

**CITY OF PEORIA**  
**NOTICE OF REQUEST FOR QUALIFICATIONS (RFQ):**

**COMBINED SEWER SYSTEM FLOW MONITORING**  
**PEORIA, ILLINOIS**

**STATEMENTS DUE: 11:00 AM THURSDAY, MARCH 31, 2022**

The City of Peoria invites qualified flow monitoring firms (firm) to submit their Qualifications to perform combined sewer system flow monitoring. The goal of this project is to monitor flows in the City's combined sewer system and at combined sewer overflow (CSO) outfalls to evaluate system flows and comply with the monitoring requirements in the City's CSO Consent Decree (CD). The City of Peoria's Engineering Division will accept sealed proposals submitted to the Office of the City Engineer, 3505 N Dries Lane, Peoria, Illinois, until **11:00 a.m., Thursday, March 31, 2022**, for establishing a contract with a qualified firm.

Time is of the essence and any Statement of Interest and Qualifications received after the announced time and date for submittal, whether by mail or otherwise, will be rejected. Firms are responsible for ensuring that the Office of the City Engineer receives their Statements before the deadline indicated. Statements received after the announced time and date of receipt, by mail or otherwise, will be returned unopened. Firms should submit **five (5) hard copies and one (1) electronic copy** of a Statement of Interest and Qualifications.

**COMBINED SEWER SYSTEM FLOW MONITORING**

**1.0 INTRODUCTION**

The City of Peoria requires flow monitoring services to monitor flows in the City's combined sewer system as part of its CSO control program. Over the next 18 years, the City will be designing and constructing CSO remedial measures to reduce CSOs and maintain compliance with its CSO CD. Flow monitoring and rainfall data are required for the design and post-construction performance evaluation of CSO control projects, CSO outfall volume reporting, CSO CD interim milestone reporting, and maintaining the City's hydrologic and hydraulic (H&H) model. Firms submitting qualifications must demonstrate extensive experience monitoring combined sewer systems and CSO outfall discharges.

The City plans to award a contract for these services to the best-qualified firm. Each firm will be considered and ranked by a Selection Committee based upon the criteria listed herein. The City will then enter into negotiations with the top-ranked firm(s). The negotiations will be to establish a detailed scope of services and total cost for services.

This process does not obligate the City to award a contract, or pay any cost incurred in the preparation of the firms responding to this request. The City reserves the right to accept or reject any or all statements received as a result of this request. All information submitted in response to this request will become the property of the City.

Please be aware that it is the City's policy to not compensate a consultant for any time or expenses incurred during the selection and negotiation processes.

## **2.0 PROJECT DESCRIPTION**

### **2.1 PROJECT NEED, PURPOSE AND OBJECTIVE**

The City of Peoria has a combined sewer system with 16 permitted combined sewer outfalls. The City entered into a CSO CD with U.S. EPA and Illinois EPA (IEPA) to implement a CSO control program to reduce CSO discharges over the next 18 years. Flow monitoring is an integral part of this CSO control program with flow data used for the design and verification of constructed CSO control projects. Flow monitoring is also required to report CSO outfall discharge volumes, in accordance with the CSO CD. Flow data will be used for the following tasks.

1. Reporting CSO discharges and volumes;
2. Design of CSO control projects;
3. Calculation of CSO Individual Event reduction and CSO Volume reduction for the CSO Annual Reports and Interim Performance Criteria Reports as required per the CD;
4. Track changes to total collection system flows over time allowing for installed project performance assessment and adaptive management;
5. Calibration and verification of the City's H&H model; and
6. Verification of the performance of upgraded collection system components and CSO remedial measures.

Rainfall data will be collected and used for:

1. Determination which storm events are larger than the City's Design Storm and therefore excluded from the Interim Performance Criteria Analysis per the CD;
2. Calibration and verification of the City's H&H model; and
3. Evaluation of progress towards compliance with the CSO control Final Performance Criteria.

### **2.2 PROJECT COMPONENTS**

The scope of services includes the following:

#### **A. Monitoring Equipment and Installation**

##### A.1. Monitoring Equipment

The firm shall furnish, install and maintain on an ongoing basis, all equipment necessary to monitor, detect, analyze, transmit, and host flow and rainfall data.

Flow monitor types will include level and area/velocity flow meters. All meters shall have a malfunction alarm. Rain gauges shall be tipping bucket type and have a resolution of 0.01 inches. Flow measurements and precipitation data shall be collected at 5-minute intervals.

The firm shall maintain ownership of all monitoring equipment and shall replace on an as-needed basis any components that have failed in service, provide unreliable service, or are likely to fail due to age, obsolescence or any other known reason.

##### A.2 Equipment Installation

The program will consist of approximately 35 to 45 flow monitors and 9 rain gauges to be installed at locations determined by the City. The flow monitors will be installed at locations to determine CSO discharge volume at 16 outfalls, monitor regulator inflows, and perform pre- and post-construction monitoring. The locations of the meters may be changed over time and additional monitoring locations may be added at the direction of the City.

