



*Finance Department
Central Services Division*

PLEASE DO NOT USE STAPLES TO BIND THE BID RESPONSES.

City of Rockford, Illinois USA
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Table of Contents

- Invitation to Bid

Section 1

Bid Instructions and Contract Conditions

- [City of Rockford-Bidding and Contract General Conditions \(Federal Funds\)](#)
- [Notice of Requirement for Affirmative Action to Ensure Equal Employment Opportunity \(Executive Order 11246\)](#)
- [Equal Opportunity Clause for Federally Assisted Construction Contracts \(Executive Order 11246\)](#)
- [Standard Federal Equal Employment Opportunity Construction Contract Specifications \(Executive Order 11246\)](#)
- [Instructions to Bidders](#)

Section 2

Required Forms

- [City of Rockford Equal Employment Opportunity Certifications](#)
- [City of Rockford Subcontractor Utilization Form](#)
- [City of Rockford Vendor Workforce Data Form](#)
- [City of Rockford Subcontractor Workforce Data Form](#)
- [Acknowledgement of Stormwater Management Ordinance](#)
- [Acknowledgement of Addendum](#)
- [W-9 Form](#)

Section 3

General and Special Provisions

General Provisions
Special Provisions
Bid Form

Section 1

Bid Instructions

and

Contract

Conditions

CITY OF ROCKFORD, ILLINOIS—BIDDING AND CONTRACT GENERAL CONDITIONS (FEDERAL FUNDS)

The following shall be made part of the terms and conditions of the contract (“Contract”) entered into between the City of Rockford (City) and Vendor (also referred to herein as “bidder,” “awarded vendor,” and “contractor”), if awarded the contract. Vendor’s submission of a bid or proposal constitutes acceptance of these Conditions:

- 1. Pricing.** The bidder shall insert price for all bid items and all other information requested in these specifications. The price shall be the *full, delivered cost* to the City of Rockford with no additions.
- 2. Total versus "Per Item" Awards.** The City generally awards contracts on a lump sum basis to the lowest responsible and responsive bidder. However, the City may choose to award on a per item basis. Therefore, each bidder must submit pricing for each item indicated on the bid forms. Bidders must clearly indicate which items are bid and which are not.
- 3. Delivery of Merchandise.** Delivery terms will always be Freight-On-Board (FOB) Destination. The City of Rockford accepts no responsibility for the condition of any merchandise purchased prior to acceptance by City Personnel. Failure to comply with this requirement may constitute rejection of the bid.
- 4. Acceptance of Merchandise at Delivery.** The City of Rockford reserves the right to refuse acceptance of delivered merchandise that differs substantially from the specifications in the invitation to bid or as otherwise permitted by Illinois law.
- 5. Prompt Payment Act.** The City of Rockford intends to comply with the Local Government Prompt Payment Act (50 ILCS 505/1 *et seq.*). The awarded vendor will be paid upon submission of invoices to: City of Rockford Accounts Payable, 425 East State Street, Rockford, IL 61104.
- 6. W-9 Request for Taxpayer Identification Number.** Prior to issuance of a purchase order, the successful bidder will be required to supply the City of Rockford with a federal W-9 Request for Taxpayer Identification Number and Certification. Failure to comply with this requirement will be considered a violation of contract terms, for which the City may bar Vendor from bidding for a period of up to three (3) years.
- 7. Legal Compliance.** Vendor will at all times observe and comply, and will cause its subcontractors to observe and comply, with all applicable federal, state, and local laws, ordinances, rules, regulations, and executive orders, now existing or hereinafter in effect, which may in any manner affect the performance of this contract. Provisions required by law, ordinance, rules, regulations, or executive order to be inserted in this contract will be deemed inserted, whether or not they appear in it. In no event will failure to insert such required provisions prevent the enforcement of applicable law. Lack of knowledge of applicable law on the part of Vendor or subcontractor will in no way be cause for release of this obligation. If the City becomes aware of violation of any laws, ordinances, rules and regulations on the part of Vendor or subcontractor, it

reserves the right to reject any bid, cancel any contract, and pursue any other legal remedies deemed necessary.

Vendor must pay all required taxes and obtain all licenses, certificates, or other authorization required in connection with the performance of its obligation hereunder, and Vendor must require all subcontractors to also do so. Failure to do so may result in rejection of Vendor's bid, cancellation of an award to Vendor, or termination of this contract with Vendor.

By entering into a contract with the City, Vendor certifies that to the best of its knowledge, its principals and any subcontractor used in the performance of this contract meet City requirements and have not violated any City ordinance, code, state, federal, or local rules or regulations, and have not been subject to any debarment, suspension, or other disciplinary action by any government agency. Additionally, if at any time Vendor becomes aware of such information, it must immediately disclose it to the City.

8. Legal Requirements. This contract sets forth the entire final agreement between the City of Rockford and the bidder and shall govern the respective duties and obligations of the parties. The validity of this contract, and any disputes arising from the contract, shall be governed by the laws of the State of Illinois. Any litigation under this agreement shall be resolved in the trial courts of Winnebago County, State of Illinois. Should a provision of this contract be declared invalid by a court of competent jurisdiction, it shall not affect the validity of the remaining provisions of the contract.

9. Safety. Prevention of accidents at any project is the sole responsibility of Vendor and its subcontractors, agents, and employees. Vendor, its subcontractors, agents, and employees shall be fully and solely responsible for the safety of this project. Vendor shall retain exclusive and direct control over the acts or omissions of its subcontractors, agents and employees, and any other persons performing portions of the work and not directly employed by the awarded vendor.

10. Criminal Background Check. When necessary for the protection of citizens and/or City staff, the City may require an awarded vendor to conduct a criminal background check on all of its personnel who will have direct contact with City facilities or residents/businesses served under this contract. Personnel are defined as representatives, agents, employees, subcontractors, or anyone else who will be utilized to fulfill obligations under this contract. Criminal background checks, at a minimum, shall consist of a county level felony and misdemeanor check for each county in which the personnel resided in the last ten (10) years. The awarded vendor shall notify the City of any of its personnel who have been convicted of a felony or misdemeanor prior to commencing any work under this contract. At the City's discretion, personnel with any felony or misdemeanor convictions which raise a concern about the safety of building, property, or City staff/resident's personal security, or is otherwise job related (as determined by the City) shall not perform work under this contract. Once given notice that a background check(s) will be required, it must be completed within fourteen (14) calendar days so as to not delay work to be completed.

11. Control of the Work. With respect to Vendor's own work, the City shall not have contractual, operational, and/or supervisory control over and/or charge of the work and shall not be responsible for construction means, methods, techniques, sequences, procedures, and programs in connection with the awarded vendor's work, since these are solely the vendor's responsibility under the agreement. The City shall not be responsible for the awarded vendor's failure to carry out the work in accordance with the agreement's terms and conditions. The City shall not have control over and/or charge of acts or omissions of the awarded vendor, its subcontractors, and/or their agents or employees, or any other person performing portions of the work not directly employed by the awarded vendor. The awarded vendor shall be considered to be an "independent contractor" pursuant to Illinois law.

12. Bid Bond. When required on the cover sheet, a bid bond for not less than five (5) percent of the bid amount must accompany all bids as a guarantee that if the bid is accepted, the bidder will execute and file the proper contract. A bank cashier's check, bank draft, or certified check equal to the amount specified is acceptable in lieu of a bid bond. Bid bonds of the two lowest firms will be retained until the contract is awarded.

13. Performance and Payment Bond. When required by the specifications herein, the awarded vendor shall furnish a performance and payment bond equal to the amount of the contract, acceptable to the City, within fourteen (14) calendar days after notification of contract award. Failure to furnish the required bond within the time specified may be cause for rejection of the bid and any bid deposit may be retained by the City as liquidated damages and not as a penalty.

14. Taxes. No charge will be allowed for taxes from which the City of Rockford, Illinois is exempt. The City of Rockford, Illinois is not liable for the Illinois Retailers' Occupation Tax, the Service Occupation Tax or the Service Use Tax. The City is exempt from the Federal Excise and Transportation Tax.

15. Withdrawal of Bids. Firms may withdraw or cancel their bids at any time prior to the advertised invitation to bid opening. After the opening time, no bid shall be withdrawn or cancelled. All bids shall be firm and valid for a period of sixty (60) calendar days. If a bidder to whom a contract is awarded refuses to accept the award, the City may, at its discretion, suspend the bidder for a period of time up to three (3) years.

16. Subcontracting. The bidder shall provide information for all subcontractors and leased operators of equipment in the required Subcontractor Utilization Form. Information contained in this form must be complete and accurate, to the best of Vendor's estimating ability at the time of bid, and will be relied upon by the City in projecting Minority and Women Business Enterprise subcontractor utilization for awarded City contracts. Any changes in subcontractor utilization from that which is provided on the Subcontractor Utilization Form must be made immediately in writing by submitting a new form to the City's Equal Opportunity Compliance Officer and the City Project Manager or designee. When subcontractors are used, Vendor must pay subcontractors

for satisfactory performance no later than thirty (30) days after receipt of each payment from the City.

17. Termination of Contract. The City of Rockford reserves the right to terminate the contract in its entirety or in portions, upon written notice to Vendor for convenience, if the Rockford City Council does not appropriate sufficient funds to complete the contract, or in the event of default by Vendor. Default is defined as failure of the awarded vendor to perform any of the provisions of this contract or failure to make sufficient progress so as to endanger performance of this contract in accordance with its terms. The City's written notice of termination shall specify the effective date of termination. Vendor shall discontinue providing goods or services after such effective date, and the City shall not be liable for goods or services provided by Vendor thereafter. In the event of default, the City may purchase the product(s) and/or service(s) from other sources and hold the defaulting company responsible for any excess costs occasioned thereby. The City may require payment of liquidated damages for non-performance. Should default be due to failure to perform or because of a request for a price increase, the City reserves the right to remove the firm from the City's bidder list and place the firm on the City's debarred list for a period of up to three (3) years.

18. Late Bids and Proposals. Regardless of cause, late bids and proposals will not be accepted and will automatically be disqualified from further consideration. It shall be solely Vendor's risk to ensure delivery at the designated office by the designated time. Late bids and proposals will not be opened and may be returned to Vendor at their request and expense.

19. Equal Employment Opportunity. Vendor shall comply with all applicable equal employment opportunity federal, state and local statutes, regulations, and ordinances including but not limited to: the City's Equal Opportunity Employment (EOE) Ordinance (City of Rockford Code of Ordinances, Chapter 11, Article IV); the Illinois Human Rights Act (775 ILCS 5/101 *et seq.*), the Illinois Department of Human Rights (IDHR) Rules and Regulations for Government Contracts (44 Ill. Admin. Code, Chapter X, Section 750), the Discrimination in Public Contracts Act (775 ILCS 10/0.01 *et seq.*); Title VII of the Civil Rights Act of 1964, as amended (§ 7, 42 U.S.C. § 2000e *et seq.*); the Age Discrimination in Employment Act of 1967, as amended (29 USC § 621 *et seq.*); Title I of the Americans with Disabilities Act of 1990, as amended (42 USC 12101-12117); the Equal Pay Act of 1963, as amended; the Uniformed Services Employment and Reemployment Rights Act of 1994, as amended (38 USC §§ 4301-4335); Executive Order 11246, as amended; and relevant U.S. Department of Labor regulations regarding equal employment opportunity for federally assisted construction contracts (see 41 CFR Part 60).

Pursuant to IDHR's Rules and Regulations and the City's EOE Ordinance, the awarded vendor shall comply with the following terms and conditions during the performance of this contract:

- a) Vendor will not discriminate against any employee, including apprentices, or applicant for employment, including training programs, because of race, color, religion, sex, sexual orientation, gender identity, marital status, order of protection status, status as a survivor of domestic violence or human trafficking, national origin or ancestry, citizenship status, age, physical or mental disability unrelated to ability, military status, or unfavorable

discharge from military service; and, further, that Vendor will examine all job classifications to determine if minority persons or women are underutilized and will take appropriate affirmative action to rectify any underutilization.

- b) If Vendor hires additional employees in order to perform this contract or any portion of this contract, Vendor will determine the availability (in accordance with Section 750) of minorities and women in the areas from which Vendor may reasonably recruit and will hire for each job classification for which employees are hired in a way that minorities and women are not underutilized.
- c) In all solicitations and advertisements for employees placed by Vendor on its behalf, Vendor will state that all applicants will be afforded equal opportunity without discrimination because of race, color, religion, sex, sexual orientation, gender identity, marital status, order of protection status, status as a survivor of domestic violence or human trafficking, national origin or ancestry, citizenship status, age, physical or mental disability unrelated to ability, military status, or an unfavorable discharge from military service.
- d) Vendor will send to each labor organization or representative of workers with which it has or is bound by a collective bargaining or other agreement or understanding, a notice advising the labor organization or representative of the Vendor's obligations under the Illinois Human Rights Act and Section 750 of the Illinois Department of Human Rights Rules and Regulations. If any labor organization or representative fails or refuses to cooperate with the Vendor in its efforts to comply with the Act and Part 750, Vendor will promptly notify the Illinois Department of Human Rights and the City of Rockford and will recruit employees from other sources when necessary to fulfill its obligations under the contract.
- e) Vendor will submit reports as required by Part 750, furnish all relevant information that may be requested by the Illinois Department of Human Rights or the City of Rockford, and in all respects comply with the Act, the Department's Rules and Regulations, and the City of Rockford's Equal Opportunity Employment Ordinance. *Vendor's failure to complete the City's required Equal Employment Opportunity Certifications or Vendor and Subcontractor Workforce Data Forms will result in disqualification of Vendor's bid or proposal.*
- f) Vendor will permit access to all relevant books, records, accounts, and work sites by personnel of the City of Rockford and the Illinois Department of Human Rights for purposes of investigation to ascertain compliance with the Act, IDHR's Rules and Regulations, and City of Rockford EOE Ordinance.
- g) Vendor will include verbatim or by reference the Equal Employment Opportunity Clause (44 Ill. Admin. Code, Chapter X, Appendix A) in every subcontract awarded under which any portion of the contract obligations are undertaken or assumed, so that the provisions will be binding upon the subcontractor. In the same manner as with other provisions of this contract, Vendor will be liable for compliance with applicable provisions of this

clause by subcontractors. Further, Vendor will promptly notify the City of Rockford and the Illinois Department of Human Rights if any subcontractor fails or refuses to comply with the provisions of sections (a) through (f) of this paragraph. Vendor shall not utilize any subcontractor declared by the Illinois Human Rights Commission to be ineligible for contracts or subcontracts with the State of Illinois or any of its political subdivisions or municipal corporations.

20. Restrictive or Ambiguous Specifications. It is the responsibility of the bidding firm to review the invitation to bid specifications and to notify the Central Services Manager if the specifications are formulated in a manner that would unnecessarily restrict competition. Any such protest or question regarding the specifications or invitation to bid procedures must be received by the Central Services Division not less than seventy-two hours prior to the time set for the opening. In the event a contract term is not defined within the contract document, the term will be given its ordinary dictionary definition.

21. Bid Protest. Firms wishing to protest bids or awards shall notify the Central Services Manager in writing within seven (7) days after the invitation to bid opening. The notification should include the bid number, the name of the firm protesting, and the reason why the firm is protesting the bid. The Central Services Manager will respond to the protest within seven (7) calendar days. A successful protest may result in the reversal of a previously awarded contract.

22. Disputes. In case of disputes as to whether or not an item or service quoted or delivered meets specifications, the decision of the Central Services Manager or authorized representative shall be final and binding to all parties. The Central Services Manager has the right to waive technicalities as they see fit. The Central Services Manager may request a written recommendation from the head of the department using the equipment or service being procured.

