cost may be considered, but may not alone determine the provider of the professional services. Competitive proposals are required where the total contract is \$20,000 or greater. Where the cost is less than \$20,000, the respective Department Head and the Village Manager shall determine whether such contract will be awarded on the basis of obtaining at least three quotes or on the basis of competitive request for proposals.
2. All requests for proposals for professional services shall contain a request for a proposed Total Fixed Price for the contract work.
3. For professional services *other* than architectural, engineering, and land surveying services, where the cost is less than \$20,000, the respective Department Head and the Village Manager shall determine whether such contract will be awarded on the basis of obtaining at least three quotes or on the basis of competitive request for proposals. For those where the cost is \$20,000 or greater, the contract shall be awarded based upon a competitive request for proposal, unless it is determined that an exception listed in Section C(1) applies. The Village Attorney shall determine if an exception is applicable.

E. RECEIPT

The person signing and approving the invoice for payment must determine that goods or services have been received in good order. By approving the invoice for payment with their signature, the individual is verifying proper receipt of goods or services has occurred.

F. SALES TAX EXEMPTION

The Village is a sales tax exempt organization in the State of Illinois. When making purchases for the Village, all reasonable attempts should be made to make purchases exempt from sales tax, which may require presenting the Village's sales tax exempt certificate and completing forms or other documentation. Village policy is that we do not pay sales tax or reimburse employees for sales tax paid out of pocket. In those unusual situations when sales tax payments are reasonably unavoidable, Department Managers can authorize payment or reimbursement of a nominal amount sales tax.

G. PAYMENT

1. **Checks:** Invoices for payment by check shall be submitted to the Finance Department. Invoices must be coded with the appropriate budget account and signed by the Department Director or valid designee. The invoice must also clearly state the purpose of the purchase. Purchases of food or meals must include a list of the individuals or groups receiving the food or meal. If purchase exceeds \$5,000, the Village Manager must also sign the invoice, except utilities, postage, developer donations, , health insurance and routine refunds. All invoices must describe the Village business purpose for which the goods or services were purchased. Lien waivers from all contractors and subcontractors must be included with invoices for construction contracts and submitted to the Village Attorney before any payment will be authorized.

All invoices will be reviewed by the Accounts Payable Coordinator for proper approval and coding and entered into the accounting system. The Assistant Finance Director will review and approve the invoices and reports for proper approvals and accuracy prior to printing checks.

Checks will be printed every Friday. All invoices to be included in a Friday check run must be submitted to the Finance Department by 5PM the Wednesday before the check run. If the schedule is adjusted, Finance will alert departments as early as practical. Checks will not be sent out until all required signatures and documentation are received by the Finance Department. The Finance Department will distribute checks via U.S. mail. If a vendor wishes to pick up a check, the individual will need to provide identification sufficient to show their affiliation with the vendor, and will be required to sign a log provided by the Finance Department.

2. **Purchasing Cards:** Purchasing cards are issued to improve efficiency and make additional vendors available to provide goods for the Village through internet sales.

- a. Issuance of Purchasing Cards: Employees may be issued a purchasing card upon request by the Department Director and approval by Finance Director and the Village Manager. Each card has a monthly purchase limit based upon the purchasing requirements of the employee. Employees must sign an agreement that they will use the card only for Village related purchases.
- b. Use of Purchasing Cards: Use of a purchasing card does not change the approval structure established in Section B of this policy.

Each employee provided a Purchasing Card is responsible for the security of the card and should not permit its use for means other than those permitted by this policy. If an employee's card is used for egregious or repeated unauthorized purposes or uses, monthly reporting is not made in a timely manner, or it is used outside of the permissions of this policy, the employee's purchasing card may be immediately suspended or revoked, temporarily or permanently. If such action is taken, the employee's supervisor will be advised of the action and reasons for such action.

As with all purchases made on the Village's behalf, goods purchased with a purchasing card are exempt from sales tax. This is indicated on the front of all cards and should be pointed out to the vendor to prevent sales tax from being charged on any purchases made with the card. Depending on the vendor, card holders may still need to present the tax exempt letter or complete other documentation in order to receive the exemption.