The firm shall install the flow and rainfall monitoring equipment within 30 days of the City providing monitoring locations. A preliminary site inspection shall be performed by physically entering the monitoring structure to confirm suitability for meter installation and collection of flow data. If the firm determines that any of the designated locations are not well suited for the intended installations, they shall notify the City of any known deficiencies and shall assist the City in identifying alternative locations. The firm is responsible for onsite measurements such as pipe geometry and slope, and shall provide Monitor Installation Documentation for each site, as described in Section 2.2.2.

## **B. Maintenance and Repair**

The firm shall perform the field services and maintenance necessary to achieve a 95% meter uptime and high-quality reliable data. Uptime is defined as number of valid 5-minute flow or rainfall data points divided by total number of possible 5-minute intervals in the month. The firm shall perform remote and onsite diagnostic inspection of all equipment on an ongoing basis to monitor meter performance and verify proper operation.

### B.1 Maintenance

The firm shall conduct preventative maintenance and calibration service on all flow meters in accordance with the manufacturer's recommended maintenance and calibration program. The equipment maintenance schedule shall include a quarterly site visit. Regularly scheduled proactive maintenance activities shall include, at a minimum, the following:

1. Cleaning and calibrating sensors
2. Installing software upgrades
3. Replacing sensor, battery, and desiccant
4. Measuring silt levels
5. Checking clock for accuracy
6. Detecting and correcting communication link failures
7. Adjusting, repairing, or replacing mounting hardware for the meters or sensors

The firm shall provide Monthly Maintenance, Repair and Calibration Reports to the City, as described in Section 2.2.2.

### B.2 Repair

The firm shall field investigate any malfunctioning flow or rainfall monitor or communication equipment within 2 business days of identifying a problem by the firm's data analyst. Firm shall repair or replace any malfunctioning equipment to restore full operability within 3 business days of the initial field investigation.

If any equipment must be removed from the site for repair, the firm shall install a temporary substitute flow or rainfall monitoring equipment to continue data gathering until the original equipment is repaired and reinstalled or replaced.

The firm shall maintain a repair and maintenance log noting dates of malfunctions, repair/replacement actions and date meter returned to service or determined to be in need of replacement. This information shall be included in the maintenance, repair and calibration reports provided to the City on a monthly basis as described in Section 2.2.2.

## **C. Data Review, Analysis, and Reporting**

### C.1 Data Review

The firm shall provide qualified and experienced data analysts to regularly monitor the data to ensure the high data quality and uptime requirements are achieved. The firm's data analyst shall verify regular daily patterns in free flow and reasonable depths and velocities for the site. The data analyst shall visually review the data daily for indications of sensor or flow obstruction and monitor or data issues that may require service, including the following:

1. Data anomalies
2. Communications link failures
3. Battery status
4. Alarm status

Maintenance and repair needs shall be identified, and service requests issued to field personnel within 24 hours of the initial data review.

### C.2 Analysis and Reporting

Within 30 days of the end of the month, qualified and experienced data analysts shall complete a QA/QC review of all data for the previous month and perform analytical tasks necessary to cleanup data spikes, address data drift, calculate flow components, evaluate flow mass balancing to determine reasonableness of upstream versus downstream meters, analyze scattergraphs compared to the Manning's Equation, and other analysis related to providing high-quality reliable data. The data analyst shall edit the raw data to remove data spikes, resolve data anomalies, and compensate for gaps in the collected data. Data edits shall be clearly documented. The firm shall provide the City both the final, edited data (depth, velocity, flow, rainfall) and the raw, unedited data (depth, velocity, flow, rainfall).

The firm shall provide the City Monthly Data and Summary Reports, as described in Section 2.2.2. The monthly reports are due by the 1st of each month for the previous month.

## **D. Web-Based Data Platform, Access, and Notifications**

### D.1 Web-Based Data Platform

The firm shall provide a web-based platform for flow monitoring data. The firm shall install all remote access equipment and ensure it is operational. All software to communicate with the equipment shall be provided by the firm and all charges for wireless service shall be paid by the firm. The firm shall perform the initial configuration of the system, and shall train the City to view, analyze and export data, and to configure alarm levels to respond to changes in the combined sewer system environment.

### D.2 Web-Based Data Access

The 5-minute flow, level, velocity, and rainfall data shall be available in near real-time via a web-based data platform. The web-based platform shall allow the City to view, analyze, and export project data. Data and reports shall be available on demand 24/7 via the platform and shall include the following:

1. Hydrographs of raw and final depth, velocity, and flow for each site
2. Scattergraphs for each site
3. Rainfall hyetographs for each site
4. Tabular depth, velocity, flow, and rainfall data in 5-minute interval form
5. Site equipment specs/details
6. All previously submitted deliverables

### D.3 Notifications

The web-based service shall transmit text-message and email alarms to designated staff when CSO outfall monitoring sites exceed predetermined parameters for depth or flow that indicate an overflow is occurring.

#### **2.2.1 MEETINGS, PRESENTATIONS, PUBLIC INVOLVEMENT, AND REPORTS**

An initial kick off meeting, monthly data review meetings, and various project status update meetings will be required. Meetings may be virtual. Presentations to City Council may be required.