23. Exceptions. Any deviations from these specifications shall be noted and submitted with the bid. Failure to address deviations from specifications may result in bid rejection.

24. Acceptance/Rejection of Bids. The City of Rockford reserves the right to accept or reject any or all bids or proposals at any time, for any reason, including but not limited to the Rockford City Council not appropriating sufficient funds to purchase equipment or complete the contract. The City may make awards in any manner deemed in the best interest of the City.

25. Davis-Bacon and Related Acts. When indicated on the cover page of the invitation to bid, Vendor and all subcontractors must comply with all requirements of the Davis-Bacon Act (40 U.S.C. 276a to 276a-7) as supplemented by Department of Labor regulations (29 CFR part 5), including but not limited to all wage, notice, recordkeeping, and filing of certified payroll requirements.

26. Certified Payroll. Vendor and each subcontractor must submit to the City of Rockford weekly certified payrolls for each week in which contract work is performed. The City only accepts certified payroll through an online electronic system (LCPtracker). No paper copies or

non-conforming certified payroll reports will be accepted. *The City reserves the right to withhold payment to Vendor until Vendor displays compliance with this provision.*

27. Substance Abuse Prevention. Before Vendor commences work on a public works project, it must have in place a written program which meets or exceeds the program requirements in the Substance Abuse Prevention on Public Works Projects Act (820 ILCS 265/1 *et seq.*), to be filed with the City and made available to the general public, for prevention of substance abuse among its employees. This program must include pre-hire, random, reasonable suspicion, and post-accident drug and alcohol testing, as required by the Substance Abuse Prevention on Public Works Projects Act.

28. Apprenticeship Requirement. For construction contracts over \$50,000, Vendor must participate in apprenticeship and training programs approved and registered with the United States Department of Labor's Bureau of Apprenticeship and Training for all Trades that will be in Vendor's (or his subcontractor's) employment, with each worker receiving the required apprenticeship/training appropriate to his trade. Owners or work performed by owners is not exempt from the apprenticeship and training requirement.

29. Indemnification. To the fullest extent permitted by law, Vendor shall indemnify and hold harmless the City, its officers, representatives, elected and appointed officials, agents, and employees from and against all claims, damages, losses and expenses, including but not limited to attorney's fees, arising out of or resulting from Vendor's performance of work under this agreement, and indemnifies and agrees to defend and hold harmless the City against any and all losses, claims, damages, and expenses arising from the work performed hereunder of the erection, construction, placement, or operation of any scaffold, hoist, crane, stay, ladder, support, or other mechanical contrivance in connection with such work including but not limited to losses, claims, damages, and expenses arising pursuant to claims asserted against the City pursuant to theories premised upon sections 343 and 414 of the Restatement (Second) of Torts.

This indemnification agreement shall not be limited in any way by any limitations on the amount or type of damages, compensation, or benefits payable by or for Vendor under the Illinois Workers' Compensation Act (820 ILCS 305/1 *et seq.*), disability benefit acts, or other employee benefit acts, and serves as an express agreement to waive the protection of *Kotecki v. Cyclops Welding Corp.*, 146 Ill.2d 155, 585 N.E.2d 1023 (1991) in Illinois.

Further, Vendor agrees that it is solely responsible for compliance with all safety laws applicable to the work performed hereunder, including but not limited to the Occupational Safety and Health Act (29 USC Ch. 15 §651 *et. seq.*) and the Contract Work Hours and Safety Standards Act (40 USC Ch. 37 §3701 *et seq.*) and all standards and regulations which have been or shall be promulgated by the agencies which administer the Acts.

Under no circumstances shall Vendor, its subcontractors, agents, and employees be required to indemnify the City for its own negligence.

30. Insurance Requirements. Upon execution of the contract, and prior to Vendor commencing any work or services with regard to the project, Vendor shall carry commercial general liability insurance, umbrella liability insurance, and automobile liability insurance on ISO form CG 00 01 10 01 (or a substitute form providing equivalent coverage) and Vendor shall provide the City with a Certificate of Insurance and Additional Insured Endorsement on ISO form CG 20 10 11 85 (or substitute form providing equivalent coverage) or on the combination of ISO forms CG 20 IO 10 01 and CG 20 3 7 1001 (or substitute forms providing equivalent coverage) naming the City as Additional Insured thereunder. Additional insured coverage shall apply as primary insurance and be noncontributory with respect to any other insurance afforded to the City. All coverage shall be placed with an insurance company duly admitted in the State of Illinois and shall be reasonably acceptable to the City. All awarded vendor insurance carriers must maintain an A.M. Best rating of "A-" or better. Coverage shall be afforded to the additional insured whether or not a claim is in litigation.

The insurance coverage required above shall be of sufficient type, scope and duration to ensure coverage for the City for liability related to any manifestation date within the applicable statutes of limitation and/or repose which pertain to any work performed by or on behalf of the City in relation to the contract. The following insurance requirement shall apply to the successful firm for the duration of the contract unless explicitly waived by the Central Services Manager:

- a) Commercial General Liability. The coverage available to the City, as Additional Insured, shall not be less than \$1 million each occurrence, \$2 million general aggregate (subject to a per project general aggregate provision applicable to the project), \$2 million products/completed operations aggregate and \$1 million personal and advertising injury limits. Such insurance shall cover liability arising from premises, operations, independent contractors, products-completed operations, personal and advertising injury, and liability assumed under an insured contract (including the tort liability of another assumed in a business contract).
- b) Umbrella Liability. The coverage available to the City, as Additional Insured, shall not be less than \$2 million each occurrence, \$2 million general aggregate. Such insurance shall cover liability arising from premises, operations, independent contractors, products-completed operations, personal and advertising injury, and liability assumed under an insured contract (including the tort liability of another assumed in a business contract).
- c) Automobile Coverage. The coverage available to the City, as Additional Insured, shall include comprehensive automobile bodily injury and property damage liability coverage for a minimum amount of \$1 million each occurrence, \$2 million general aggregate
- d) Workers Compensation. Vendor shall maintain during the life of this contract statutory workmen's compensation and employer's liability insurance for all his employees engaged in work on the job site.
- e) Insurance Certificates. Each Certificate of insurance shall provide that the insurer must give the City at least thirty (30) days' prior written notice of cancellation and termination

of the City's coverage thereunder. Not less than two weeks prior to the expiration, cancellation or termination of any such policy, Vendor shall supply the City with a new and replacement Certificate of Insurance and Additional Insured endorsement as proof of renewal of said original policy. Said new and replacement endorsements shall be similarly endorsed in favor of the City as set forth above. All subcontractors to be utilized by Vendor shall provide Ownership with a Certificate of Insurance naming City of Rockford as additional insured prior to commencement of work by said subcontractor.

31. Conflict of Interest. Each bidder affirms, by submission of a response to this bid or request for proposals, it has no interest and will not acquire any interest in any enterprise, project, or contract that would conflict in any manner of degree with the performance of the work, services, or goods to be provided hereunder. Bidder further affirms that no person having such an interest will be employed to perform any work or services under the contract, and that no employee of the City of Rockford is directly or indirectly interested in the bid or proposal for any reason of personal gain.

32. Non-Waiver. The failure by the City to require performance of any provision shall not affect the City's right to require performance at any time thereafter, nor shall a waiver of any breach or default of this contract constitute a waiver of any subsequent breach or default or a waiver of the provision itself.

33. Professional Services Selection Act. The City of Rockford intends to comply with 50 ILCS 510/.001 *et seq.* governing the selection of professional services. Any reference in these terms and conditions to supplying pricing or price as a determining factor in selection do not apply for services covered by said act.

34. Compliance with Stormwater Management Ordinance and IEPA General Construction Permit. Vendor must comply with the City's Stormwater Management Ordinance and Illinois EPA's General Construction Permit. For work performed on the stormwater system, including projects only requiring erosion and sediment control measures, acknowledgement of receipt of the Stormwater Management Ordinance and IEPA's General Construction Permit is required. It is also required that Vendor retain all invoices, work orders and/or other records of work performed in drainage areas for three (3) years beyond the end of the consent decree, 12/31/2023. These records are subject to audit and are to be made available immediately upon request by the City or the Federal and State Environmental Protection Agency (EPA). Additionally, there may be other records provided that Vendor will be required to keep on file upon request of the City. Violation of this section and with the City's Stormwater Management Ordinance may result in a fine. Additional information can be found at: <https://rockfordil.gov/274/stormwater-environmental-team/>

35. Acceptance or Rejection of Bids and Proposals. The City of Rockford reserves the right to accept or reject any and all proposals and to waive technicalities in submitted bids.

36. Minority and Women Business Enterprise Policy. It is the policy of the City of Rockford to strongly encourage and promote the award of subcontracts to ready, willing, and able Minority and Women Business Enterprises (MWBEs) certified with the City. The City strongly encourages bidders, when preparing bids or proposals, to contact certified MWBEs regarding potential subcontracting opportunities. The City requires information regarding Vendor's good faith efforts to identify MWBE subcontractors on the Subcontractor Utilization Form required to be completed and submitted with Vendor's bid or proposal. An up-to-date list of the City's certified MWBEs can be found at <https://rockfordil.gov/279/purchasing/>.

37. Veterans Preference. Vendor shall comply with the Veterans Preference Act (330 ILCS 55/1 *et seq.*) in its employment to fill positions for the construction, addition to, or alteration of public works contracted for by the City. This Act requires that preference shall be given to veterans who possess the business capacity necessary for the proper discharge of the duties of employment. Vendor is not required to give preference to veterans who are not residents of the City of Rockford over City residents who are not veterans. A person who has been a member of the Illinois National Guard shall be given priority over a person who has been a member of the National Guard of any other state.

Veterans under the Act are defined as persons who have been members of the armed forces of the United States or who, while citizens of the United States, were members of the armed forces of allies of the United States in time of hostilities with a foreign country, and have served under one or more of the following conditions:

- a) The veteran served a total of at least six (6) months;
- b) The veteran served for the duration of hostilities regardless of the length of engagement;
- c) The veteran served in the theater of operations but was discharged on the basis of a hardship; or
- d) The veteran was released from active duty because of a service connected disability and was honorably discharged.

Vendor shall insure that the preceding provision is inserted in all subcontracts entered into to furnish labor for the construction, addition to, or alteration of public works in connection with this contract.

38. Non-barred Bidder. Vendors affirms, by submission of a response to this bid or request for proposals, that Vendor is not barred from bidding on this contract as a result of a conviction for violation of state law prohibiting bid rigging or rotating.

39. City Debarment. The City of Rockford reserves the right to bar Vendor from future bidding opportunities with the City if false information is submitted as part Vendor's bid response or proposal, Vendor has committed any violation of law, or Vendor fails to comply with the terms and conditions of this contract.

40. Non-Assignment. Neither this Contract nor any of the rights, interests or obligations under the Agreement shall be assigned, in whole or in part, by written agreement, merger, consolidation, operation of law, or otherwise by either party without the prior written consent of the other party.

41. Governing Law. This Contract shall be governed by and construed and enforced in accordance with the laws of the State of Illinois, excluding its choice of law rules and, to the extent applicable, the copyright laws of the United States of America. In the event of a dispute under this Contract, the parties agree to submit to the exclusive jurisdiction of the state courts of, and federal courts sitting in, the State of Illinois.

42. Severability. In the event that any clause, provision, or portion of these General Conditions or any part thereof shall be declared invalid, void, or unenforceable by any court having jurisdiction, such invalidity shall not affect the validity or enforceability of the remaining portions.

43. Local Business Adjustment to Bid Award. For Public Works or Construction contracts the use of local business adjustment (up to a maximum 5 percent of the contract price, but not more than \$20,000 whichever is less) may be authorized. To receive the local business adjustment the bidder must meet the qualifications of a local bidder (described below) and request the local business adjustment be implemented for that bid. The downward adjustment shall then be applied automatically to the local bidder's bid if doing so will cause the local bidder's bid to match the bid of a non-local bidder who would otherwise be the lowest qualified bidder. Any bidder requesting application of the local bidder adjustment shall acknowledge and agree to the potential of the reduction in their overall bid at the time of its bid submission. Should a bidder requesting the local business adjustment be declared the lowest bidder and thereafter decline to be awarded the project, that bidder shall be prohibited from requesting the application of a local business adjustment for a period of one year. In instances where more than one local bidder requests local business adjustment, the adjustment will be applied to the next lowest local bidder only, however, if the next lowest bidder did not request the adjustment, then the local bidder who did elect would get the adjustment and award.

A local bidder is an individual or entity that (1) has established a place of business within Winnebago, Boone, Ogle, or Stephenson County; (2) has paid a minimum of \$5,000 in sales tax in Winnebago County during the 12 months prior to bid submission; and (3) can demonstrate that at least 50% of its employees reside within Winnebago, Boone, Ogle, or Stephenson County.

A bidder that requests local business adjustment is certifying that they are in compliance with the above description. If the City determines the bidder is not in compliance the bidder may be barred from bidding for a period of up to three years.

44. Sexual Harassment Policy Requirement. Every party to a public contract and every eligible bidder shall have a written sexual harassment policy in accordance with the Equal Employment Opportunities; Affirmative Action (775 ILCS 5/2-105). The written policy must include, at a minimum, the following information: (i) the illegality of sexual harassment; (ii) the definition of sexual harassment under State law; (iii) a description of sexual harassment, utilizing examples; (iv) the vendor's internal complaint process including penalties; (v) the legal recourse, investigative, and complaint process available through the Department and the Commission; (vi) directions on how to contact the Department and Commission; and (vii) protection against retaliation as provided by Sections 6-101 and 6-101.5 of the Act.

**NOTICE OF REQUIREMENT FOR AFFIRMATIVE ACTION TO ENSURE EQUAL
EMPLOYMENT OPPORTUNITY (EXECUTIVE ORDER 11246)**

(1) Contractor's attention is called to the "Equal Opportunity Clause for Federally Assisted Construction Contracts" and the "Standard Federal Equal Employment Opportunity Construction Contract Specifications" set forth in the bid specifications.

(2) The goals and timetables for minority and female participation, expressed in percentage terms for Vendor's aggregate workforce in each trade on all construction work in the covered area, are as follows:

Time-tables	Goals for minority participation for each trade	Goals for female participation in each trade
Until further notice	6.3%	6.9%

These goals are applicable to all the Contractor's construction work (whether or not it is federal or federally assisted) performed in the covered area. If the contractor performs construction work in a geographical area located outside of the covered area, it shall apply the goals established for such geographical area where the work is actually performed. With regard to this second area, the contractor also is subject to the goals for both its federally involved and nonfederally-involved construction.

The Contractor's compliance with the Executive Order and the regulations in 41 CFR part 60-4 shall be based on its implementation of the Equal Opportunity Clause for Federally Assisted Construction Contracts, specific affirmative action obligations required by the specifications set forth in 41 CFR 60-4.3(a), and its efforts to meet the goals. The hours of minority and female employment and training must be substantially uniform throughout the length of the contract, and in each trade, and the contractor shall make a good faith effort to employ minorities and women evenly on each of its projects. The transfer of minority or female employees or trainees from Contractor to Contractor or from project to project for the sole purpose of meeting the Contractor's goals shall be a violation of the contract, the Executive Order and the regulations in 41 CFR part 60-4. Compliance with the goals will be measured against the total work hours performed.