The Village's purchasing card shall be used for Village purchases only. Absent approval from the Village Manager or Finance Director, the purchasing cards shall not be used for purchases for other people or organizations, even if the Village is reimbursed for the purchase.

- c. Submission of Purchasing Card Expense Reports: Each month, the Accounts Payable Coordinator will receive a summary of all employee charges. Individual statements will be sent to each card holder for coding and approval. Card holders must review their monthly statement and return it to the Finance Department with their signature and an itemized invoice or receipt for each purchase. Department heads must review and approve the purchasing card statements of their employees. Such information shall be submitted to the Finance Department no later than 3 business days prior to the due date on the statement, unless other arrangements are agreed upon, in advance, with the Finance Department. Each month, the Finance Department will advise card holders of the due date via email, providing at least one week notice. All receipts or invoices must describe the Village business purpose for which the goods or services were purchased. All purchases of food or meals must list the individuals or groups that benefited from the meal.

The Accounts Payable Coordinator will review all card purchases for proper approval, coding and documentation and enter the charges into the accounting system. The Assistant Finance Director will review the invoices and accounting system reports for proper approvals and accuracy. All monthly purchasing card statements will be reviewed and signed off by the Department Director, Finance Director and the Village Manager.

3. **Open Accounts:** To allow for the efficient procurement of routine supplies, the Village has established a limited number of open accounts at local vendors. Only employees authorized by their Department Director may utilize an open account. When available, purchasing cards should be utilized rather than charging an item to an open account. The Department Director is responsible for ensuring all purchases made on an open account are utilized only for Village business purposes.

Use of an open account does not exempt an employee from obtaining quotes for items over \$1,000. If an item is over \$1,000, quotes must still be obtained as required in Section B (4).

Employees must submit receipts for all purchases made on an open account to the Finance Department. Receipts must describe the Village business purpose for which the items were purchased and include the signature of the employee approving the purchase.

4. **Petty Cash:** Petty cash has been established to expedite miscellaneous purchases and paying of small bills which need not be handled through check payment. These funds are to be used by all departments for facilitating purchases and are not to be used for the purpose of circumventing normal purchasing procedures.

Petty cash requests shall be limited to \$50, unless approved by the Finance Director. Any amount above \$50 must be reimbursed via a check request submitted to the Finance Department.

Each petty cash location shall have a designated custodian who is responsible for disbursing and maintaining the petty cash funds.

The petty cash custodian shall ensure that all petty cash disbursements are properly approved and that a record of each disbursement includes the following information:

- a. Description of purchase.
- b. Budget account.
- c. Signature of employee approving disbursement.
- d. Signature of petty cash custodian.
- e. Signature of petty cash recipient.
- f. Original itemized receipt.

As petty cash is depleted, the custodian shall submit a request to replenish petty cash to the Finance Department. The request shall include all the required documentation for disbursements made since the previous request. The AP Fiscal Clerk will review all purchases for proper approval, coding and documentation and enter the charges into the accounting system. The Assistant Finance Director will review the invoices and accounting system reports for proper approvals and accuracy and a check will then be issued to the petty cash custodian. The Finance Department may conduct periodic cash counts and/or audits of petty cash.

5.

Review of Vouchers:

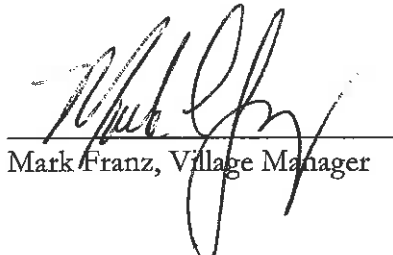
1. Accounts Payable Coordinator: The Accounts Payable Coordinator will review invoices submitted for payment to ensure proper documentation, amount, account coding, and approval.
2. Assistant Finance Director: The Assistant Finance Director will perform a detailed review of the vouchers after the Accounts Payable Coordinator to ensure proper documentation, amount, account coding, and approval.
3. Finance Director: The Finance Director will receive from the Accounts Payable Coordinator a list of the vouchers for review. The Finance Director shall review the list and pose questions and request documentation as he or she deems necessary.
4. Village Attorney: The Village Attorney shall review the vouchers in advance of the board meeting to review items of a legal nature.
5. Village Manager: The Accounts Payable Coordinator will provide the Village Manager with a listing of paid invoices for inclusion on a Village Board Agenda. The Village Manager shall review said listing.