#### **2.2.2 DELIVERABLE PRODUCTS**

The selected firm shall provide all deliverable products to the CSO Program Manager for approval and dissemination. Web-based access to deliverables will be required. Hard copies of selected information shall be provided upon request from the City.

Deliverables include:

1. Monitor Installation Documentation for each site including:
  - a. Location map with address
  - b. Pipe dimensions and geometry
  - c. Manhole number or ID
  - d. Flow channel condition
  - e. Manhole layout
  - f. Meter make and model
  - g. Site hydraulics and siltation
  - h. Meter and sensor location
  - i. Traffic control requirements
  - j. Site photographs including the meter installation
2. Monthly Maintenance, Repair and Calibration Report including:
  - a. Dates and times of service for each meter
  - b. Description of services performed for each meter
  - c. Summary of problems detected at each meter location including date of malfunction, corrective action taken to repair the malfunctioning part, and initial date meter returned to service or determined to be in need of replacement
  - d. Calibration records
  - e. Field conditions notes
3. Monthly Data and Summary Report no later than 30 days after the collected month of data. This shall include the following information for each site:
  - a. Raw, unedited 5-minute data
  - b. Finalized, QA/QC-reviewed 5-minute data
  - c. Uptime report
  - d. Chart of depth versus velocity (scattergraph)
  - e. Data quality rating
  - f. Brief narrative on the data quality, data editing notes, data review comments, corrective actions, etc.
4. Prepare, or provide City capability to prepare, graphs, logs, reports, and other documents City may request in support of CD compliance.

**2.2.3 PROVISIONS BY THE CITY OF PEORIA**

The City of Peoria will provide the following information to the selected firm:

1. Aerial photography and topography in an electronic format.
2. ROW information available through the City of Peoria records including recent acquisitions.
3. Available GIS information.
4. Maps showing designated flow monitoring locations.
5. Designation of a person from the engineering staff to act as the City’s project manager with respect to the two-way flow of information and for the purposes of having direct access to staff’s knowledge base. Such person shall have the authority to transmit instructions, receive information, interpret and define existing City policy and decisions with respect to materials, equipment, and systems pertinent to the consultant services. However, the concurrence and authorization to begin any and all phases of this project shall reside with the City Engineer.
6. Annual Work Order(s).

**2.3 PROJECT SCHEDULE**

Selection will be made according to the following table:

RFQs advertised in newspaper.....	March 7 – March 8, 2022
Due date for Statement of Interest and Qualifications at 11:00 A.M.....	March 31, 2022
Committee informs highest ranked firm(s) and begins negotiations .....	April 14, 2022
Contract submitted to Council Agenda process .....	April 26, 2022
City Council Meeting at which Contract is Recommended for Approval .....	May 10, 2022
Notice to Proceed Sent to Approved Firm .....	May 24, 2022
Work begins.....	June 1, 2022

**2.3.1 PROJECT DURATION**

The City anticipates authorizing a multi-year agreement. Each year, City Engineering staff will issue a work order for that year’s work. The City reserves the right to cancel a work order or not issue the next year’s work order. If possible, the City will give up to 90 days’ notice to the firm.

**2.4 EXPECTED PROBLEMS**

Flow monitoring will be required at various points in the combined sewer system in a range of pipe sizes and configurations. Locations include streetside collection, overflow regulator structures, and outfall pipes to the Illinois River. The selected firm must be capable of providing accurate flow data for all monitored locations under varying flow conditions and river levels.

**2.5 ESTIMATED BUDGET**

The total dollar value for the flow monitoring program will vary depending on the number of meters installed. It is anticipated that annual budgets will range from \$400,000 to \$500,000. Public Works will issue annual work orders for the flow monitoring work. A portion of this project is anticipated to be funded in part through a loan from the Illinois EPA.

**3.0 PUBLIC NOTICE**

The notice of Public Advertisement for Combined Sewer System Flow Monitoring will appear in the local Peoria Journal Star newspaper, posted to the City of Peoria’s Webpage ([www.peoriagov.org](http://www.peoriagov.org)), and posted to the City of Peoria’s e-alerts notification system on March 7 and March 8, 2022. The advertisement will allow 21 calendar days’ notice until all proposals are due on Thursday, March 31, 2022, at 11:00 a.m.

#### **4.0 CONFLICT OF INTEREST**

Submit a disclosure statement with the response. The disclosure statement shall be the IDOT BDE DISC 2 template. See attached.

#### **5.0 SUSPENSION AND DEBARMENT**

Peoria uses SAM Exclusions, IDOT's CPO's website and the three other state CPO's website to verify suspensions and debarments. Submittals will be returned without being evaluated for vendors that are suspended or disbarred.

#### **6.0 EVALUATIONS OF QUALIFICATIONS**

Firms are to submit a written Statement of Interest and Qualification which presents the firm's qualifications and understanding of the work to be performed. Selection criteria will include, but will not be limited to, qualifications, comparable recent experience, utilization of local professionals, knowledge of local requirements, policies and procedures, implementation of EEO requirements, capacity to perform work in the allotted time, and overall approach to the project. Firms interested in submitting should have recent specific experience with this type of project. Firms must be able to clearly demonstrate extensive experience measuring sewer system flows and CSO outfall discharge volumes over a multi-year period for locations similar to the city of Peoria.