(3) The Contractor shall provide written notification to the Director of the Office of Federal Contract Compliance Programs within 10 working days of award of any construction subcontract in excess of \$10,000 at any tier for construction work under the contract resulting from this solicitation. The notification shall list the name, address and telephone number of the subcontractor; employer identification number of the subcontractor; estimated dollar amount of the subcontract; estimated starting and completion dates of the subcontract; and the geographical area in which the subcontract is to be performed.

(4) As used in this Notice, and in the contract resulting from this solicitation, the "covered area" is the City of Rockford in the County of Winnebago, Illinois.

**EQUAL OPPORTUNITY CLAUSE FOR FEDERALLY ASSISTED CONSTRUCTION
CONTRACTS (EXECUTIVE ORDER 11246)**

During the performance of this contract, the contractor agrees as follows:

(1) The contractor will not discriminate against any employee or applicant for employment because of race, color, religion, sex, sexual orientation, gender identity, or national origin. The contractor will take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their race, color, religion, sex, sexual orientation, gender identity, or national origin. Such action shall include, but not be limited to the following:

Employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided setting forth the provisions of this nondiscrimination clause.

(2) The contractor will, in all solicitations or advertisements for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, sexual orientation, gender identity, or national origin.

(3) The contractor will not discharge or in any other manner discriminate against any employee or applicant for employment because such employee or applicant has inquired about, discussed, or disclosed the compensation of the employee or applicant or another employee or applicant. This provision shall not apply to instances in which an employee who has access to the compensation information of other employees or applicants as a part of such employee's essential job functions discloses the compensation of such other employees or applicants to individuals who do not otherwise have access to such information, unless such disclosure is in response to a formal complaint or charge, in furtherance of an investigation, proceeding, hearing, or action, including an investigation conducted by the employer, or is consistent with the contractor's legal duty to furnish information.

(4) The contractor will send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract or understanding, a notice to be provided advising the said labor union or workers' representatives of the contractor's commitments under this section, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

(5) The contractor will comply with all provisions of Executive Order 11246 of September 24, 1965, and of the rules, regulations, and relevant orders of the US Secretary of Labor.

(6) The contractor will furnish all information and reports required by Executive Order 11246 of September 24, 1965, and by rules, regulations, and orders of the US Secretary of Labor, or pursuant thereto, and will permit access to his books, records, and accounts by the administering agency and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations, and orders.

(7) In the event of the contractor's noncompliance with the nondiscrimination clauses of this contract or with any of the said rules, regulations, or orders, this contract may be canceled,

terminated, or suspended in whole or in part and the contractor may be declared ineligible for further federal government contracts or federally assisted construction contracts in accordance with procedures authorized in Executive Order 11246 of September 24, 1965, and such other sanctions may be imposed and remedies invoked as provided in Executive Order 11246 of September 24, 1965, or by rule, regulation, or order of the US Secretary of Labor, or as otherwise provided by law.

(8) The contractor will include the portion of the sentence immediately preceding paragraph (1) and the provisions of paragraphs (1) through (8) in every subcontract or purchase order unless exempted by rules, regulations, or orders of the US Secretary of Labor issued pursuant to section 204 of Executive Order 11246 of September 24, 1965, so that such provisions will be binding upon each subcontractor or vendor. The contractor will take such action with respect to any subcontract or purchase order as the administering agency may direct as a means of enforcing such provisions, including sanctions for noncompliance:

Provided, however, that in the event a contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the administering agency, the contractor may request the United States to enter into such litigation to protect the interests of the United States.

**STANDARD FEDERAL EQUAL EMPLOYMENT OPPORTUNITY CONSTRUCTION
CONTRACT SPECIFICATIONS (EXECUTIVE ORDER 11246)**

(1) As used in these specifications:

- a. "Covered area" means the geographical area described in the solicitation from which this contract resulted;
- b. "Director" means Director, Office of Federal Contract Compliance Programs, United States Department of Labor, or any person to whom the Director delegates authority;
- c. "Employer identification number" means the Federal Social Security number used on the Employer's Quarterly Federal Tax Return, U.S. Treasury Department Form 941.
- d. "Minority" includes:
 - (i) Black (all persons having origins in any of the Black African racial groups not of Hispanic origin);
 - (ii) Hispanic (all persons of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish Culture or origin, regardless of race);
 - (iii) Asian and Pacific Islander (all persons having origins in any of the original peoples of the Far East, Southeast Asia, the Indian Subcontinent, or the Pacific Islands); and
 - (iv) American Indian or Alaskan Native (all persons having origins in any of the original peoples of North America and maintaining identifiable tribal affiliations through membership and participation or community identification).

(2) Whenever Contractor, or any subcontractor at any tier, subcontracts a portion of the work involving any construction trade, it shall physically include in each subcontract in excess of \$10,000 the provisions of these specifications and the "Notice of Requirement for Affirmative Action to Ensure Equal Employment Opportunity (Executive Order 11246)," which contains the applicable goals for minority and female participation and which is set forth in the solicitations from which this contract resulted.

(3) If the Contractor is participating (pursuant to 41 CFR 60-4.5) in a Hometown Plan approved by the U.S. Department of Labor in the covered area either individually or through an association, its affirmative action obligations on all work in the Plan area (including goals and timetables) shall be in accordance with that Plan for those trades which have unions participating in the Plan. Contractors must be able to demonstrate their participation in and compliance with the provisions of any such Hometown Plan. Each Contractor or Subcontractor participating in an approved Plan is individually required to comply with its obligations under the EEO clause, and to make a good faith effort to achieve each goal under the Plan in each trade in which it has employees. The overall good faith performance by other Contractors or Subcontractors toward a goal in an approved Plan does not excuse any covered Contractor's or Subcontractor's failure to take good faith efforts to achieve the Plan goals and timetables.

(4) Contractor shall implement the specific affirmative action standards provided in paragraphs (7) a through p of these specifications. The goals set forth in the solicitation from which this contract resulted are expressed as percentages of the total hours of employment and training of minority

and female utilization Contractor should reasonably be able to achieve in each construction trade in which it has employees in the covered area. Covered construction contractors performing construction work in geographical areas where they do not have a Federal or federally assisted construction contract shall apply the minority and female goals established for the geographical area where the work is being performed. Goals are published periodically in the FEDERAL REGISTER in notice form, and such notices may be obtained from any Office of Federal Contract Compliance Programs office or from Federal procurement contracting officers. Contractor is expected to make substantially uniform progress in meeting its goals in each craft during the period specified.

(5) Neither the provisions of any collective bargaining agreement, nor the failure by a union with whom Contractor has a collective bargaining agreement, to refer either minorities or women shall excuse Contractor's obligations under these specifications, Executive Order 11246, or the regulations promulgated pursuant thereto.

(6) In order for the nonworking training hours of apprentices and trainees to be counted in meeting the goals, such apprentices and trainees must be employed by the Contractor during the training period, and the Contractor must have made a commitment to employ the apprentices and trainees at the completion of their training, subject to the availability of employment opportunities. Trainees must be trained pursuant to training programs approved by the U.S. Department of Labor.

(7) Contractor shall take specific affirmative actions to ensure equal employment opportunity. The evaluation of the Contractor's compliance with these specifications shall be based upon its effort to achieve maximum results from its actions. The Contractor shall document these efforts fully, and shall implement affirmative action steps at least as extensive as the following:

- a. Ensure and maintain a working environment free of harassment, intimidation, and coercion at all sites, and in all facilities at which the Contractor's employees are assigned to work. The Contractor, where possible, will assign two or more women to each construction project. The Contractor shall specifically ensure that all foremen, superintendents, and other on-site supervisory personnel are aware of and carry out the Contractor's obligation to maintain such a working environment, with specific attention to minority or female individuals working at such sites or in such facilities.
- b. Establish and maintain a current list of minority and female recruitment sources, provide written notification to minority and female recruitment sources and to community organizations when the Contractor or its unions have employment opportunities available, and maintain a record of the organizations' responses.
- c. Maintain a current file of the names, addresses and telephone numbers of each minority and female off-the-street applicant and minority or female referral from a union, a recruitment source or community organization and of what action was taken with respect to each such individual. If such individual was sent to the union hiring hall for referral and was not referred back to the Contractor by the union or, if referred, not employed by the Contractor, this shall be documented in the file with the reason therefor, along with whatever additional actions the Contractor may have taken.
- d. Provide immediate written notification to the Director when the union or unions with which the Contractor has a collective bargaining agreement has not referred to the Contractor a minority person or woman sent by the Contractor, or when the Contractor has

other information that the union referral process has impeded the Contractor's efforts to meet its obligations.

e. Develop on-the-job training opportunities and/or participate in training programs for the area which expressly include minorities and women, including upgrading programs and apprenticeship and trainee programs relevant to the Contractor's employment needs, especially those programs funded or approved by the Department of Labor. The Contractor shall provide notice of these programs to the sources compiled under 7b above.

f. Disseminate the Contractor's EEO policy by providing notice of the policy to unions and training programs and requesting their cooperation in assisting the Contractor in meeting its EEO obligations; by including it in any policy manual and collective bargaining agreement; by publicizing it in the company newspaper, annual report, etc.; by specific review of the policy with all management personnel and with all minority and female employees at least once a year; and by posting the company EEO policy on bulletin boards accessible to all employees at each location where construction work is performed.

g. Review, at least annually, the company's EEO policy and affirmative action obligations under these specifications with all employees having any responsibility for hiring, assignment, layoff, termination or other employment decisions including specific review of these items with onsite supervisory personnel such as Superintendents, General Foremen, etc., prior to the initiation of construction work at any job site. A written record shall be made and maintained identifying the time and place of these meetings, persons attending, subject matter discussed, and disposition of the subject matter.

h. Disseminate the Contractor's EEO policy externally by including it in any advertising in the news media, specifically including minority and female news media, and providing written notification to and discussing the Contractor's EEO policy with other Contractors and Subcontractors with whom the Contractor does or anticipates doing business.

i. Direct its recruitment efforts, both oral and written, to minority, female and community organizations, to schools with minority and female students and to minority and female recruitment and training organizations serving the Contractor's recruitment area and employment needs. Not later than one month prior to the date for the acceptance of applications for apprenticeship or other training by any recruitment source, the Contractor shall send written notification to organizations such as the above, describing the openings, screening procedures, and tests to be used in the selection process.

j. Encourage present minority and female employees to recruit other minority persons and women and, where reasonable, provide after school, summer and vacation employment to minority and female youth both on the site and in other areas of a Contractor's work force.

k. Validate all tests and other selection requirements where there is an obligation to do so under 41 CFR part 60-3.

l. Conduct, at least annually, an inventory and evaluation at least of all minority and female personnel for promotional opportunities and encourage these employees to seek or to prepare for, through appropriate training, etc., such opportunities.

m. Ensure that seniority practices, job classifications, work assignments and other personnel practices, do not have a discriminatory effect by continually monitoring all

personnel and employment related activities to ensure that the EEO policy and the Contractor's obligations under these specifications are being carried out.

n. Ensure that all facilities and company activities are non-segregated except that separate or single-user toilet and necessary changing facilities shall be provided to assure privacy between the sexes.

o. Document and maintain a record of all solicitations of offers for subcontracts from minority and female construction contractors and suppliers, including circulation of solicitations to minority and female contractor associations and other business associations.

p. Conduct a review, at least annually, of all supervisors' adherence to and performance under the Contractor's EEO policies and affirmative action obligations.

(8) Contractors are encouraged to participate in voluntary associations which assist in fulfilling one or more of their affirmative action obligations (7a through p). The efforts of a contractor association, joint contractor-union, contractor-community, or other similar group of which the contractor is a member and participant, may be asserted as fulfilling any one or more of its obligations under 7a through p of these Specifications provided that the contractor actively participates in the group, makes every effort to assure that the group has a positive impact on the employment of minorities and women in the industry, ensures that the concrete benefits of the program are reflected in the Contractor's minority and female workforce participation, makes a good faith effort to meet its individual goals and timetables, and can provide access to documentation which demonstrates the effectiveness of actions taken on behalf of the Contractor. The obligation to comply, however, is the Contractor's and failure of such a group to fulfill an obligation shall not be a defense for the Contractor's noncompliance.

(9) A single goal for minorities and a separate single goal for women have been established. Contractor, however, is required to provide equal employment opportunity and to take affirmative action for all minority groups, both male and female, and all women, both minority and non-minority. Consequently, the Contractor may be in violation of the Executive Order if a particular group is employed in a substantially disparate manner (for example, even though Contractor has achieved its goals for women generally, Contractor may be in violation of the Executive Order if a specific minority group of women is underutilized).

(10) Contractor shall not use the goals and timetables or affirmative action standards to discriminate against any person because of race, color, religion, sex, sexual orientation, gender identity, or national origin.

(11) Contractor shall not enter into any subcontract with any person or firm debarred from Government contracts pursuant to Executive Order 11246.

(12) Contractor shall carry out such sanctions and penalties for violation of these specifications and of the Equal Opportunity Clause, including suspension, termination and cancellation of existing subcontracts as may be imposed or ordered pursuant to Executive Order 11246, as amended, and its implementing regulations, by the Office of Federal Contract Compliance Programs. Any Contractor who fails to carry out such sanctions and penalties shall be in violation of these specifications and Executive Order 11246, as amended.

(13) Contractor, in fulfilling its obligations under these specifications, shall implement specific affirmative action steps, at least as extensive as those standards prescribed in paragraph 7 of these

specifications, so as to achieve maximum results from its efforts to ensure equal employment opportunity. If the Contractor fails to comply with the requirements of the Executive Order, the implementing regulations, or these specifications, the Director shall proceed in accordance with 41 CFR 60-4.8.

(14) Contractor shall designate a responsible official to monitor all employment related activity to ensure that the company EEO policy is being carried out, to submit reports relating to the provisions hereof as may be required by the Government and to keep records. Records shall at least include for each employee the name, address, telephone numbers, construction trade, union affiliation if any, employee identification number when assigned, social security number, race, sex, status (e.g., mechanic, apprentice trainee, helper, or laborer), dates of changes in status, hours worked per week in the indicated trade, rate of pay, and locations at which the work was performed. Records shall be maintained in an easily understandable and retrievable form; however, to the degree that existing records satisfy this requirement, contractors shall not be required to maintain separate records.

(15) Nothing herein provided shall be construed as a limitation upon the application of other laws which establish different standards of compliance or upon the application of requirements for the hiring of local or other area residents (e.g., those under the Public Works Employment Act of 1977 and the Community Development Block Grant Program).

Instruction to Bidders

1. The bidder shall insert the price for all bid items and all other information requested in the Bid Form attached or a computer generated schedule of prices. All computer-generated schedule of prices submitted must be correct and correspond to the latest schedule of prices issued by the City of Rockford or the bid may be rejected. All prices shall be net and shall be the full, delivered cost to the City of Rockford, including all factors whatsoever. Failure to comply with this requirement will constitute rejection of bid.

2. The City requires the improvements specified to be completed under the following guidelines: Vendor must begin work within ten (10) days of the Notice to Proceed. Once notice to proceed has been given, Vendor will have until _____ to complete the project. If no project completion date is specified, Department to confirm completion date after contract award

3. Bidders bidding on any City of Rockford construction projects for CIP (Capital Improvement Projects) must be pre-qualified with the State of Illinois according to Section 102 of the Standard Specifications for Road and Bridge construction of the Illinois Department of Transportation. The bidder, prior to receiving a proposal form and being placed on the Bidders list must submit a certified copy of a "Certificate of Eligibility" issued by the Department of Transportation. An "Affidavit of Availability" issued by the Department of Transportation must accompany each sealed bid. Bids will be awarded upon approval of "Affidavit of Availability".