6.

Village Board Approval of Vouchers: All payments will be approved by the Village Board. The Accounts Payable Coordinator will provide the Village Manager's office with a listing of paid invoices for inclusion on a Village Board meeting agenda. The invoice list will also be provided to all Trustees and a Trustee will be designated to review the invoices prior to Village Board payment approval. To ensure prompt payment, checks will be released prior to the Village Board meeting if the purchase has been properly approved and all required signatures and documentation have been received by the Finance Department.

H. MANAGEMENT CONTROLS

1. **Purchase Orders:** Purchase orders will be created for amounts greater than \$20,000, which require board approval prior to purchasing. Purchase orders may be issued for lower dollar amounts if requested by a department. The Accounts Payable Coordinator will create the purchase orders in the accounting system following board approval of a purchase. The purchase order is then sent to the Finance Director for review. A copy of the original purchase order is forwarded to the department making the purchase. The purchase order number must be included on all payment requests.
2. **Inspection and Testing:** The inspection and testing of delivered materials or equipment should occur at the time of delivery. Department Directors are responsible for ensuring that the quantity and quality of the delivered goods are as ordered and that all purchases made within their department are received and utilized solely for Village business. In the case of items for inventory or resale, Department Directors are responsible for maintaining an ongoing inventory record of such items. The Finance Department may review inventory records on a periodic basis and as part of the annual audit process.
3. **Internal Audits:** The Finance Department will conduct periodic audits of purchases. It shall be the responsibility of each Department Director to provide the Finance Department with the necessary information to verify any purchases chosen for an audit.
4. **External Audits:** The Village will engage an external public accounting firm to perform an annual audit of the financial statements. Such an audit will include an assessment of internal controls related to purchasing.
5. **Treasurer's Report:** The Village will produce an annual Treasurer's Report in accordance with State statutes, which includes all payments to vendors for the past year. The report will be reviewed to assess potential areas to increase purchasing efficiencies.
6. **Public Disclosures:** The Village will produce and publish other reports and disclosures related to payments and disbursements, which may be published on the Village website, hard copy available for public inspection or in another manner as required or allowed by law.
7. **Additional Policies:** Village Management will periodically review and revise additional policies related to purchasing including, but not limited to, uniforms, travel, and cell phones. Such policies may be implemented as administrative orders.


Mark Franz, Village Manager


Revision Date



Capital Improvements Commission

535 Duane Street
Glen Ellyn, IL 60137

Meeting: 03/13/18 07:00 PM

Department: Capital Improvements Commission

Department Head: Rich Daubert

Category: Discussion Item

Prepared By: Rich Daubert

SCHEDULED

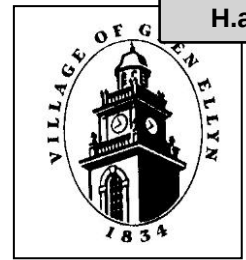
AGENDA ITEM (ID # 3176)

DOC ID: 3176

Monthly Construction Report

ATTACHMENTS:

- Monthly Construction Report 3-9-18 (DOC)



March 9, 2018

ENGINEERING DIVISION PROJECT ACTIVITY REPORT

CONSTRUCTION PROJECTS

2017 Major Construction Projects

KENILWORTH AVE / ALLEY IMPROVEMENTS – Contractor: A Lamp Concrete Contractors

(Project No. 16009; Value of Contract = \$1,315,000)

The contractor has completed punch list items including the installation of fire hydrant extensions, b-box repairs, and concrete maintenance work. The only remaining punch list item, a deficient sidewalk ramp, will be replaced in the spring. Staff will review the entire project area in the spring of 2018 prior to accepting the improvements.