The submission should include:

1. Name, size and brief description of the firm, including the same information for any proposed subconsultants. If subconsultants are anticipated, describe the role proposed for each firm or consultant involved in the project, and the approximate percentage of work assigned to each.
2. Location of offices for the firm and for proposed subconsultants, and the office location responsible for managing the project.
3. Name, address and phone number of a contact person responsible for and knowledgeable of the submittal.
4. Resumes of key personnel anticipated being available for this project, including an organizational chart showing their proposed role on the project and firm affiliation (if more than one firm is involved).
5. Descriptions of similar CSO monitoring experience and client name for each project for each firm or subconsultant proposed for this project. Prior experience should include:
  - a. A description of the overflow analysis performed and whether the firm was responsible for the monitoring.
  - b. Monitoring challenges encountered during the project and how the challenges were addressed.
  - c. Dates, duration, and number of meters installed.
  - d. Web hosting of real time and historical data and deliverable reports provided to client.
6. Names and contact information of at least three (3) references from previous clients on similar projects.
7. A brief summary of any specialized experience, qualifications or unique capabilities applicable to this project that you feel is important to the success of the project (please review the selection criteria included in Section 7).
8. A project approach with emphasis on data quality and reliability, especially for CSO outfall flows.
9. Form BDE DISC Template, adjusted for City of Peoria, attached to this solicitation.

Offerors will need to address each of the evaluation criteria set forth in Section 7 carefully and thoroughly, as all submittals will be ranked on a point value system. The evaluation will be based upon a head-to-head comparison with the other firms submitting.

The selection will be based on the following:

1. Scored Statement of Interest and Qualifications.
2. The City reserves the right to interview, if necessary, after reviewing the written submittals.

#### **6.1 SUBMITTAL FORMAT**

The submittal should be as concise as possible. Limit submittals to a maximum of eight (8) pages, not including personnel resumes. Additional, promotional information should be avoided. **Five (5) hard copies and one (1) electronic copy of the submittal will be required.**

#### **7.0 EVALUATION FACTORS**

##### **A) Technical Approach (25%):**

- a. Approach to the planning, organizing and management of the project
- b. Project Understanding
- c. Innovative methods for obtaining consistent, quality data at unique monitoring locations including regulator structures and CSO outfalls
- d. Communication Plan
- e. Approach for high quality and reliable monitoring data including at outfalls
- f. Description of web-based reporting system for City access to flow data, reports, and documentation

##### **B) Firm Experience (20%):**

- a. Qualifications and experience of the firm and sub-consultants (if any)
- b. Descriptions of similar projects
- c. Contact information for three references for the firm and sub-consultants (if any)

##### **C) Specialized Expertise (20%):**

- a. Description of specialized expertise needed for the project and who will provide it

##### **D) Staff Capabilities (15%):**

- a. Qualifications and experience of the key team member(s)
- b. Qualifications and experience of team members

##### **E) Work Load Capacity (10%):**

- a. Ability to meet deadlines and provide resources for the project efficiently and effectively
- b. Present and anticipated future commitments of key staff expected to be assigned to this project

##### **F) Other (10%):**

- a. Location of offices for the firm and sub-consultants, and the office location responsible for managing the project
- a. Commitment to EEO goals
- b. Quality of the proposal

#### **8.0 SELECTION PROCEDURE**

Each criterion in the evaluation will be ranked on a scale of 1 to 10, where 10 equals the highest ranking of submittals received. A rank of 10 for any criterion indicates the most qualified firm for that criterion. Each

numerical ranking will be multiplied by the weighted value below. A total point value for each submittal will be determined by the composite evaluation of the Selection Committee. The firm with the highest overall point total will be ranked first.

<u>Criteria</u>	<u>Weight</u>	<u>Rank</u>	<u>Total</u>
Technical Approach	25	10	250
Firm Experience	20	10	200
Specialized Expertise	20	10	200
Staff Capabilities	15	10	150
Workload Capacity	10	10	100
Other	10	10	100
Total Maximum Points			1,000

**NOTE:** Total Maximum Points Possible assumes that a firm receives a best rank of 10 on all criteria.

The Selection Committee will determine the best qualified firm by consensus. The City reserves the right to waive all technicalities and to reject any or all Statements of Interest and Qualifications.

**9.0 INVOICES AND PAYMENT**

The firm shall submit invoices at the end of each calendar month; such statements shall be inclusive of a detailed breakdown of all charges incurred. The City and firm will work together to determine the format.

Invoices shall be accompanied by the monthly reports described in Section 2.2. The invoices will not be considered complete without the reports, and will be deemed unpayable. The progress report will be inclusive of rates of completion for all tasks scoped and for rates of completion for all deliverable products.