Anyone may secure a proposal marked "NOT FOR BIDDING" but will not be placed on the Bidders List and will not be allowed to submit a bid. Anyone securing a proposal marked "NOT FOR BIDDING" will be placed on a separate list for information purposes only.

4. It shall be mandatory that the awarded vendor and subcontractors comply with the Illinois Preference Act (IL Rev. Stat., Ch. 48, Par. 2201-2207) requires that on Illinois-resident workers be employed on Public Works Projects in times of excessive unemployment.

5. The bidder receiving award of this contract by the Rockford City Council shall submit the following information and be issued a notice to proceed prior to start of work:

- a. Construction schedule including starting date, project phasing controlling factors; and, estimated payment schedule (in Microsoft Projects format, one hard copy and one digital copy);
- b. Material suppliers including plant locations and State certification.
- c. A final, accurate Subcontractor Utilization Form and Subcontractor Workforce Data Forms for each subcontractor to be used. If the subcontractor fails to submit all required EEO compliance forms to Vendor or if the subcontractor is found to be in noncompliance, the City of Rockford may require that the subcontractor in question not be utilized on the project. The City of Rockford also reserves the right to take whatever action necessary to meet all EEO requirements.

6. Bidders are only required to return to the City the forms listed in the Required Forms section of the bid document, along with any special information that may be requested of firms as part of the general or special provisions. Sections 1, 3, and 4 of the bid document need not be returned to the City.

7. Bidder Questions during Bidding.

All questions regarding the bidder's preparation of his bid, pertaining to the drawings and specifications, shall be compiled in writing and e-mailed to Anne Wilkerson, (anne.wilkerson@rockfordil.gov) City of Rockford, Finance Department, at least 72 hours prior to bid time.

Questions received less than 72 hours before the designated bid time cannot be answered by addendum.

Oral statements will not be binding to City of Rockford or Vendor.

Any questions deemed by City as requiring a response will be answered by addendum issued to all bidders and will become a part of the Contract.

Subcontractors must direct their questions through Vendor only.

The consulting Architect and/or the consulting Engineer shall not be contacted direct without prior authorization from City.

8. These instructions are to be considered an integral part of any proposal.

9. Questions regarding EEOs should be addressed to City of Rockford Equal Opportunity Compliance (EOC) Officer, at (779) 348-7264.

10. Questions regarding Bid/RFP specs should be addressed to analyst listed in specs section.

FINANCE AND PERSONNEL COMMITTEE

Anne Wilkerson

Central Services Manager

Section 2

Required Forms

City of Rockford
EQUAL EMPLOYMENT OPPORTUNITY CERTIFICATION

All bidders seeking to do business with the City of Rockford must complete this certification. **Failure to sign this Certification will result in disqualification of Vendor's bid or proposal.** Questions regarding EEOs should be addressed to City of Rockford Equal Opportunity Compliance (EOC) Officer, at (779) 348-7264.

- 1. Compliance with EEO Law.** Vendor acknowledges and certifies that, if awarded a contract with the City of Rockford, it is subject to and will comply with all applicable equal employment opportunity statutes, regulations, and ordinances including but not limited to: the City's Equal Opportunity Employment (EOE) Ordinance (City of Rockford Code of Ordinances, Chapter 11, Article IV); the Illinois Human Rights Act (775 ILCS 5/101 *et seq.*), the Illinois Department of Human Rights Rules and Regulations for Government Contracts (44 Ill. Admin. Code, Chapter X, Section 750), and the Discrimination in Public Contracts Act (775 ILCS 10/0.01 *et seq.*), Title VII of the Civil Rights Act of 1964, as amended (§ 7, 42 U.S.C. § 2000e *et seq.*); the Age Discrimination in Employment Act of 1967, as amended (29 USC §.621 *et seq.*); Title I of the Americans with Disabilities Act of 1990, as amended (42 USC 12111-12117); the Equal Pay Act of 1963, as amended; the Uniformed Services Employment and Reemployment Rights Act of 1994, as amended (38 USC §§ 4301-4335); and, for federally-funded construction contracts (only), Executive Order 11246, as amended, and relevant U.S. Department of Labor regulations regarding equal employment opportunity for federally assisted construction contracts (see 41 CFR Part 60).
- 2. Discrimination Prohibited.** Vendor certifies that it is its policy to provide equal employment opportunity and that it prohibits discrimination against any employee or applicant for employment due to race, color religion, sex, sexual orientation, gender identity, marital status, order of protection status, status as a survivor of domestic violence or human trafficking, national origin or ancestry, citizenship status, age, physical or mental disability unrelated to ability, military status, or unfavorable discharge from military service. Further, Vendor will examine all job classifications to determine if minority persons or women are underutilized and will take appropriate affirmative action to rectify any underutilization, as is required by the Illinois Department of Human Rights Rules and Regulations for Government Contracts.
- 3. Non-Segregated Facilities.** Vendor certifies that it provides facilities at its place of business without segregation except where separate facilities for a person of the opposite sex are required. Vendor also certifies that it will, to the greatest extent possible, not assign employees to work at any location where facilities are so segregated and that it will insert into its subcontracts the provisions of this paragraph for work performed under this contract and obtain the same certification from subcontractors.
- 4. Government Exclusion, Debarment, or Suspension.** Vendor certifies that it is not subject to any exclusion, debarment, suspension, or other disciplinary action by any government agency including but not limited to the U.S. Government, State of Illinois, Illinois Human Rights Commission, Illinois Department of Labor, or any other federal or state agency or political subdivision. Additionally, if at any time Vendor is subject to such exclusion, suspension, or debarment during the contract period, Vendor certifies that it will immediately disclose this information to the City's EOC Officer.

City of Rockford
EQUAL EMPLOYMENT OPPORTUNITY CERTIFICATION

5. **Subcontracting.** Vendor certifies that, if awarded a public contract with the City of Rockford, it will include verbatim or by reference the provisions of the City's General Conditions *Equal Employment Opportunity* paragraph 19 in every subcontract awarded under which any portion of the contract obligations are undertaken or assumed. For federally funded construction contracts, the conditions described in paragraph (8) of the "Equal Opportunity Clause for Federally Assisted Construction Contracts" and paragraph (2) of the "Standard Federal Equal Employment Opportunity Construction Contract Specifications" must also be included in every subcontract. Vendor acknowledges that it is responsible for the compliance of all of its subcontractors with this provision. Vendor also certifies it will not utilize any subcontractor excluded, debarred, suspended, or otherwise disciplined by any government agency including but not limited to the U.S. Government, State of Illinois, Illinois Human Rights Commission, Illinois Department of Labor, or any other federal or state agency or political subdivision, and that it will notify the City's EOC Officer if any subcontractor fails to comply with such provision.

6. **MWBE Procurement Policy.** Vendor understands that it is the policy of the City of Rockford to encourage and promote the award of subcontracts to ready, willing, and able Minority and Women Business Enterprises (MWBEs) certified with the City. The City strongly encourages bidders, when preparing bids or proposals, to contact certified MWBEs regarding potential subcontracting opportunities. Vendor certifies that it has worked in good faith to comply with this policy by contacting MWBE businesses for subcontracting opportunities when possible (list can be found at <https://rockfordil.gov/279/purchasing/>). For federally funded construction projects (only), Vendor further certifies it has demonstrated good faith efforts to meet the women and minority subcontracting goals set forth in the "Notice of Requirement for Affirmative Action to Ensure Equal Employment Opportunity."

Signature of Vendor

Date

City of Rockford
SUBCONTRACTOR UTILIZATION FORM

**THIS FORM MUST BE COMPLETED EVEN IF YOU DO NOT PLAN TO USE
SUBCONTRACTORS**
(COMPLETE SECTIONS I, II, AND V IF YOU DO NOT PLAN TO USE SUBCONTRACTORS).

All Vendors seeking to do business with the City of Rockford must provide information about all subcontractors that will be used. **A Subcontractor is any person or business that supplies any of the work, transportation or labor services, supplies, equipment, or materials under a contract with Vendor.** **Failure to complete this form will result in disqualification of Vendor's bid or proposal.** Questions regarding EEOs should be addressed to City of Rockford Equal Opportunity Compliance (EOC) Officer, at (779) 348-7264.

Section I—Vendor/Prime Contractor Information

Is this an update to a previously submitted Subcontractor Utilization Form? Yes No

Vendor Name:	
Project Name:	Bid or RFP Number:
Total Proposal/Bid Amount (over the full term of the contract):	
Vendor Contact Name:	Contact Phone: Contact Email:
Vendor Certification Status:	Minority Business Enterprise Women Business Enterprise None

Section II--Subcontractor Utilization

Will subcontractors be used? Yes (complete rest of form) No (proceed to Section V)

Section III—Subcontractor Selection

Please list information for **ALL** subcontractors Vendor *believes it will* use. Vendor may make changes or additions to its list of subcontractors by submitting an updated form to the City's EOC Officer after award, if needed.

Subcontractor Name	MBE or WBE? (Y/N)	Amount	% of Total Proposal/Bid	Scope of Work

If more than six subcontractors will be used, please complete the [Subcontractor Utilization Form-Supplement](#).

City of Rockford
SUBCONTRACTOR UTILIZATION FORM

If Vendor plans to use subcontractors, but has not yet identified some or all of the subcontractors to be used, please explain why:

Section IV—MWBE Subcontractors Contacted

It is the policy of the City of Rockford to encourage and promote the award of subcontracts to qualified and available Minority and Women Business Enterprises (MWBEs) certified with the City. The City strongly encourages bidders, when preparing bids or proposals, to contact certified MWBEs regarding potential subcontracting opportunities (a list of MWBEs can be found at <https://rockfordil.gov/279/purchasing>). Please list the MWBEs Vendor has contacted regarding subcontractor opportunities for this proposal/bid (MWBE subcontractors selected and listed in Section III do not need to be listed again here):

MWBE Business Name	Method of Contact (e.g. phone, email)	Why not used?

Section V—Signature

The undersigned certifies that the information provided herein is truthful, accurate, and complete. Further, Vendor acknowledges that if it is awarded the contract, this information must be kept up to date by Vendor. According to the City's General Conditions Paragraph 16, **any changes in subcontractor utilization must be immediately made in writing** by submitting a new form to the City's Equal Opportunity Compliance Officer (contact information provided at the top of this form). A complete and accurate list of subcontractors will be required prior to beginning work on the project, if awarded.

Signature

Date

Name

Title

City of Rockford
VENDOR WORKFORCE DATA FORM

The City must collect information in an effort to monitor Vendor's compliance with the Illinois Human Rights Act, Illinois Department of Human Rights Rules and Regulations, and City of Rockford Equal Employment Opportunity Ordinance. **Failure to complete this form will result in disqualification of Vendor's bid or proposal.** Questions regarding EEOs should be addressed to: City of Rockford Equal Opportunity Compliance (EOC) Officer, at (779) 348-7264.

Part I: Vendor Information

Vendor Name:	Bid or RFP Number:
Project Name:	IDHR Number ¹ :
Date:	Expiration:
Vendor's EEO Contact Name:	Estimated Duration of Work:
Title:	Contact Email:
	Contact Phone:

Part II: Vendor Workforce Data

Please provide the *number* of individuals employed by Vendor in each category below (report all employees, not just those who will work under the contract). Definitions of the EEO Job Categories are included with this form.

W - White B - Black H – Hispanic/Latino A - Asian AI - American Indian, Alaskan or Hawaiian Native
Tw—Two or more race/ethnicity T – Total

JOB CATEGORY	W	MALE					W	FEMALE					TOTAL
		B	H	A	AI	Tw		B	H	A	AI	Tw	
Officials and Managers													
Professional Workers													
Technicians													
Sales Workers													
Administrative Support Workers													
Craft Workers													
Operatives													
Laborers and Helpers													
Service Workers													
TOTAL													

¹ Bidders must have an Illinois Department of Human Rights Eligibility Number if 1) bidder employs 15 or more persons, AND 2) if the bid or proposal will total more than \$100,000.

City of Rockford
SUBCONTRACTOR WORKFORCE DATA FORM

This form is required if Vendor will be using one or more subcontractors to complete work or perform services for the City. A Workforce Data Form must be completed for *each* subcontractor. Questions regarding EEOs should be addressed to: City of Rockford Equal Opportunity Compliance (EOC) Officer, at (779) 348-7264.

Part I: Identification

Subcontractor Name:	Bid Number:
Project Name:	IDHR Number: Expiration:
Date:	Estimated Duration of Work:
Subcontractor's EEO Contact Name:	Contact Email: Contact Phone:

Part II: Subcontractor Workforce Data

Please provide the *number* of individuals employed by subcontractor in each category below (report all employees, not just those who will work under the contract). Definitions of the EEO Job Categories are included on the next page of this form.

W - White B - Black H - Hispanic/Latino A - Asian AI - American Indian, Alaskan or Hawaiian Native
Tw—Two or more race/ethnicity T – Total

JOB CATEGORY	MALE							FEMALE							TOTAL
	W	B	H	A	AI	Tw	T	W	B	H	A	AI	Tw	T	
Officials and Managers															
Professional Workers															
Technicians															
Sales Workers															
Administrative Support Workers															
Craft Workers															
Operatives															
Laborers and Helpers															
Service Workers															
TOTAL															

Job Category Descriptions

Officials and Managers: Jobs occupied by administrative and managerial personnel who set broad policies, exercise overall responsibility for execution of these policies, and direct individual departments or special phases of a firm's operations. Includes: officials, executives, middle management, plant managers, department managers, superintendents, salaried supervisors who are members of management, and purchasing agents and buyers.

Professionals: Jobs requiring bachelor or graduate degree and/or professional certification or comparable experience. Includes: accountants and auditors, architects, chemists, computer programmers, designers, editors, engineers, lawyers, scientists, registered professional nurses, personnel and labor relations specialists, physicians, and surveyors.

Technicians: Jobs requiring a combination of basic scientific knowledge and manual skill which is often obtained through 2 years of post-high school education or through equivalent on-the-job training. Includes: drafters, surveying and mapping technicians, engineering aides, junior engineers, mathematical aides, emergency medical technicians, and licensed practical nurses.

Sales Workers: Jobs engaging wholly or primarily in direct selling. Includes: advertising agents and sales workers, insurance agents and brokers, real estate agents and brokers, stock and bond sales workers, securities, commodities, and financial services sales agents, demonstrators, sales workers and sales clerks, grocery clerks, and cashiers/checkers.

Administrative Support Workers: Jobs involving non-managerial tasks providing administrative and support assistance, primarily in office settings. Includes: office support, bookkeepers, accounting and auditing clerks, dispatchers, data entry workers, collectors (bills and accounts), messengers and office helpers, shipping and receiving clerks, typists and secretaries, telephone operators, and legal assistants.

Craft Workers: Jobs requiring higher skill in areas including: construction (building trades craft workers and their formal apprentices); natural resource extraction workers; installation, maintenance and part replacement of equipment, machines and tools; and some production occupations that are distinguished by the high degree of skill and precision. Includes: boilermakers; brick & stone masons; carpenters; electricians; painters; glaziers; plumbers, pipefitters & steam fitters; roofers; elevator installers; earth drillers; oil & gas rotary drill operators; blasters & explosive workers; mechanics; electric & electronic equipment repairers; millwrights; and tool & die makers.

Operatives: Jobs involving operation of machines, factory-related processing equipment, or equipment to facilitate the movement of people or materials. These occupations require intermediate skill level and usually do not require more than several months of training. Includes: machine operators; electrical & electronic equipment assemblers; semiconductor processors; testers; graders & sorters; bridge & lock tenders; truck, bus or taxi drivers; industrial truck & tractor (forklift) operators; conveyor operations; and hand packers & packagers.