2017 STREET RESURFACING – Contractor: Geneva Construction Company

(Project No. 17002; Value of Contract = \$2,060,000)

The resident engineer and staff inspected all areas, identified any deficiencies, and created a punch list. The contractor has completed the majority of punch list items with any remaining items to be addressed in the spring of 2018. Staff will review all project areas in the spring of 2018 prior to accepting the improvements.

2017 ROADWAY IMPROVEMENTS – Contractor: John Neri Construction Company

(Project No. 17004; Value of Contract = \$2,979,000)

The Contractor has substantially completed the project with the exception of paving deficiencies on East Road and Spring Road (at Smith) which will be addressed in the spring via milling and resurfacing of the roadways (at the Contractor's expense). Quantities are near final with project closeout to occur in the spring following resolution of the pavement deficiencies and any other items identified in a final inspection of the work.

Construction Projects in Closeout Phase:

HILL AVENUE BRIDGE REPLACEMENT – Contractor: Dunnet Bay Construction

(Project No. 16008; Value of IDOT Contract = \$1,550,000; Glen Ellyn Share = \$160,000)

The Village has received and is processing invoices from Lombard for construction and construction engineering for the project.

CRESCENT BOULEVARD RECONSTRUCTION – Contractor: Martam Construction

(Project No. 13002; Value of IDOT Contract = \$3,153,000; Local Share = \$1,480,000)

The engineer (ESI) continues to work on project documentation and closeout. Final quantities have been sent to the contractor with two pay items still under review. Final documentation in the form of the final balancing change order authorization has been drafted. Other various items pending completion include material approvals by IDOT and resolution of the Village's Liquidated Damage Claim against the Contractor.

Attachment: Monthly Construction Report 3-9-18 (3176 : Monthly Construction Report)

X-WALK IMPROVEMENTS AT IDOT INTERSECTIONS – Contractor: Hecker and Company

(Project No. 14007; Value of IDOT Contract = \$197,971; Local Share = \$65,000)

The engineer (James J. Benes & Associates) continues to work on project documentation and closeout. Final quantities have been approved by IDOT. The final balancing change order authorization has been submitted to IDOT. Closeout of the project is imminent with project reimbursement requests to be made immediately thereafter.

ENGINEERING PROJECTS**PARK BOULEVARD REHABILITATION – Engineer: Engineering Enterprises (EEI)**

(Project No. 13001)

The project ~~is currently being~~ was let by IDOT with ~~bids due at 10 am on Friday, March 9~~ bids received at 10 am on Friday, March 9. The apparent low bidder is R.W. Dunteman with a bid amount of ~\$2,945,000. While the individual pay items were not available for immediate review, the bids appear to be extremely favorable with the top 3 bids being well below the Engineer's Estimate which was \$3,371,589 at the time of the local agency agreement. A request for proposals for construction engineering oversight of the project was distributed to 7 engineering firms on February 28 with 5 proposals due to staff on March 9. ~~received on March 9 with staff review to follow immediately thereafter.~~

TAYLOR AVENUE PEDESTRIAN TUNNEL – Engineer: Alfred Benesch

(Project No. 15009)

The project is currently on track for the April 27th IDOT Letting. The private residence temporary easement agreement has been finalized, executed, and recorded with the County. The railroad agreement has also been finalized and executed with the Village and Union Pacific Railroad pursuing an alternate form of recording the agreement subject to IDOT's ongoing review of the proposition.

Staff assembled and submitted the complete package of required land acquisition documentation for both the private residence and railroad properties to IDOT. IDOT District 1 has approved the documentation with the understanding that the recording of the railroad agreement will be coming in the near term future. In summary, staff anticipates that IDOT will give its blessing for approval of the project to proceed to the April 27 letting in the coming week.