**10.0 EEO**

To be awarded a contract, all Suppliers, Vendors, and Contactors to the City of Peoria must be registered in the City of Peoria’s Contract Compliance Program and have a current EEO Certification number. The City’s EEO program is unrelated to any State and Federal program.

The number is secured by completing and submitting, under notary seal, an Employer report form CC-1 (with required sexual harassment policy attached) to the City’s Equal Opportunity Office. Please note that the Certificate of Compliance is valid for one year and must be annually renewed. The form may be request on-line from the City’s website ([www.peoriagov.org](http://www.peoriagov.org)). Click on Government, Equal Opportunity, Equal Opportunity – Forms and Downloads, then select “Employer Report CC-1”. The forms can also be obtained by writing or calling:

City of Peoria  
 Equal Opportunity Office  
 419 Fulton Street  
 Peoria, IL 61602  
 (309) 494-8530 Voice  
 (309) 494-8532 TTY

In accordance with Chapter 17 of the Peoria Municipal Code, a fifty-dollar (**\$50.00**) processing fee will be charged with each original submission of the Employer Report Form CC-1 that results in an approved certificate as well as the Annual Renewal Application. The only exception to payment of the processing fee is neighborhood associations.

**Although all vendors are encouraged to obtain Equal Employment Opportunity Certification, vendors do not need an Equal Opportunity Certification to respond to a submittal. The EEO Certification Number is only required prior to the award of the contract.**

**EEO CERTIFICATION\*** (Check one):

\_\_\_\_\_ We are presently applying for the EEO Certification. Employer Report Form (Form CC-1) is completed and enclosed.

\_\_\_\_\_ Presently, we have the Employer Report Form (Form CC-1) on file with the City of Peoria, Office of Equal Opportunity and have a current Certificate of Compliance Number.

Certificate of Compliance Number: \_\_\_\_\_

*\*Please note there is a \$50.00 processing fee for new and renewal certification requests.*

#### **10.1 SUBCONSULTANT UTILIZATION**

The City of Peoria and IEPA are committed to promoting equal opportunity and has established the following sub-consultant utilization goals for City and IEPA funded projects: 10% MBE and 12% WBE. The selected firm will have an obligation to make a good faith effort to advance the commitment to increase diversity among the firms working on City projects.

#### **11.0 EMPLOYEE/EMPLOYMENT RESTRICTIONS- THE CONSULTANT:**

THE CONSULTANT, (hereinafter referred to as "SERVICE PROVIDER") agrees, as a condition of accepting this contract with the City of Peoria, that, for a period of one (1) year following completion of this contract, it shall be prohibited from hiring, directly or indirectly, any City employee or official who was involved, directly or indirectly in: (1) the selection and/or recommendation to select the SERVICE PROVIDER for performance of this contract; (2) coordinating the efforts of the SERVICE PROVIDER in the consummation or completion of this contract; or (3) monitoring or determining the performance of the SERVICE PROVIDER. The SERVICE PROVIDER further acknowledges and agrees that, upon the City's determination that a violation of this provision has occurred, the penalty imposed, at the sole discretion of the City, may include one or more of the following: (1) cancellation of any other contract(s) between the City of Peoria and the SERVICE PROVIDER; (2) disqualification of the SERVICE PROVIDER from bidding or being awarded future contracts with the City of Peoria for a period of two [2] years; and/or (3) payment of liquidated damages to the City of Peoria in the amount of TWENTY FIVE THOUSAND DOLLARS (\$25,000.00). *This does not apply to any City Employee involved in the 2011-12 reduction in force; nor does it apply to parties taking the Early Retirement Incentive offered by the City from November 1, 2011 through November 1, 2012. This section shall not apply to any City Employee involved in the 2018-2019 reduction in force, furlough or early retirement incentive offered by the city within 2018-2019. This section shall not apply to City Employee involved in the 2020-2021 reduction in force, furlough or early retirement incentive offered by the city within 2020-2021. For more information see Ordinance Section 2-342 Procurement; revolving door prohibition.*

## **12.0 OMISSION OF SCOPE**

Please indicate if you believe a major item(s) is (are) missing from scope of services outlined in RFQ.

## **13.0 QUESTIONS**

All information regarding the project is contained within the contents of this request. Questions or comments regarding the request or the administrative process should be submitted by Friday, March 18, 2022, at 12:00 p.m. (noon) via email to Senior Administrative Assistant, Vanessa Altpeter at [valtpeter@peoriagov.org](mailto:valtpeter@peoriagov.org). Technical questions should be submitted by Friday, March 18, 2022, at 12:00 p.m. (noon) via email to Kyla Dean at [kdean@peoriagov.org](mailto:kdean@peoriagov.org).



**Consultant's Disclosure Statement**  
**RETURN WITH STATEMENT OF INTEREST**

**City of Peoria**

PTB #: \_\_\_\_\_

Consultant Name	
Legal Address	
City, State, Zip	
Telephone Number	Email Address

The telephone number and email address supplied above must be a contact readily available if the City of Peoria Illinois Department of Transportation (IDOT) has questions.