Laborers and Helpers: Jobs requiring limited skills and brief training to perform tasks that require little or no independent judgment. Includes: production & construction worker helpers; construction laborers; refuse & recyclable materials collectors; landscapers, grounds maintenance workers, and laborers performing lifting, digging, mixing, loading and pulling operations.

Service Workers: Jobs in food service, personal service, cleaning service, and protective service occupations. Skill may be acquired through formal training, job-related training or direct experience. Includes: food service workers; medical assistants and other healthcare support occupations; transportation attendants; cleaners; janitors; porters; transit and railroad; police and fire fighters; guards; private detectives and investigators.

**Acknowledgement of Stormwater Management Ordinance and IEPA General Construction Permit
(ILR10) Requirements**

By indicating below, we acknowledge receipt of the Stormwater Management Ordinance and IEPA's General Construction Permit, if applicable. Both documents can be found on the City of Rockford website at:

<https://rockfordil.gov/274/stormwater-environmental-team/>

The IEPA General Construction permit can also be located at:

<https://www2.illinois.gov/epa/topics/forms/water-permits/storm-water/Pages/general-permits.aspx>

I have been provided access to the City of Rockford Stormwater Management Ordinance and the Illinois EPAs General Construction Permit and agree to comply with the terms outlined therein.

Person, Firm or Corporation

Authorized Signature

Acknowledgement of Addenda

By indicating below, we acknowledge receipt of the addenda listed.

Addendum _____	Date _____

Person, Firm or Corporation

Authorized Signature

The City of Rockford may respond to requests for information or pro-actively provide more information by posting addenda to bid packages on the City website. The City and its personnel are not responsible for notifying potential vendors of any addenda to bid packages posted to the [City's website](#). The City may, but is not required to, provide notification of new addenda via one or more of the same methods by which the original bid request was posted. Vendors who fail to account for information or requests included in these addenda may have their bids disqualified. THEREFORE, IT IS EXTREMELY IMPORTANT THAT POTENTIAL VENDORS MONITOR THE [CITY WEBSITE](#) FOR ANY ADDENDA TO THE ORIGINAL BID PACKAGES.

Request for Taxpayer
Identification Number and CertificationGo to www.irs.gov/FormW9 for instructions and the latest information.Give form to the
requester. Do not
send to the IRS.Before you begin. For guidance related to the purpose of Form W-9, see *Purpose of Form*, below.

Print or type. See <i>Specific Instructions</i> on page 3.	1 Name of entity/individual. An entry is required. (For a sole proprietor or disregarded entity, enter the owner's name on line 1, and enter the business/disregarded entity's name on line 2.)						
	2 Business name/disregarded entity name, if different from above.						
	3a Check the appropriate box for federal tax classification of the entity/individual whose name is entered on line 1. Check only one of the following seven boxes.						4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):
	<input type="checkbox"/> Individual/sole proprietor <input type="checkbox"/> C corporation <input type="checkbox"/> S corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> LLC. Enter the tax classification (C = C corporation, S = S corporation, P = Partnership) _____ Note: Check the "LLC" box above and, in the entry space, enter the appropriate code (C, S, or P) for the tax classification of the LLC, unless it is a disregarded entity. A disregarded entity should instead check the appropriate box for the tax classification of its owner. <input type="checkbox"/> Other (see instructions) _____						Exempt payee code (if any) _____
	3b If on line 3a you checked "Partnership" or "Trust/estate," or checked "LLC" and entered "P" as its tax classification, and you are providing this form to a partnership, trust, or estate in which you have an ownership interest, check this box if you have any foreign partners, owners, or beneficiaries. See instructions _____						Exemption from Foreign Account Tax Compliance Act (FATCA) reporting code (if any) _____
	5 Address (number, street, and apt. or suite no.). See instructions.						Requester's name and address (optional)
	6 City, state, and ZIP code						
	7 List account number(s) here (optional)						

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the instructions for Part I, later. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN*, later.

Note: If the account is in more than one name, see the instructions for line 1. See also *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number						
<input type="text"/>	<input type="text"/>	<input type="text"/> - <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
or						
Employer identification number						
<input type="text"/>	<input type="text"/>	<input type="text"/> - <input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me); and
2. I am not subject to backup withholding because (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding; and
3. I am a U.S. citizen or other U.S. person (defined below); and
4. The FATCA code(s) entered on this form (if any) indicating that I am exempt from FATCA reporting is correct.

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and, generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions for Part II, later.

Sign Here	Signature of U.S. person	Date
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General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to www.irs.gov/FormW9.

What's New

Line 3a has been modified to clarify how a disregarded entity completes this line. An LLC that is a disregarded entity should check the appropriate box for the tax classification of its owner. Otherwise, it should check the "LLC" box and enter its appropriate tax classification.

New line 3b has been added to this form. A flow-through entity is required to complete this line to indicate that it has direct or indirect foreign partners, owners, or beneficiaries when it provides the Form W-9 to another flow-through entity in which it has an ownership interest. This change is intended to provide a flow-through entity with information regarding the status of its indirect foreign partners, owners, or beneficiaries, so that it can satisfy any applicable reporting requirements. For example, a partnership that has any indirect foreign partners may be required to complete Schedules K-2 and K-3. See the Partnership Instructions for Schedules K-2 and K-3 (Form 1065).

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS is giving you this form because they

must obtain your correct taxpayer identification number (TIN), which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

- Form 1099-INT (interest earned or paid).
- Form 1099-DIV (dividends, including those from stocks or mutual funds).
- Form 1099-MISC (various types of income, prizes, awards, or gross proceeds).
- Form 1099-NEC (nonemployee compensation).
- Form 1099-B (stock or mutual fund sales and certain other transactions by brokers).
- Form 1099-S (proceeds from real estate transactions).
- Form 1099-K (merchant card and third-party network transactions).
- Form 1098 (home mortgage interest), 1098-E (student loan interest), and 1098-T (tuition).
- Form 1099-C (canceled debt).
- Form 1099-A (acquisition or abandonment of secured property).

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN.

Caution: If you don't return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See *What is backup withholding*, later.

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued);
2. Certify that you are not subject to backup withholding; or
3. Claim exemption from backup withholding if you are a U.S. exempt payee; and
4. Certify to your non-foreign status for purposes of withholding under chapter 3 or 4 of the Code (if applicable); and
5. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting is correct. See *What Is FATCA Reporting*, later, for further information.

Note: If you are a U.S. person and a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien;
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States;
- An estate (other than a foreign estate); or
- A domestic trust (as defined in Regulations section 301.7701-7).

Establishing U.S. status for purposes of chapter 3 and chapter 4 withholding. Payments made to foreign persons, including certain distributions, allocations of income, or transfers of sales proceeds, may be subject to withholding under chapter 3 or chapter 4 of the Code (sections 1441–1474). Under those rules, if a Form W-9 or other certification of non-foreign status has not been received, a withholding agent, transferee, or partnership (payor) generally applies presumption rules that may require the payor to withhold applicable tax from the recipient, owner, transferor, or partner (payee). See Pub. 515, *Withholding of Tax on Nonresident Aliens and Foreign Entities*.

The following persons must provide Form W-9 to the payor for purposes of establishing its non-foreign status.

- In the case of a disregarded entity with a U.S. owner, the U.S. owner of the disregarded entity and not the disregarded entity.
- In the case of a grantor trust with a U.S. grantor or other U.S. owner, generally, the U.S. grantor or other U.S. owner of the grantor trust and not the grantor trust.
- In the case of a U.S. trust (other than a grantor trust), the U.S. trust and not the beneficiaries of the trust.

See Pub. 515 for more information on providing a Form W-9 or a certification of non-foreign status to avoid withholding.

Foreign person. If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person (under Regulations section 1.1441-1(b)(2)(iv) or other applicable section for chapter 3 or 4 purposes), do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Pub. 515). If you are a qualified foreign pension fund under Regulations section 1.897(l)-1(d), or a partnership that is wholly owned by qualified foreign pension funds, that is treated as a non-foreign person for purposes of section 1445 withholding, do not use Form W-9. Instead, use Form W-8EXP (or other certification of non-foreign status).

Nonresident alien who becomes a resident alien. Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a saving clause. Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the payee has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement to Form W-9 that specifies the following five items.

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.
4. The type and amount of income that qualifies for the exemption from tax.
5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if their stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first Protocol) and is relying on this exception to claim an exemption from tax on their scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity, give the requester the appropriate completed Form W-8 or Form 8233.

Backup Withholding

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 24% of such payments. This is called "backup withholding." Payments that may be subject to backup withholding include, but are not limited to, interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, payments made in settlement of payment card and third-party network transactions, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester;
2. You do not certify your TIN when required (see the instructions for Part II for details);
3. The IRS tells the requester that you furnished an incorrect TIN;
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only); or
5. You do not certify to the requester that you are not subject to backup withholding, as described in item 4 under "By signing the filled-out form" above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See *Exempt payee code*, later, and the separate Instructions for the Requester of Form W-9 for more information.

See also *Establishing U.S. status for purposes of chapter 3 and chapter 4 withholding*, earlier.

What Is FATCA Reporting?

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all U.S. account holders that are specified U.S. persons. Certain payees are exempt from FATCA reporting. See *Exemption from FATCA reporting code*, later, and the Instructions for the Requester of Form W-9 for more information.

Updating Your Information

You must provide updated information to any person to whom you claimed to be an exempt payee if you are no longer an exempt payee and anticipate receiving reportable payments in the future from this person. For example, you may need to provide updated information if you are a C corporation that elects to be an S corporation, or if you are no longer tax exempt. In addition, you must furnish a new Form W-9 if the name or TIN changes for the account, for example, if the grantor of a grantor trust dies.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Line 1

You must enter one of the following on this line; **do not** leave this line blank. The name should match the name on your tax return.

If this Form W-9 is for a joint account (other than an account maintained by a foreign financial institution (FFI)), list first, and then circle, the name of the person or entity whose number you entered in Part I of Form W-9. If you are providing Form W-9 to an FFI to document a joint account, each holder of the account that is a U.S. person must provide a Form W-9.

• **Individual.** Generally, enter the name shown on your tax return. If you have changed your last name without informing the Social Security Administration (SSA) of the name change, enter your first name, the last name as shown on your social security card, and your new last name.

Note for ITIN applicant: Enter your individual name as it was entered on your Form W-7 application, line 1a. This should also be the same as the name you entered on the Form 1040 you filed with your application.

• **Sole proprietor.** Enter your individual name as shown on your Form 1040 on line 1. Enter your business, trade, or "doing business as" (DBA) name on line 2.

• **Partnership, C corporation, S corporation, or LLC, other than a disregarded entity.** Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.

• **Other entities.** Enter your name as shown on required U.S. federal tax documents on line 1. This name should match the name shown on the charter or other legal document creating the entity. Enter any business, trade, or DBA name on line 2.

• **Disregarded entity.** In general, a business entity that has a single owner, including an LLC, and is not a corporation, is disregarded as an entity separate from its owner (a disregarded entity). See Regulations section 301.7701-2(c)(2). A disregarded entity should check the appropriate box for the tax classification of its owner. Enter the owner's name on line 1. The name of the owner entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For

example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2. If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

Line 2

If you have a business name, trade name, DBA name, or disregarded entity name, enter it on line 2.

Line 3a

Check the appropriate box on line 3a for the U.S. federal tax classification of the person whose name is entered on line 1. Check only one box on line 3a.

IF the entity/individual on line 1 is a(n) . . .	THEN check the box for . . .
• Corporation	Corporation.
• Individual or	Individual/sole proprietor.
• Sole proprietorship	
• LLC classified as a partnership for U.S. federal tax purposes or	Limited liability company and enter the appropriate tax classification: P = Partnership, C = C corporation, or S = S corporation.
• LLC that has filed Form 8832 or 2553 electing to be taxed as a corporation	
• Partnership	Partnership.
• Trust/estate	Trust/estate.

Line 3b

Check this box if you are a partnership (including an LLC classified as a partnership for U.S. federal tax purposes), trust, or estate that has any foreign partners, owners, or beneficiaries, and you are providing this form to a partnership, trust, or estate, in which you have an ownership interest. You must check the box on line 3b if you receive a Form W-8 (or documentary evidence) from any partner, owner, or beneficiary establishing foreign status or if you receive a Form W-9 from any partner, owner, or beneficiary that has checked the box on line 3b.

Note: A partnership that provides a Form W-9 and checks box 3b may be required to complete Schedules K-2 and K-3 (Form 1065). For more information, see the Partnership Instructions for Schedules K-2 and K-3 (Form 1065).

If you are required to complete line 3b but fail to do so, you may not receive the information necessary to file a correct information return with the IRS or furnish a correct payee statement to your partners or beneficiaries. See, for example, sections 6698, 6722, and 6724 for penalties that may apply.

Line 4 Exemptions

If you are exempt from backup withholding and/or FATCA reporting, enter in the appropriate space on line 4 any code(s) that may apply to you.

Exempt payee code.

- Generally, individuals (including sole proprietors) are not exempt from backup withholding.
- Except as provided below, corporations are exempt from backup withholding for certain payments, including interest and dividends.
- Corporations are not exempt from backup withholding for payments made in settlement of payment card or third-party network transactions.
- Corporations are not exempt from backup withholding with respect to attorneys' fees or gross proceeds paid to attorneys, and corporations that provide medical or health care services are not exempt with respect to payments reportable on Form 1099-MISC.

The following codes identify payees that are exempt from backup withholding. Enter the appropriate code in the space on line 4.

1—An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2).

2—The United States or any of its agencies or instrumentalities.

3—A state, the District of Columbia, a U.S. commonwealth or territory, or any of their political subdivisions or instrumentalities.

4—A foreign government or any of its political subdivisions, agencies, or instrumentalities.

5—A corporation.

6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or territory.

7—A futures commission merchant registered with the Commodity Futures Trading Commission.

8—A real estate investment trust.

9—An entity registered at all times during the tax year under the Investment Company Act of 1940.

10—A common trust fund operated by a bank under section 584(a).

11—A financial institution as defined under section 581.

12—A middleman known in the investment community as a nominee or custodian.

13—A trust exempt from tax under section 664 or described in section 4947.

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 13.

IF the payment is for . . .	THEN the payment is exempt for . . .
• Interest and dividend payments	All exempt payees except for 7.
• Broker transactions	Exempt payees 1 through 4 and 6 through 11 and all C corporations. S corporations must not enter an exempt payee code because they are exempt only for sales of noncovered securities acquired prior to 2012.
• Barter exchange transactions and patronage dividends	Exempt payees 1 through 4.
• Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt payees 1 through 5. ²
• Payments made in settlement of payment card or third-party network transactions	Exempt payees 1 through 4.

¹ See Form 1099-MISC, Miscellaneous Information, and its instructions.

² However, the following payments made to a corporation and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees, gross proceeds paid to an attorney reportable under section 6045(f), and payments for services paid by a federal executive agency.

Exemption from FATCA reporting code. The following codes identify payees that are exempt from reporting under FATCA. These codes apply to persons submitting this form for accounts maintained outside of the United States by certain foreign financial institutions. Therefore, if you are only submitting this form for an account you hold in the United States, you may leave this field blank. Consult with the person requesting this form if you are uncertain if the financial institution is subject to these requirements. A requester may indicate that a code is not required by providing you with a Form W-9 with "Not Applicable" (or any similar indication) entered on the line for a FATCA exemption code.

A—An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37).

B—The United States or any of its agencies or instrumentalities.