Activity	Schedule	Current Status
Finalize and Submit TS&L, PBDHR and SGR to IDOT & UPRR	April 15, 2016	Completed
Submit Final Project Design Report to IDOT	May 15, 2016	Completed
IDOT PDR Review	Complete June 2016	Completed
Address Comments, resubmit TS&L and Final PDR	February 2017	Completed
ICC Process	Feb – September 2017	Completed
Preliminary PS&E to IDOT	September 29, 2017	Completed
Staff Review	October 26, 2017	Completed
Final PS&E to IDOT	January 3, 2018	Completed
Easement Negotiation	March 5, 2018	Completed
UPRR C&M Agreement	March 5, 2018	Completed
ROW Certified	March 14, 2018	Completed
IDOT Letting	April 27, 2018	On Track

ROOSEVELT ROAD – ROUTE 53 WATER MAIN LINING – Engineer: Baxter & Woodman

(Project No. 16015)

~~Echologies is in the process of finalizing the report based on the data obtained during the field acoustical testing of the water mains completed in December. A draft report was submitted to the Village for review. The information obtained will assist with identifying the ultimate limits of water main rehabilitation. Engineering and utilities staff will meet in early March to discuss the results of the acoustical testing of the water mains to finalize the limits of , explore further evaluation options and repair plan. the rehabilitation project.~~

ROOSEVELT ROAD WATER MAIN REPLACEMENT (Nicoll to IL-53) – Engineer: ERA

(Project No. 13008)

The project was released for bidding on February 9 with nine Bid Proposals received and publically opened at 10 am on Friday, February 23. The lowest responsible bid was submitted by Swallow Construction Corporation in the amount of \$519,459.46. Staff prepared a recommendation which will be presented to the Village Board on March 12th to award a construction contract for the project to Swallow in the amount of \$535,000 (includes a ~3% contingency), along with a recommendation to award a construction engineering services agreement to Engineering Resources Associates (ERA) in the amount of \$58,250. IDOT has requested very minor revisions to the plans with resubmittal by the engineer and IDOT permitting of the work in the State ROW imminent.

BAKER HILL ACCESS IMPROVEMENTS – Engineer: James. J. Benes

(Project No. 16021)

The Engineer has submitted revised engineering drawings to IDOT for initial permit review. IDOT has indicated that its geometrics unit is currently reviewing the proposed improvements involving the construction a ¾ access (permitted movements of right turn in, left turn in, and right turn out) intersection at Roosevelt and Pershing. The project is still being reviewed by IDOT with no preliminary feedback having been received at this time.

2018 STREET RESURFACING – Engineer: In-House

(Project No. 18002)

SEECO Consultants, Inc. obtained pavement and soil samples along all sections of the project. Data received will be used to ~~come up develop with~~ an optimal pavement section design for the streets to be rehabilitated this year. Staff is working on design and drawing preparation for the project. It is anticipated that the project will be bid in late March.

CENTRAL BUSINESS DISTRICT PROJECTS**TRAIN STATION / PEDESTRIAN TUNNEL – Engineer: CDM Smith/KMI Architects**

(Project No. 16016)

The project team presented four project alternatives to the Village Board at the January, 2018 Village Board Workshop Meeting. The Village Board ultimately gave direction to proceed with completing Phase I Engineering for the alternative including construction of a new train station, pedestrian tunnel, and significant site improvements including drop-off/pick-up areas and general roadway improvements. Staff is working with the Engineer and Architect to complete Phase I Engineering by early 2019. In unison with the completion of Phase I Engineering, Village will

commence pursuit of grants to fund the project. The current rough order of magnitude cost estimate for the project is \$19M.

VEHICULAR OVER/UNDERPASS FEASIBILITY – Engineer: HDR

(Project No. 14006)

Village staff submitted an application to the Illinois Commerce Commission Grade Crossing Protection Fund in early March. Based on feedback from the ICC, the project would be very competitive with other applications and significant funding, up to \$12M, could be obtained for the project. However, the Village would need to commit to funding engineering and construction of the project with the aforementioned \$12M only funding a portion of the project. Based on a discussion with the Village Board, the project is currently on hold pending further evaluation of unfunded capital projects.