The disclosures hereinafter made by the firm are each a material representation of fact upon which reliance is placed should the City of Peoria IDOT enter into the contract with the firm. The firm further certifies that the City Department has received the disclosure forms for each Statement of Interest.

Section 50-35 of the Illinois Procurement Code provides that all offers of more than \$50,000 and all subconsultant agreements with an annual value of more than \$50,000 shall be accompanied by disclosure of the financial interests of the firm. This disclosed information for the successful firm will be maintained and subject to release by request pursuant to the Freedom of Information Act, filed with the Procurement Policy Board, and shall be incorporated as a material term of the contract. Furthermore, pursuant to Section 5-5, the Procurement Policy Board may review a proposal, bid, or contract and issue a recommendation to void a contract or reject a proposal or bid based on any violation of the Procurement Code or the existence of a conflict of interest as provided in subsections (b) and (d) of Section 50-35.

**Prime Consultant's Responsibility**

The City of Peoria IDOT Chief Procurement Officer (CPO) may void the offer or contract if it is later determined that the prime or subconsultant rendered a false or erroneous disclosure. A prime consultant or subconsultant may be suspended or debarred for violations of the Procurement Code. If a false certification is made by the subconsultant, then the prime consultant's submitted offer and the executed contract may not be declared void, unless the prime consultant refuses to terminate the subconsultant upon the State's request after a finding that the subconsultant's certification was false.

**Instructions**

The following packet includes three sections that must be completed and returned with the Statement of Interest, or the firm may be considered nonresponsive and the Statement of Interest will not be accepted:

1. Qualifying Questions for Form A,
2. Form A: Financial Information & Potential Conflicts of Interest Disclosure, and
3. Form B: Other Contracts & Procurement-Related Information Disclosure.

Form A and Form B must be signed and dated by a person that is authorized to execute contracts for your organization. Photocopied or stamped signatures are not acceptable. The person signing can be, but does not have to be, the person for which the form is being completed. The firm is responsible for the accuracy of any information provided.

Checking the NOT APPLICABLE STATEMENT on Form A does not allow the firm to ignore Form B. Form B must be completed, checked, and dated.

City of Peoria

**Form A: Financial Information & Potential Conflicts of Interest Disclosure**

Form A pertains to the individuals meeting the ownership or distributive share requirements as stated below.

The financial interests to be disclosed shall include:

- Any ownership or distributive income share that is in excess of 5% or an amount greater than 60% of the annual salary of the Governor, of the offering entity or its parent entity, whichever is less, **the current annual salary of the Governor is \$177,412.00.**
- If the firm is owned by an Employee Stock Ownership Plan (ESOP) please check the appropriate box on Form A and provide the % of ownership.
- If the firm is a publicly traded entity subject to Federal 10K reporting, in which case it may submit its 10K disclosure in place of the prescribed disclosure.
- If the firm is a privately held entity that is exempt from Federal 10K reporting, but has more than 100 shareholders, it may submit the information that Federal 10K companies are required to report and list the names of any person or entity holding any ownership share that is in excess of 5%.
  - *If this is true for your firm, check "Other" box on Form A and designate the firm is a 10K and supply the 10K documents as additional attachments within the disclosure.*
- The names, addresses, and dollar or proportionate share of ownership of each person making the disclosure, their instrument of ownership or beneficial relationship, and notice of any potential conflict of interest resulting from the current ownership or beneficial interest of each person making the disclosure having any of the relationships identified in Section 50-35 and on the disclosure form.

A button is supplied on Form A called "Add another Form A", which once clicked will copy Form A. Click the button as many times as you need to identify individuals who meet the above criteria.

If your firm has over 50 pages of Form A's, please provide a summary of the disclosures at the end of Form B as an attachment.

Additionally, if your firm has an abundance of individuals with the same Form A information, you can fill out one (1) Form A and provide an attached listing of those individuals to save time.

**Form B: Other Contracts & Procurement-Related Information Disclosure**

The firm shall identify, by checking "Yes" or "No" on Form B any other current or pending contracts, proposals, leases, or other ongoing procurement relationships the offering entity has with the City of Peoria IDOT and ~~any other unit of state government~~ and shall clearly identify the unit and the contract, proposal, lease, or other relationships.

If "Yes" is checked, the firm must identify each such relationship by listing the ~~State of Illinois~~ agency name and other descriptive information such as project number, title, contract, etc.

If "No" is checked, the firm only needs to check the box, sign and date at the bottom of Form B.

City of Peoria

**Qualifying Questions for Form A**

The following six questions *must* be answered in order to determine how Form A is to be completed. Answer all six questions before going on to Form A.

**Ownership Certification**

The following clarifies the ownership structure of your firm for IDOT's review.