C—A state, the District of Columbia, a U.S. commonwealth or territory, or any of their political subdivisions or instrumentalities.

D—A corporation the stock of which is regularly traded on one or more established securities markets, as described in Regulations section 1.1472-1(c)(1)(i).

E—A corporation that is a member of the same expanded affiliated group as a corporation described in Regulations section 1.1472-1(c)(1)(i).

F—A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state.

G—A real estate investment trust.

H—A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940.

I—A common trust fund as defined in section 584(a).

J—A bank as defined in section 581.

K—A broker.

L—A trust exempt from tax under section 664 or described in section 4947(a)(1).

M—A tax-exempt trust under a section 403(b) plan or section 457(g) plan.

Note: You may wish to consult with the financial institution requesting this form to determine whether the FATCA code and/or exempt payee code should be completed.

Line 5

Enter your address (number, street, and apartment or suite number). This is where the requester of this Form W-9 will mail your information returns. If this address differs from the one the requester already has on file, enter "NEW" at the top. If a new address is provided, there is still a chance the old address will be used until the payor changes your address in their records.

Line 6

Enter your city, state, and ZIP code.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have, and are not eligible to get, an SSN, your TIN is your IRS ITIN. Enter it in the entry space for the Social security number. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN.

If you are a single-member LLC that is disregarded as an entity separate from its owner, enter the owner's SSN (or EIN, if the owner has one). If the LLC is classified as a corporation or partnership, enter the entity's EIN.

Note: See *What Name and Number To Give the Requester*, later, for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at www.SSA.gov. You may also get this form by calling 800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/EIN. Go to www.irs.gov/Forms to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to www.irs.gov/OrderForms to place an order and have Form W-7 and/or Form SS-4 mailed to you within 15 business days.

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and enter "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, you will generally have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note: Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon. See also *Establishing U.S. status for purposes of chapter 3 and chapter 4 withholding*, earlier, for when you may instead be subject to withholding under chapter 3 or 4 of the Code.

Caution: A disregarded U.S. entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if item 1, 4, or 5 below indicates otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). In the case of a disregarded entity, the person identified on line 1 must sign. Exempt payees, see *Exempt payee code*, earlier.

Signature requirements. Complete the certification as indicated in items 1 through 5 below.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983.

You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments made in settlement of payment card and third-party network transactions, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), ABLE accounts (under section 529A), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account) other than an account maintained by an FFI	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Two or more U.S. persons (joint account maintained by an FFI)	Each holder of the account
4. Custodial account of a minor (Uniform Gift to Minors Act)	The minor ²
5. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee ¹
b. So-called trust account that is not a legal or valid trust under state law	The actual owner ¹
6. Sole proprietorship or disregarded entity owned by an individual	The owner ³
7. Grantor trust filing under Optional Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A)) ^{**}	The grantor [*]

For this type of account:	Give name and EIN of:
8. Disregarded entity not owned by an individual	The owner
9. A valid trust, estate, or pension trust	Legal entity ⁴
10. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
11. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
12. Partnership or multi-member LLC	The partnership
13. A broker or registered nominee	The broker or nominee
14. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
15. Grantor trust filing Form 1041 or under the Optional Filing Method 2, requiring Form 1099 (see Regulations section 1.671-4(b)(2)(i)(B)) ^{**}	The trust

¹ List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

² Circle the minor's name and furnish the minor's SSN.

³ You must show your individual name on line 1, and enter your business or DBA name, if any, on line 2. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

⁴ List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.)

* Note: The grantor must also provide a Form W-9 to the trustee of the trust.

** For more information on optional filing methods for grantor trusts, see the Instructions for Form 1041.

Note: If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Secure Your Tax Records From Identity Theft

Identity theft occurs when someone uses your personal information, such as your name, SSN, or other identifying information, without your permission to commit fraud or other crimes. An identity thief may use your SSN to get a job or may file a tax return using your SSN to receive a refund.

To reduce your risk:

- Protect your SSN,
- Ensure your employer is protecting your SSN, and
- Be careful when choosing a tax return preparer.

If your tax records are affected by identity theft and you receive a notice from the IRS, respond right away to the name and phone number printed on the IRS notice or letter.

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity, or a questionable credit report, contact the IRS Identity Theft Hotline at 800-908-4490 or submit Form 14039.

For more information, see Pub. 5027, Identity Theft Information for Taxpayers.

Victims of identity theft who are experiencing economic harm or a systemic problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 877-777-4778 or TTY/TDD 800-829-4059.

Protect yourself from suspicious emails or phishing schemes.

Phishing is the creation and use of email and websites designed to mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

The IRS does not initiate contacts with taxpayers via emails. Also, the IRS does not request personal detailed information through email or ask taxpayers for the PIN numbers, passwords, or similar secret access information for their credit card, bank, or other financial accounts.

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 800-366-4484. You can forward suspicious emails to the Federal Trade Commission at spam@uce.gov or report them at www.ftc.gov/complaint. You can contact the FTC at www.ftc.gov/idtheft or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see www.IdentityTheft.gov and Pub. 5027.

Go to www.irs.gov/IdentityTheft to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information.

Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and territories for use in administering their laws. The information may also be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payors must generally withhold a percentage of taxable interest, dividends, and certain other payments to a payee who does not give a TIN to the payor. Certain penalties may also apply for providing false or fraudulent information.



City of Rockford Apprenticeship Form

Return with Bid

All contractors are required to complete the following certification:

- For this contract proposal or for all groups in this deliver and install proposal.
- For the following deliver and install groups in this material proposal:

The City of Rockford, in accordance with the requirements set forth by the State of Illinois, requires that this contract to be awarded to the lowest responsive and responsible bidder. The award decision is subject to approval by the City of Rockford. In addition to all other responsibility factors, this contract or deliver and install proposal requires all bidders and all bidders' subcontractors to disclose participation in apprenticeship or training programs that are (1) approved by and registered with the United States Department of Labor's Bureau of Apprenticeship and Training, and (2) applicable to the work of the above indicated proposals or groups. Therefore, all bidders are required to complete the following certification:

- I. Except as provided in paragraph IV below, the undersigned bidder certifies that it is a participant, either as an individual or as part of a group program, in an approved apprenticeship or training program applicable to each type of work or craft that the bidder will perform with its own employees.
- II. The undersigned bidder further certifies for work to be performed by subcontract that each of its subcontractors submitted for approval either (A) is, at the time of such bid, participating in an approved, applicable apprenticeship or training program; or (B) will, prior to commencement of performance of work pursuant to this contract, establish participation in an approved apprenticeship or training program applicable to the work of the subcontract.
- III. The undersigned bidder, by inclusion in the list in the space below, certifies the official name of each program sponsor holding the Certificate of Registration for all of the types of work or crafts in which the bidder is a participant and that will be performed with the bidder's employees. Types of work or craft that will be subcontracted shall be included and listed as subcontract work. The list shall also indicate any type of work or craft job category for which there is no applicable apprenticeship or training program available.

IV. Except for any work identified above, any bidder or subcontractor that shall perform all or part of the work of the contract or deliver and install proposal solely by individual owners, partners or members and not by employees to whom the payment of prevailing rates of wages would be required, check the following box, and identify the owner/operator workforce and positions of ownership.

The requirements of this certification and disclosure are a material part of the contract, and the contractor shall require this certification provision to be included in all approved subcontracts. The bidder is responsible for making a complete report and shall make certain that each type of work or craft job category that will be utilized on the project is accounted for and listed. The City at any time before or after award may require the production of a copy of each applicable Certificate of Registration issued by the United States Department of Labor evidencing such participation by the contractor and any or all of its subcontractors. In order to fulfill the participation requirement, it shall not be necessary that any applicable program sponsor be currently taking or that it will take applications for apprenticeship, training or employment during the performance of the work of this contract or deliver and install proposal.

Bidder: _____

By: _____

(Signature)

Address: _____

Title: _____

Section 3

Bid/RFP

Specifications

Demolition Specs

1.0 Scope

- 1.1 The City of Rockford requests bids from qualified companies to provide all labor, materials, equipment, and supplies necessary for the demolition of identified properties and remove all fences and scrub trees within property lines
- 1.2 Additional demo requirements on a per property basis are outlined in Appendix C.

2.0 General Requirements

- 2.1 Vendor Qualifications. All bidders on this project must be designated as a licensed Class A demolition contractor unless the property qualifies to be done by a Class B demolition contractor prior to submitting a bid (see Appendix B for Class descriptions). All bidders must have the appropriate class of license for the property being demolished prior to bidding.

- 2.1.1 Each bidder shall be qualified, properly licensed, and bonded to operate the business of a Demolition Contractor in the City of Rockford.
 - 2.1.2 All work shall be done in a workmanlike manner, in compliance with all local, state and federal codes applicable thereto, and said work shall be performed by workmen trained and skilled in the craft involved.

2.2 Subcontractors

- 2.2.1 Bidders may use a subcontractor to complete any portion of the work. Bidders must list any subcontractors to be used at the time of the original bid.
- 2.2.2 The City reserves the right to deny a subcontractor permission to work on the City's contract. Should the contractor use an unapproved subcontractor on a City project, the City may cancel the contract upon discovery.
- 2.2.3 Subcontractors must meet same City requirements as demolition vendor including, but not limited to, licensing and insurance.

2.3 Examination of Site

- 2.3.1 Bidders shall carefully examine the project site(s). To eliminate misconceptions, verify dimensions, elevation, working conditions, transportation and storage facilities. Bidders shall give due consideration to same in preparing their proposals as no exceptions will be considered after awarding the contract; nor will the contractor be entitled to any extra compensation for his/her failure to verify conditions at the site.

The City assumes no responsibility for the condition of existing buildings and structures, nor their continuance in the condition existing at the time of issuance of the contract price or allowance for any change in conditions which may occur after issuance of the Invitation for Bids has been issued will be made. The Awarded Contractor shall schedule a J.U.L.I.E. locate to determine utilities located on the demolition property and if any utilities are necessary to remain for service of adjacent properties, determine how to protect such utilities. See also section 3.2.

2.4 Timeline of demolition

- 2.4.1 The successful contractor shall commence demolition within 15 days of the issuance of the purchase order and demolition shall be completed no later than

45 days from the issuance of the purchase order. Once a property is started for demolition, the contractor shall complete the demolition within 30 days thereafter (Section 6: 105-276 City of Rockford Code of Ordinance). Failure to comply with any of these specifications may result in the revocation of the contractor's license, or cancellation of the City's contract. Asbestos abatement shall constitute the commencement of demolition.

2.5 Nature of Work

- 2.5.1 The City treats all bids as finalized and complete bids covering the entire scope of the specifications herein. The City does not permit bids to be changed once submitted and any miscalculation or mistake will not be considered.
- 2.5.2 In the event of a necessary change (i.e. undetectable underground storage containers) bidder will submit signed change orders for any price change after taking proper measures to notify the City.

2.6 Documentation

- 2.6.1 For the purposes of proof of compliance with state and federal regulations, the City requires photo documentation before, during, and after the completion of the demolition. Specifically, the City would ask for the following:
 - 2.6.1.1 No less than 2 pictures of the condition of the house on the day of demolition prior to beginning demolition.
 - 2.6.1.2 No less than 2 pictures per day of demolition of the methods used to demolish the property during demolition.
 - 2.6.1.3 No less than 2 pictures of work done to grade and seed the property.
 - 2.6.1.3.1 At least one picture of the seed tag depicting the type of seed used to complete the demolition.
 - 2.6.1.4 All photographs are to be submitted with the remaining paperwork after completion.

2.7 Basis of Award

- 2.7.1 The contract will be awarded to the lowest responsible and responsive bidder. The City reserves the right to request any information necessary to determine a vendor's ability to complete the work desired. This may include standard specification information and references from other clients. If these information requests are denied, the City reserves the right to reject the bid.
- 2.7.2 Awarding package bid vs. individual bids. In an effort to gain better pricing, the City has grouped structures to be demolished geographically. By doing this, the City hopes to gain cost savings associated with equipment hauling as well as debris removal and delivery of backfill and grading material. Bidders that submit a package bid price only need to include a lump sum amount for consideration. The low bidder upon award, must provide a cost breakdown of each site to be demolished. Package bids must include all properties out for bid within this package. Individual bids may also be considered; Bidders may also submit individual pricing for each property to be demolished. If the total of all low bids for individual properties is lower than the lowest package bid, then the properties will be awarded on an individual basis.

2.7.3 **Salvage Value.** The salvage value of the materials obtained from the demolition of the building shall be reflected in the lump sum price bid for Building Removal as herein specified.

3.0 Specific Requirements

3.1 Pre-Demolition

3.1.1 **Inspection.** The successful bidder shall, before sealing sewer line, have the City of Rockford Building Department and Four Rivers Sanitation Authority, make inspections before any back filling is started. The purpose of this requirement is to check to see if the sewer line is open to the trunk line. On-site inspections shall be made as the City of Rockford deems necessary. **Contact Four Rivers Sanitation Authority at (815) 387-7555 prior to demolition for scheduling of inspection.**

3.1.2 **Permits and Notices.** Contractors will comply with all laws and regulations of any public authority having jurisdiction over the work. The Contractor will also, at his own expense, and in his own name, obtain all permits, certificates, and licenses required by the City; shall carry on all work under this contract in strict conformity therewith, and shall save and keep harmless the City of Rockford from any expense incurred thereby. A copy of the demolition permit will be required with the submittal of the final pay estimates. (Section 1 of Demolition Invoice Checklist).

3.1.2.1 Door hangers and yard signs must be placed 10 days before the demolition start date. A yard sign with demolition address, estimated completion date, contractor name and contractor contact information shall be placed on demolition property. Door hangers should be placed 2 doors down on each side of property, across the street, across corners and behind the property being demolished (see attached map.) Door hangers will be provided by the city.

3.1.3 All related EPA notices and the **10-day notification of demolition required by the EPA must be obtained before demolition.** A fee of \$150 is to be paid by the Contractor to the Illinois EPA with each initial 10-working day notice required to be filed to perform demolition of asbestos-containing structures.

3.1.4 **Fire Department "X" Sign.** Where upon inspection under 3.1.1 above, it is found that the fire department has placed a sign on the property to denote structural failures which would be hazardous for Emergency Personnel to enter the property, the successful bidder shall remove and return the sign. The address of the property where the sign has been posted must be placed on the back of the sign with tape and permanent marker. The sign is denoted by a large white X on a red background. The sign shall be returned to the Rockford Fire Department Fire Prevention Division located at 204 South First Street, Rockford, IL 61104 no later than 10 days after the commencement of demolition. If the successful bidder has questions regarding the removal or procedures for returning the sign, please contact the Fire Prevention Division at (779) 348-7172. The commencement of demolition is outlined under section 2.5.1.

3.1.5 **Utilities**

- 3.1.5.1 City will provide vendor notice of utility disconnection for Water, Gas, and Electric.
- 3.1.5.2 The contractor shall disconnect and properly seal in an approved manner, the sanitary sewer outlet at the property line. When exposing and cutting off sanitary service, fill service with a material backing and plug the line with a "Cherne" style plug or other mechanical type plug. Sanitary service shall be plugged as close to the property line as possible or at the public/private transition. The end of plug shall be visibly marked at grade when complete, with a stake or other highly visible marker. The contractor shall schedule inspection of the plug with the Four Rivers Sanitation Authority in advance of the work being completed as outlined in Section 3.3 of these specifications.
- 3.1.5.3 Where utilities are found crossing the demolition site and serve adjacent properties not being demolished or deconstructed, such utilities shall be tagged or otherwise marked as necessary to remain and shall be protected from damage throughout the demolition process including final grading and seeding. Any damage to existing utilities which are necessary to remain in place for service of other sites shall be repaired or replaced and paid for by the awarded Demolition Contractor. All work in the public right of way shall be done in accordance with Section 26-123 of the City of Rockford Code of Ordinances.
- 3.1.6 Asbestos Removal. The City shall hire an asbestos professional to conduct asbestos testing prior to the commencement of any bid activities. The City will provide the demolition contractor proof of abatement test results. If required, the contractor must hire a different asbestos professional to abate any found asbestos.
 - 3.1.6.1 In the event of a complex demolition, asbestos abatement and demolition may occur simultaneously provided proper safety procedures are followed and no asbestos containing materials are demolished prior to abatement.