CBD UTILITY STUDY – Engineer: RJN Group/Michels Corp.

(Project No. 15006)

Flow monitoring of sanitary sewer mains will begin in mid-March by utilizing 7 strategically flow meters to measure the amount of flow handled by the sewers in the CBD.

The total number of building inspections completed to date is 106. RJN Group continues to work on assessing the infrastructure condition and reviewing the information gathered to date during the underground utility study in the Central Business District. The team has completed smoke testing of the sanitary sewers and approximately 95% of the utility structure inspections. Televising of approximately 95% of sewer mains and laterals is also complete at this time. Echologics completed field water main condition assessment and submitted a draft report for initial review. Remaining ongoing and pending items of work include televising, flow monitoring, dye flood testing, sewer dye testing, general mapping/GIS cleanup, and final reporting.

CBD ROADWAY AND STREETScape IMPROVEMENTS – Engineer: Pending

(Project No. 15006)

Staff ~~has~~ presented its review of the CBD surface infrastructure to the CIC at February 13 CIC Meeting and to the Village Board at the February 20 Board Workshop Meeting. The CIC provided recommendations on important project parameters ~~and~~ including the scope of improvements, schedule, funding, and procurement of a firm for the design work. The Village Board generally concurred with these recommendations and provided ~~a~~ specific direction to staff to procure engineering services for detailed design of the streetscape improvements. Preparation of ~~the an~~ RFP is underway with release of the document to design firms anticipated by mid-April.

PROCUREMENT OF GOODS AND SERVICES

Public Works seeks the best vendor prices for various annual municipal and utility maintenance and operations activities. This effort includes local bidding of projects or joint purchasing initiatives, including the Municipal Partnering Initiative (MPI), a consortium of DuPage County communities.

Project	Estimated Glen Ellyn Cost	Status
2017 Sidewalk and Concrete Roadway Repairs	\$215,000 (2017)	Mondi Construction performed the replacement of concrete curb, sidewalk, and street panels at 146 locations throughout the Village between August and November of this year. The contractor has been notified that punch list restorations will need to be addressed in early spring.
2018 Sidewalk and Concrete Roadway Repairs	\$500,000 (2018)	Candidate locations are under review. Extensive sidewalk and concrete roadway panel replacement is intended for this year's program. Staff is currently developing contract documents for an April bid advertisement.
2018 Lake Ellyn Park Sidewalk Improvements	\$250,000 (2018)	Project scope includes sidewalk along the south and east sides of Lake Ellyn, along Lenox Road in Lake Ellyn Park, and adjacent to the Glenbard West Parking Lot on the west side of Ellyn Avenue. Staff is currently developing contract documents for an April bid advertisement.
2018 Parking Lot Resurfacing and Asphalt Roadway Patching	\$275,000 (2018)	Project scope currently includes resurfacing the Main/Pennsylvania and Shock's Square Parking Lots. Roadway and Parking Lot patching throughout the Village will also be included. Staff is currently developing contract documents for a June bid advertisement.
2018 Pavement Markings	\$50,000 (2018)	Candidate locations are under review. Staff has submitted a recommendation memorandum to the Village Board to use the Suburban Purchasing Cooperative's contractor for this year's program. Award is anticipated at the March 12 th Board Meeting.
2018 Crack Sealing	\$25,000 (2018)	Candidate locations are under review. Staff is currently developing contract documents for a July bid advertisement.
2018 Asphalt Rejuvenation	\$85,000 (2018)	Candidate locations include streets that have been resurfaced one to three years prior. Staff will request a proposal from Corrective Asphalt materials prior to recommending a single source purchase award at the July 23 rd Board Meeting.
Annual Sewer	\$500,000 (2018)	Staff has developed contract documents. Televising of additional sewer

Lining		sections is required and has been requested to be complete by PW Utilities Division. Project will be bid as soon as all sewer video is received, reviewed and remaining sewer sections are included in the scope of the work.
Spoil Hauling and Delivery of Aggregates	\$52,200 (2017)	Marcott Enterprises is the contractor.

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