	Yes	No
1. Is your firm a Subsidiary and owned by a Parent entity(ies)?	<input type="checkbox"/>	<input type="checkbox"/>
If your answer is "Yes", please disclose the Parent entity(ies) on Form A.		
2. Will the individuals that will be submitted on Form A equal 100% ownership?	<input type="checkbox"/>	<input type="checkbox"/>
If your answer is "No", please verify by answering the following question.		
a) Is any of the remaining ownership held by individuals receiving or holding less than 5% of the offering entity's or parent entity's total distributive income, or less than 60% of the annual salary of the Governor? <i>(If you feel the answer is No, please add an explanation.)</i>	<input type="checkbox"/>	<input type="checkbox"/>

**Identifying Financial Information & Potential Conflicts of Interest**

	Yes	No
3. Does anyone in your organization have a direct or beneficial ownership share of greater than 5% of the offering entity or parent entity?	<input type="checkbox"/>	<input type="checkbox"/>
4. Does anyone in your organization have a direct or beneficial ownership share of less than 5%, but which has a value greater than 60% of the annual salary of the Governor?	<input type="checkbox"/>	<input type="checkbox"/>
5. Does anyone in your organization receive more than 60% of the annual salary of the Governor of the offering entity's or parent entity's distributive income? (Note: Distributive income is, for these purposes, any type of distribution of profits. An annual salary is not distributive income.)	<input type="checkbox"/>	<input type="checkbox"/>
6. Does anyone in your organization receive greater than 5% of the offering entity's or parent entity's total distributive income, but which is less than 60% of the annual salary of the Governor?	<input type="checkbox"/>	<input type="checkbox"/>

If the answer to questions 2 – 6 are "Yes", the completion of Form A is required, and the APPLICABLE STATEMENT *must* be signed and dated.

If the answer to questions 2 - 6 are "No", then the NOT APPLICABLE STATEMENT of Form A *must* be signed and dated.



Add another Form A

City of Peoria

Form A: Financial Information & Potential Conflicts of Interest Disclosure

Disclosure of the information contained in this form is required by Section 50-35 of the Illinois Procurement Code (30 ILCS 500). Firms desiring to enter into a contract with the City of Peoria State of Illinois must disclose the financial information and potential conflict of interest information as specified in this Disclosure Form.

Disclosure of Financial Information

The individual named below has an interest in the FIRM (or its Parent) in terms of ownership or distributive income share that is in excess of 5%, or an interest which has a value of more than 60% of the annual salary of the Governor.

FOR INDIVIDUAL
Name:
Address:
Stock with % or \$ value of ownership/distributable income share:
Employee Stock Ownership Plan (ESOP):
Other (explain):

Disclosure of Potential Conflicts of Interest

Firm must check "Yes" or "No" to indicate which, if any, of the following potential conflict of interest relationships apply. If the answer to any question is "Yes", please describe and attach additional pages if needed.

Table with 3 columns: Question, Yes, No. Contains questions about City of Peoria State employment, spouse, father, mother, son, or daughter, including contractual employment services.



**Consultant's Disclosure Statement**  
**RETURN WITH STATEMENT OF INTEREST**

**City of Peoria**

	Yes	No
a) Is your spouse or any minor children currently an officer or employee of the <u>City of Peoria Capital Development Board</u> or the <u>Illinois State Toll Highway Authority</u> ?	<input type="checkbox"/>	<input type="checkbox"/>
b) Is your spouse or any minor children currently appointed to or employed by <u>the City of Peoria</u> <del>any agency of the State of Illinois?</del> If your spouse or minor children is/are currently appointed to or employed by <u>the City of Peoria</u> <del>any agency of the State of Illinois</del> , and his/her annual salary exceeds 60% of the annual salary of the Governor, provide the name of your spouse and/or minor children, the name of the state agency for which he/she is employed and his/her annual salary.	<input type="checkbox"/>	<input type="checkbox"/>
c) If your spouse or any minor children is/are currently appointed to or employed by <u>the City of Peoria</u> <del>any agency of the State of Illinois</del> , and his/her annual salary exceeds 60% of the annual salary of the Governor, are you entitled to receive (i) more than 7 ½% of the total distributable income of your firm, partnership, association or corporation, or (ii) an amount in excess of 100% of the annual salary of the Governor?	<input type="checkbox"/>	<input type="checkbox"/>
d) If your spouse or any minor children are currently appointed to or employed by <u>the City of Peoria</u> <del>any agency of the State of Illinois</del> , and his/her annual salary exceeds 60% of the annual salary of the Governor, are you and your spouse or minor children entitled to receive (i) more than 15% in the aggregate of the total distributable income of your firm, partnership, association or corporation, or (ii) an amount in excess of two times the salary of the Governor?	<input type="checkbox"/>	<input type="checkbox"/>
3. <b>Elective status:</b> the holding of elective office of the State of Illinois, the government of the United States, any unit of local government authorized by the Constitution of the State of Illinois or the statutes of the State of Illinois currently or in the previous three years?	<input type="checkbox"/>	<input type="checkbox"/>
4. Relationship to anyone holding elective office currently or in the previous two years: spouse, father, mother, son or daughter?	<input type="checkbox"/>	<input type="checkbox"/>
5. <b>Appointive office:</b> the holding of any appointive government office of the State of Illinois, the United States of America, or any unit of local government authorized by the Constitution of the State of Illinois or the statutes of the State of Illinois, which office entitles the holder to compensation in excess of the expenses incurred in the discharge of that office currently or in the previous three years?	<input type="checkbox"/>	<input type="checkbox"/>
6. Relationship to anyone holding appointive office currently or in the previous two years: spouse, father, mother, son or daughter?	<input type="checkbox"/>	<input type="checkbox"/>
7. Employment, currently or in the previous three years, as or by any registered lobbyist of the state government?	<input type="checkbox"/>	<input type="checkbox"/>
8. Relationship to anyone who is or was a registered lobbyist in the previous two years: spouse, father, mother, son, or daughter?	<input type="checkbox"/>	<input type="checkbox"/>
9. Compensated employment, currently or in the previous three years, by any registered election or re-election committee registered with the Secretary of State or any county clerk of the State of Illinois, or any political action committee registered with either the Secretary of State or the Federal Board of Elections?	<input type="checkbox"/>	<input type="checkbox"/>