3.2 During Demolition

- 3.2.1 Public Health and Safety
 - 3.2.1.1 Temporary Structures. The Contractor shall furnish and erect all temporary sidewalks, barricade covers and other temporary structures necessary for the proper and safe conduct of the work and shall remove all such temporary structures upon the completion of the work under contract, all without additional compensation therefor. The Contractor shall have a competent superintendent on the site at all times that work is in progress with full authority to act for him.
 - 3.2.1.2 Protection of Persons and Property. The use of explosives in the performance of the work of removing buildings shall be permitted only on written authorization of the Building Official, and then only in a manner provided by law. The Contractor shall assume and bear all risk

of damage to the work, and all risk of any accident, or accidents, from whatsoever cause arising, until the work herein provided for shall be fully completed and accepted by the City.

3.2.2 Removal of Material. The successful bidder shall remove all rubbish and waste resulting from the demolition work. The bidder shall use an approved dumpsite for depositing of all inert materials.

3.2.3 Site Conditions. At the end of each work day, the Contractor shall leave the premises in such condition that it will not constitute a public nuisance or hazard. This shall include removing debris from public streets, alleys, terraces, and sidewalks that are open to the public

3.2.4 Site Demolition. The Contractor shall provide all labor, materials, equipment, and supplies necessary to complete all items as described below. Any damage to property outside of what has been described in these specifications shall be restored to its original state or as directed by the Engineer, at the Contractors expense.

3.2.5 Basement, Foundation, and Misc. The bidder shall remove all of the foundation walls, slabs, sidewalks, driveways, parking areas around structure and fences within property lines and basement. The Contractor shall also remove all fences and scrub trees within property lines, remove junk vehicles, remove concrete slabs, foundations, and all debris to provide a clean site

3.2.6 Vegetation. All logs, bushes, saplings, landscaping, shrubs, brush, and stumps of a diameter less than 6" shall be completely removed.

3.2.7 Miscellaneous Items Onsite or Adjacent. All signs, flagpoles, foundations, patios, fences, garages, junk vehicles, sheds, and rubbish within the properties shall be completely removed.

3.2.8 Sidewalks, Driveways, Curbs and Paved Areas. All public sidewalks and curbs shall remain undisturbed. All paved bituminous surfaces and concrete slabs within the demolition site but outside of the building footprints shall be completely removed. This recovered material shall be processed in accordance with Local, State and Federal Regulations. Contractor responsible for professionally repairing or replacing building and site components damaged as a result of construction activity.

3.2.9 Storage/Septic Tanks/Private Wells. In the event that underground storage tanks exist within the building to be removed, or on the premises of same, in accordance with State and City Fire Department regulations, unless otherwise directed by the Building Official, they shall be removed and disposed of by the Contractor. In the event a Private Well (s) is discovered during the Contract, the Contractor will refer to (Chapter 86, Article III of the Winnebago County Code of Ordinances) for proper abandonment. In the event a Septic Tank (s) is discovered during the Contract, the Contractor will refer to (Chapter 86, Article II of the Winnebago County Code of Ordinances) for proper removal and abandonment. All septic tanks must be pumped by a certified contractor and inspected by the (WCHD) in addition to the City of Rockford Inspector. The Contractor shall submit itemized prices to the City for approval. The price must

be agreed upon before the tank removal can begin. This work shall be paid for at the contract unit price per lump sum, which price shall include furnishing all labor, permits, materials, equipment, services and backfill material required for the removal & disposal of the tanks and its contents and restoration of the disturbed area to a level elevation.

3.2.10 **Debris Disposal.** Contractor may utilize Rock River Disposal for disposal of demolition materials. Please refer to property listing included in the bid package to verify if there is NO CHARGE for dumping. In order to utilize this agreement, the contractor must provide an estimate of demolition material weight per property with their bid. Contractor must identify at Rock River Disposal each property that is being dumped – **No additional debris from other sources may be included**

3.2.10.1 **Submission of Anticipated Dump Location.** Each bidder shall provide with their bid the location where the debris from this demolition will be dumped. State licensed site(s) for dumping rubble or any other private site where clean debris will be accepted must be listed. The bidder shall leave the premises in such condition that it will not constitute a public nuisance.

3.2.11 **Unexpected Necessary Changes to Work** In the event of an unanticipated, unforeseeable additional expense, the contractor is to take several steps upon discovery.

3.2.11.1 Vendor must contact City immediately and before any work is commenced to abate the issue.

3.2.11.2 Demolition may continue on other parts of the property that will not impact the specific issue.

3.2.11.3 A City representative will immediately come out to inspect the issue and make a determination on how the contractor is to proceed. Such decision may involve consultation with other departments, experts, or City representatives.

3.2.11.4 The City reserves the right to re-bid abatement of the specific issue.

3.2.12 **Rough inspection needs to be scheduled after building materials are removed from the property, and the property has been back filled.**

3.3 **Post Demolition.** The Contractor shall provide all labor, materials, equipment, and supplies necessary for the restoration of the site as described below.

3.3.1 **Fill Material.** Openings, holes and voids shall be filled up to the surrounding ground level with gravel, crushed road stone or other approved material compacted to 95% compaction in accordance with ASTM D-698 and acceptable to the City Engineer. The work shall be performed according to Section 207 of the “Standard Specifications”: and the following:

3.3.1.1 A vibratory roller or heavy equipment shall be used to roll each lift of material to obtain the desired keying or interlock and necessary compaction. The Engineer will verify that adequate keying has been obtained.

3.3.1.2 No debris shall be used as fill material. The entire parcel shall be left in a level, neat, safe and sanitary condition.

3.3.2 Topsoil: Contractor must finish the grading of all disturbed areas with no less than 4" of topsoil. Contractor must use a one (1") inch or less screen to screen top soil. Pulverized building materials or debris shall not be used as fill material. Topsoil shall be sourced from a clean borrow source or supplier. Topsoil consisting of Friable Sandy Loam that can be pulverized under normal hand pressure may also be acceptable. Topsoil consisting of Sandy Clay Loams with the lowest possible clay proportion may also be acceptable. Topsoil shall be free of roots, rocks larger than 1/2-inch, subsoil, debris, large weeds and foreign matter (including any construction rubble, or other man- made items). Screening: Single screened. Topsoil material shall be indigenous to Northern Illinois region and may be used providing it meets with the requirements of Article 1081.05 of the Standard Specifications and has no more than 55 percent sand content as determined in accordance with AASHTO T88

3.3.3 Seeding: Seeding shall be 100% Dutch white clover seed inoculated with Rhizobium bacteria – Strain B. Do not mix with annual rye or other grass seed. Seed tags must be submitted with payment request. 100% Dutch white clover seed to be applied at a rate of 2 oz. of seed per 1,000 sq. ft., placed upon four (4) inches of screened topsoil. Contractor must use a one (1") inch or less screen to screen top soil. Prior to planting, seed must be inoculated with the correct strain of Rhizobium bacteria (Strain B) if not already done. Use a cultipacker pulled by a light-weight tractor (do not use heavy equipment on the site that would compact the topsoil layer) or other method as recommended and approved by seed manufacturer to ensure seed has good contact with the soil. Plant seed $\frac{1}{4}$ " deep. Mulch entire planting area to ensure proper moisture levels, removing bale string from the site. Seeding will be permitted from April 1 to October 10, unless approved by Engineer

3.3.4 Final Grade. Upon the completion of the demolition and removal operations, the final grade of the whole properties must consist of a smooth grade consistent with the grades of the surrounding properties.

3.3.5 The Contractor shall complete final grading in such a way to ensure the site has proper drainage, there is no ponding of water, and that run off does not cause damage to adjacent properties

3.3.6 **SCHEDULE FINAL INSPECTION WITH CITY OF ROCKFORD STAFF**. Contractor shall schedule a final inspection with City staff. The City representative shall determine at that time whether the demolition has been completed satisfactorily.

3.4 Erosion Control and Sediment Control

3.4.1 The Contractor shall provide all materials, labor, equipment and all other incidentals to provide proper Erosion and Sediment Control.

3.4.2 This work shall conform to the applicable portions of Section 280 of the Illinois Department of Transportation Standard Specifications for Road & Bridge

Construction, City of Rockford Ordinances Chapters 26 & 109 and all requirements set forth in the Illinois Environmental Protection Agency's General NPDES Permit No. ILR10. The management practices, controls, and other provisions for erosion and sediment control must be at least as protective as the requirements contained in the Illinois Urban Manual.

- 3.4.3 Any deviation of installation practices from the standard details shall be submitted to the City for approval prior to placement.
- 3.4.4 The Contractor shall take special precautions to avoid tracking or spilling dirt and debris onto the adjacent roadways, sidewalks and other private or public areas. The Contractor shall remove, clean and/or sweep all debris material in and around the project site at the end of each work day to the satisfaction of the City, and properly dispose of the material.
- 3.4.5 Manhole protection, inlet protection and silt fencing may be necessary at times during some project operations.
- 3.4.6 Upon the completion of final grading and seeding, the Contractor shall install erosion control blanket around the perimeter of all disturbed areas. The installation shall be 8 feet wide and installed to the manufacturer's instructions.

3.5 Guarantee: All seeded areas shall be maintained through the first growing season after application. Scattered bare spots no larger than two square foot will be allowed up to a maximum of 5% of any seeded area

4.0 Payment

4.1 Payment Requests

- 4.1.1 Demo Packet Order Contractors that do not properly submit a demo packet in this order may experience a delay in payment.
 - 4.1.1.1 Demolition Invoice Checklist
 - 4.1.1.2 Itemized Invoice
 - 4.1.1.3 Demolition Permit/ revised permit
 - 4.1.1.4 Change orders
 - 4.1.1.5 Signed copy of 10 Day Notification (State of Illinois Demolition/Renovation/Asbestos Project Notification Form)
 - 4.1.1.6 Section 3 form (if applicable)
 - 4.1.1.7 Construction Dump receipts
 - 4.1.1.8 Asbestos Disposal receipt
 - 4.1.1.9 Asbestos Manifest
 - 4.1.1.10 Lien waiver for asbestos abatement, if abatement is required, per the asbestos report
 - 4.1.1.11 Asbestos Report / revised asbestos reports, if required

- 4.1.1.12 Door hanger/yard sign photos (should be time stamped 10 days prior to demolition)
- 4.1.1.13 Before, during and after photos of the demolition
- 4.1.1.14 Photo of the seed tag depicting the type of seed used
- 4.1.2 **Basis of Payment**. All work included in these specifications and related necessary tasks to prosecute this work to completion and to the satisfaction of the City of Rockford, shall be paid for at the contract lump sum price, less retention as described in 4.1.4 for Demolition and Site Clearance
- 4.1.3 **Retainage Amount**. The City will withhold 10% of the total contract amount until the site has been inspected and receives final approval of work completed including site seeding and growth as outlined in section 3.2 and 3.333 of this document.

5.0 Section 3 Clause

5.1 Section 3 Clause: All Section 3 covered contracts shall include the following clause (referred to as the Section 3 Clause):

- A. The work to be performed under this contract is subject to the requirements of section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u (Section 3). The purpose of Section 3 is to ensure that employment and other economic opportunities generated by HUD assistance or HUD- assisted projects covered by Section 3, shall, to the greatest extent feasible, be directed to low- and very low-income persons, particularly persons who are recipients of HUD assistance for housing.
- B. The parties to this contract agree to comply with HUD's regulations in 24 CFR part 135, which implement Section 3. As evidenced by their execution of this contract, the parties to this contract certify that they are under no contractual or other impediment that would prevent them from complying with the part 135 regulations.
- C. The contractor agrees to send to each labor organization or representative or workers with which the contractor has a collective bargaining agreement or other understanding, if any, a notice advising the labor organization or workers' representative of the contractor's commitments under this Section 3 clause, and will post copies of the notice in conspicuous places at the work site where both employees and applicants for training and employment positions can see the notice. The notice shall describe the Section 3 preference, shall set forth minimum number and job titles subject to hire, availability of apprenticeship and training positions, the qualifications for each; and the name and location of the person(s) taking applications for each of the positions; and the anticipated date the work shall begin.
- D. The contractor agrees to include this Section 3 clause in every subcontract subject to compliance with regulations in 24 CFR part 135, and agrees to take appropriate action, as provided in an applicable provision of the subcontract or in this Section 3 clause, upon a finding that the subcontractor is in violation of the regulations in 24 CFR part 135. The contractor will not subcontract with any subcontractor where the contractor has notice or knowledge that the subcontractor has been found in violation of the regulations in 24 CFR part 135.
- E. The contractor will certify that any vacant employment positions, including training positions, that are filled (1) after the contractor is selected but before the contract is

executed, and (2) with persons other than those to whom the regulations of 24 CFR part 135 require employment opportunities to be directed, were not filled to circumvent the contractor's obligations under 24 CFR part 135.

F. Noncompliance with HUD's regulations in 24 CFR part 135 may result in sanctions, termination of this contract for default, and debarment or suspension from future HUD assisted contracts.

G. With respect to work performed in connection with Section 3 covered Indian housing assistance, section 7(b) of the Indian Self-Determination and Education Assistance Act (25 U.S.C. 450e) also applies to the work to be performed under this contract. Section 7(b) requires that to the greatest extent feasible (i) preference and opportunities for training and employment shall be given to Indians, and (ii) preference in the award of contracts and subcontracts shall be given to Indian organizations and Indian-owned Economic Enterprises. Parties to this contract that are subject to the provisions of Section 3 to the maximum extent feasible, but not in derogation of compliance with section 7(b).

6.0 Liquidated Damages. If the Contractor fails to perform the services within the time specified in the contract, the Contractor shall pay to the City liquidated damages for each calendar day delay in the amount of \$200 per day. The City may terminate this contract in whole or part as provided in the default provisions. In that event, the Contractor will be liable for such liquidated damages accruing until such time as the City may reasonably obtain performance of similar services.

APPENDIX A

Sec. 105-273. - Class of licenses and qualifications.

(a) **Classifications.** There shall be three classes of licenses for demolition that shall be based upon the qualifications, experience and knowledge of the licensee to properly conduct various types of demolitions:

(1) **Class A.** A class A license shall allow the license holder to perform all types of demolitions subject to the provisions of the city building code and all other applicable city ordinances and other regulations in effect. Applicants for a class A license must demonstrate five years of experience actively engaged in the business of demolition and three years of experience over that time in the demolition of all of the following types of buildings:

- a. Buildings over two stories in height that shall not include attic space or over 45 feet in height;
- b. Buildings situated on a lot less than ten feet from adjacent buildings or sidewalks;
- c. Buildings with common or party walls shared with an adjacent property or located immediately adjacent to a right-of-way; and
- d. Buildings determined by a qualified person to be structurally unsound.