Consultant's Disclosure Statement
RETURN WITH STATEMENT OF INTEREST

City of Peoria

10. Relationship to anyone; spouse, father, mother, son, or daughter; who was a compensated employee in the last two years by any registered election or re-election committee registered with the Secretary of State or any county clerk of the State of Illinois, or any political action committee registered with either the Secretary of State or the Federal Board of Elections?
11. Communication Disclosure. Disclose the name and address of each lobbyist and other agent of the firm or offeror who is not identified in Form A, who has communicated, is communicating, or may communicate, with any state officer or employee concerning the statement of interest, bid or offer. This disclosure is a continuing obligation and must be promptly supplemented for accuracy throughout the process and throughout the term of the contract. If your firm uses (lobbyist firm), lobbyists that were either hired to work on this specific SOI, bid or offer OR to assist your firm with this PTB, then answer Yes and indicate specifics, else please mark No.
If yes, supply name and address of person(s) and firm name below and:
a) Disclose all lobbyist costs, fees, compensation, reimbursements, or other remunerations paid, or to be paid related to this PTB Item.
b) Agree Consultant will not bill to the State any lobbyist costs, fees, compensation, reimbursements, or other remunerations.

12. Suspension or Debarment Disclosure. For each of the persons identified under Form A, disclose whether any of the following has occurred within the previous 10 years: suspension or debarment from contracting with any governmental entity; professional licensure discipline; bankruptcies; adverse civil judgments and administrative findings; and criminal felony convictions. This disclosure is a continuing obligation and must be promptly supplemented for accuracy throughout the procurement process and term of the contract, if the bid or offer is successful. If yes, supply information below:
Name of person(s):
Nature and date of disclosure:

If the answers to questions 2 - 6 are "Yes" under "Qualifying Questions for Form A", check the box, sign and date below under "Applicable Statement":
Applicable Statement

This Disclosure Form A is submitted on behalf of the INDIVIDUAL named on previous page. Under penalty of perjury, I certify the contents of this disclosure to be true and accurate to the best of my knowledge.
Completed by: [Signature Line] Date

If the answers to questions 2 - 6 are all "No", under "Qualifying Questions for Form A", check the box, sign and date below under "Not Applicable Statement":
Not Applicable Statement

Under penalty of perjury, I have determined that no individuals associated with this organization meet the criteria that would require the completion of this Form A.
This Disclosure Form A is submitted on behalf of the FIRM listed on the first page.
Completed by: [Signature Line] Date

The firm has a continuing obligation to supplement these disclosures under Sec. 50-35 of the Procurement Code.



City of Peoria

**Form B: Other Contracts & Procurement-Related Information Disclosure**

Disclosure of the information contained in this form is required by Section 50-35 of the Illinois Procurement Code (30 ILCS 500). This information shall become part of the publicly available contract file. This Form B must be completed for Statements of Interest in excess of \$50,000, and for all open-ended contracts. This Form B must also be completed for subconsultant agreements with an annual value of more than \$50,000 from subconsultants identified in Section 20-120 in the Illinois Procurement Code and for all open-ended subconsultant agreements.

**Disclosure of Other Contracts and Procurement-Related Information**

Answer the following question.

- |   |                          |                          |
|---|--------------------------|--------------------------|
|   | <b>Yes</b>               | <b>No</b>                |
| 1. Does the firm have any pending contracts (including leases), statements of interest, bids, proposals, or other ongoing procurement relationship with <u>the City of Peoria IDOT or any other State of Illinois agency?</u> | <input type="checkbox"/> | <input type="checkbox"/> |

If your answer is "No", the firm only needs to complete the signature box and date on the bottom of this page.

If your answer is "Yes", identify each such relationship by showing the agency name, PTB/PSB if applicable, Project name and the role of your firm as either a Prime or Sub (attach additional pages as necessary).

AGENCY	PTB/PSB	PROJECT NAME	ROLE (PRIME/ SUB FIRM)

Add A Row

**This Disclosure Form B is submitted on behalf of the INDIVIDUAL named on previous pages. Under penalty of perjury, I certify the contents of this disclosure to be true and accurate to the best of my knowledge.**

Completed by:  \_\_\_\_\_  
Signature of Individual or Authorized Representative
Date