(2) **Class B.** A class B license shall allow the license holder to perform the types of demolitions listed in subsections (2)a, (2)b and (2)c of this section. Applicants for a class B license must demonstrate three years of experience actively engaged in the business of demolition and successful demolition of a minimum of ten buildings.

- a. Buildings two stories or less and less than 45 feet in height;
- b. Buildings in excess of ten feet from the adjacent buildings or sidewalk; and
- c. Buildings listed in subsections (1)a. through (1)d. of this section, under the supervision of, and permit issued to, a class A license holder.

(3) **Class C.** A class C license shall allow the license holder to perform the types of demolitions listed in subsections (3)a, (3)b and (3)c of this section. Applicants for a class C license must demonstrate two years of experience actively engaged in the business of building construction and/or demolition of accessory structures and/or detached garages associated with residential occupancies and successful construction and/or demolition of a minimum of five buildings.

- a. Buildings one story and less than 25 feet in height.
- b. Buildings in excess of ten feet from adjacent buildings or sidewalk.
- c. Detached accessory buildings or garages associated with residential occupancies.

(b) License expiration. Licenses shall be good for one calendar year or any part thereof and shall expire on December 31.

(Code 1970, § 6-38; Ord. No. 1994-134-O, 5-9-1994)

CITY OF ROCKFORD, ILLINOIS

Bid On: Demolition Group 33 1125-PW-129 1814 Kishwaukee Street and 1822 Reed Ave, APPENDIX A

****PLEASE BID BASED ON ADDRESSES PRESENTED IN PRINTED DOCUMENTS, NOT PHOTOS****

NOTE: This contract is not eligible for free tonnage at dump site.

Package Bid: 1125-PW-129

Address	\$ Dollar Amount	Estimated Weight (Tons)
Demolition of All Properties		

Individual Bids

Address	\$ Dollar Amount	Estimated Weight (tons)
1814 Kishwaukee Street		
1822 Reed Ave		

Name of disposal site:

Location of site:

Person, Firm, or Corporation

APPENDIX B

Sec. 105-273. - Class of licenses and qualifications.

(a) **Classifications.** There shall be three classes of licenses for demolition that shall be based upon the qualifications, experience and knowledge of the licensee to properly conduct various types of demolitions:

(1) **Class A.** A class A license shall allow the license holder to perform all types of demolitions subject to the provisions of the city building code and all other applicable city ordinances and other regulations in effect. Applicants for a class A license must demonstrate five years of experience actively engaged in the business of demolition and three years of experience over that time in the demolition of all of the following types of buildings:

- a. Buildings over two stories in height that shall not include attic space or over 45 feet in height;
- b. Buildings situated on a lot less than ten feet from adjacent buildings or sidewalks;
- c. Buildings with common or party walls shared with an adjacent property or located immediately adjacent to a right-of-way; and
- d. Buildings determined by a qualified person to be structurally unsound.

(2) **Class B.** A class B license shall allow the license holder to perform the types of demolitions listed in subsections (2)a, (2)b and (2)c of this section. Applicants for a class B license must demonstrate three years of experience actively engaged in the business of demolition and successful demolition of a minimum of ten buildings.

- a. Buildings two stories or less and less than 45 feet in height;
- b. Buildings in excess of ten feet from the adjacent buildings or sidewalk; and
- c. Buildings listed in subsections (1)a. through (1)d. of this section, under the supervision of, and permit issued to, a class A license holder.

(3) **Class C.** A class C license shall allow the license holder to perform the types of demolitions listed in subsections (3)a, (3)b and (3)c of this section. Applicants for a class C license must demonstrate two years of experience actively engaged in the business of building construction and/or demolition of accessory structures and/or detached garages associated with residential occupancies and successful construction and/or demolition of a minimum of five buildings.

- a. Buildings one story and less than 25 feet in height.

- b. Buildings in excess of ten feet from adjacent buildings or sidewalk.
- c. Detached accessory buildings or garages associated with residential occupancies.

(b) License expiration. Licenses shall be good for one calendar year or any part thereof and shall expire on December 31.

(Code 1970, § 6-38; Ord. No. 1994-134-O, 5-9-1994)



CMM Environmental
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12/23/2025

City of Rockford
425 E State St
Rockford, IL 61104

Re: **Asbestos Sampling 1814 Kishwaukee, Rockford, IL**

Dear City of Rockford,

On December 10, 2025, CMM Environmental conducted a limited asbestos sampling at the above referenced location. During the inspection it was noted that the building may contain mercury switches, light ballasts and other hazardous materials that should be addressed prior to demolition.

CMM's sampling of suspect asbestos containing materials were limited to the following:

- Floor Tile
- Plaster
- Drywall
- Heater (assumed)
- HVAC Wrap
- Chimney Seal
- Window Glazing

The sampling of suspect materials was limited to amounts determined to be efficient to identify their asbestos content.

Table 1 – Asbestos Containing Materials

Material Description	Material Location	Asbestos Type	Material Condition	Quantity
HVAC Wrap	1 st Floor	50% Chrysotile	Severely Damaged	15 sf
Heater	2 nd Floor	Assumed	Good	1 Unit

- All quantities are estimated and any contractor should field verify quantities prior to bidding on this work.



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77 Illinois Administrative Code Chapter I Section 855.345 references sampling Miscellaneous Materials "...in a manner sufficient to determine whether material is asbestos containing materials (ACM) or not asbestos containing materials." CMM has determined this to be interpreted as the generally accepted industry standard protocol of "three (3) samples to make a negative result for asbestos and one (1) sample to make a positive result for asbestos," however sampling protocols are sometimes varied due to the limited amounts of suspect materials present.

A group letter or combination of letter and number was assigned to each Homogenous Material. This combination serves as a prefix to identify materials of similar composition, texture, color, and date of installation. Each sample was then assigned a sample number such as 01, 02, 03, etc.

All samples were identified on a signed and dated Chain-of-Custody document, which accompanied the samples to the laboratory.

To ensure both quality and objectivity, an independent laboratory was used. Laboratories are selected based on their current accreditations. The laboratory chosen participates in the National Voluntary Laboratory Accreditation Program (NVLAP) for quality control procedures (NVLAP Lab Code: 200399-0). As specified in 40 CFR Chapter I (1-1-87 edition) Part 763, Subpart F, Appendix A. Please feel free to contact the laboratory directly with any questions.

Suspected asbestos samples were analyzed using polarized light microscopy (PLM) / dispersion staining techniques in accordance with the EPA Method documents "US EPA 600/M4-82-020, 1982" & "US EPA 600/R-93/118, 1993". Detection limits for this type of analysis are approximately one percent (by volume).



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FRIABLE ASBESTOS – material can be crumbled, pulverized, or reduced to powder by hand pressure; these materials must be removed prior to demolition activities and should be addressed during renovation activities that would disturb the material, such as thermal system insulation. The following friable asbestos containing materials were identified:

- Heater (assumed)
- HVAC Wrap

CATEGORY 1 NON-FRIABLE – material is pliable (not brittle), breaks by tearing rather than fracturing and does not easily release asbestos fibers upon breaking; these materials should be addressed during renovation activities that would disturb the material, but do not need removal prior to demolition activities (handled as demolition material at a certified landfill) if they are in good condition and not rendered friable during handling, transporting, and disposal. However, most asbestos containing building materials on concrete substrate are removed prior to demolition activities to reduce the overall cost due to landfill charges and the fact that concrete cannot be left on site or recycled with these materials in place. Category I Non-Friable materials include resilient floor coverings, asphalt roofing materials, gaskets, and packing. The following types of Category I Non-Friable asbestos were identified:

- None

CATEGORY II NON-FRIABLE – material is not pliable, breaks by fracturing rather than tearing, and does release some asbestos fibers upon breaking; these materials should be addressed during renovation activities that would disturb the material and are removed prior to demolition activities since they are normally rendered friable during demolition and/or handling, transporting and disposal. Category II Non-Friable materials include any non-friable asbestos containing material that is not in Category I (i.e. transite siding). The following types of Category II Non-Friable asbestos were identified:

- None

NON ASBESTOS CONTAINING MATERIALS – The following materials were tested and found to contain *no* asbestos (or less than 1%):

- Floor Tile
- Plaster
- Drywall
- Chimney Seal
- Window Glazing



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Recommendations / Directions / Instructions

If a material is analyzed, by any method, and is found to contain any amount of asbestos, personnel disturbing the material should at a minimum, wear personnel protection such as NIOSH approved respirators and full body protective clothing. It is further recommended that the building and its occupants be protected against the possible exposure of airborne asbestos fibers.

If the asbestos content is less than 10 percent as determined by a method other than point counting by polarized light microscopy (PLM), verify the asbestos content by point counting using PLM (USEPA Method 198.1). The owner/operator of the building may (1) elect to assume the amount to be greater than 1% and treat the material as asbestos-containing material or (2) require verification of the amount by point counting. If a result obtained by point count is different from a result obtained by visual estimation, the point count result shall be used. Point counting shall be conducted only by direction of the client at the client's expense. The client assumes and retains all responsibility and authority to conduct point counting at their expense.

Contractors should use caution and be advised and directed that during renovation or demolition of a structure that concealed materials may be discovered, therefore, should suspect materials not identified in this inspection become exposed or made aware, you should cease operations that may disturb, dislodge or disrupt the material until it is sampled and analyzed for it's possible asbestos content.

Samples were collected at the request of our client in a manner that should identify suspect areas as being asbestos containing or not, however, sample collection strategies may not satisfy the appropriate structure's governing agency's rules or policies. The results in this report are intended for the sole use of our client for their personnel's safety and should not be considered as an asbestos inspection. Should the client intend to submit these sampling results to the structure's governing agency, then CMM will need to extend our services to include compliance with the governing agency's policies / rules at an additional expense.

CMM Environmental recommends the use of certified and licensed asbestos personnel for **all** planned disturbance of known and suspect asbestos containing products. In accordance with IDPH, IEPA, U.S.EPA and OSHA regulations asbestos containing materials must be removed by and disposed of by a certified/licensed asbestos abatement personnel/contractor.

Definitions

Asbestos Containing Products means, according to the U.S. EPA Method 600/R-93/116, Regulated Asbestos Containing Materials (RACM) are those materials found to contain greater than 1% asbestos per volume of bulk material sampled, by PLM. The term is not intended to include *de minimis* or inaccessible materials that do not present a risk of harm to public health and that generally would not be the subject of enforcement actions if brought to the attentions of appropriated regulatory agencies.

Asbestos Types are Chrysotile (white asbestos making up approximately 95% of all asbestos used in the United States), Amosite (brown asbestos making up approximately 5% of all asbestos used in the United States), Crocidolite (blue asbestos making up approximately less than 5% of all asbestos used in the United States), and rarely found in buildings are Anthophyllite, Tremolite & Actinolite.

Friable Asbestos Material means any material containing more than 1 percent asbestos as determined using the method specified in appendix E, subpart E, 40 CFR part 763 section 1, Polarized Light Microscopy, that, when dry, can be crumbled, pulverized, or reduced to powder by hand pressure.



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Homogeneous Material -- an area or group of Surfacing Materials, Thermal Systems Insulation, or Miscellaneous Materials that is uniform in color & texture and has the same installation date.

Polarized Light Microscopy (PLM) means an optical microscopy technique for analyzing bulk samples for asbestos in which the sample is illuminated with polarized light (light which vibrates in only one plane) to distinguish between different types of asbestos fibers by their shape and unique optical properties.

Transmission Electron Microscopy (TEM) means a method of microscopic analysis, which utilizes an electron beam that is focused onto a thin sample. As the beam penetrates (transmits) through the sample, the difference densities produces an image on a fluorescent screen from which samples can be identified and counted. Also used for analyzing air samples for asbestos.

Conclusion

The conclusions of this report are CMM's professional opinions, based solely upon visual site observations and interpretations of laboratory analyses, as described in this report. The opinions presented herein apply to the site conditions existing at the time of CMM's investigation and interpretation of current regulations pertaining to asbestos. Therefore, CMM's opinions and recommendations may not apply to future conditions that may exist at the site, which we have not had the opportunity to evaluate. It should be noted that conditions change and that materials constantly degrade. All applicable federal, state and local regulations should always be verified prior to any work that will disturb or dislodge materials confirmed, assumed or presumed to contain asbestos.

CMM's assessment was limited to observation, sampling and the analysis of suspect asbestos containing products in accessible portions of the area(s) covered by this survey. Materials in the building that are not considered building materials, are unusual or *de minimis*, or were inaccessible, due to common construction techniques, to the inspector were excluded from the inspection. As a result, additional asbestos containing building materials may be present in inaccessible areas (e.g. between walls, ceiling spaces enclosed by wallboard, interior of fire doors, below grade exterior piping and sealants, etc.) of the structure that were not observed during the survey.

This inspection report is designed to assist the client in the understanding of the regulations regarding asbestos, however, it should not be used as a substitution for obtaining and familiarizing yourself with, including the compliance of, all asbestos related regulations including, but not limited to, 40 CFR, Chapter 61, Subpart M (National Emission Standard for Asbestos) prior to the start of any renovation or demolition activity that will disturb or dislodge asbestos containing materials or suspect/assumed asbestos containing materials.

This report has been prepared for the exclusive use of the intended client, for the specific application to the defined property as addressed in this report. Any additional user of this report shall determine the suitability of the material contained herein for their intended use, and any such user assumes all risks and liability in connection therewith. No claim is made that these findings will remain applicable to future site activities and conditions. Interpretations by any such user from information contained in this report or the drawing of conclusions by any such user from information contained in this report shall be undertaken solely at the risk of said party.

At all times during the performance of the inspection, safety was a priority. Due to the emphasis on safety, there were no injuries, there was no building contamination, and there were no asbestos exposures to either CMM personnel or building occupants.



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This report remains the sole property of CMM. The contents herein cannot be copied, scanned, duplicated, disclosed or distributed in whole or in part until complete and full payment has been received, or arraigned, for the complete services rendered, expenses incurred and/or, all legal, collection, and judgment fees afforded to CMM. either by contractual agreement or satisfactory judgments.

CMM. would like to thank you for the opportunity to be of service to you on this project. We hope that our performance has warranted the opportunity to work with you on future projects.

I hereby certify that all documents and work products prepared hereunder comply with all applicable laws and regulations, including, but not limited to, 105 ILCS 105, 225 ILCS 207 and 77 Ill. Adm. Code 855."

Signed,

A handwritten signature in black ink, appearing to read "Chris Manuel".

Chris Manuel
President
Inspector # 100-20143



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Appendix A (Lab Report)



EMSL Analytical, Inc.

4140 Litt Drive Hillside, IL 60182
Tel/Fax: (773) 313-0099 / (773) 313-0139
<http://www.EMSL.com> / chicagolab@emsl.com

EMSL Order: 262512012
Customer ID: CMMA75
Customer PO:
Project ID: City of Rockford

Attention: Chris Manuel
CMM Environmental
415 N 3rd St
Rockford, IL 61107

Phone: (815) 218-3784
Fax:
Received Date: 12/16/2025 12:14 PM
Analysis Date: 12/17/2025 - 12/22/2025
Collected Date: 12/10/2025

Project: 1814. Kishwaukee (City of Rockford)

Test Report: Asbestos Analysis of Bulk Materials via AHERA Method 40CFR 763 Subpart E
Appendix E supplemented with EPA 600/R-93/116 using Polarized Light Microscopy

Sample	Description	Appearance	Non-Asbestos		Asbestos
			% Fibrous	% Non-Fibrous	% Type
001 262512012-0001	CT - DINING	Tan/White Fibrous Homogeneous	98% Cellulose	2% Non-fibrous (Other)	None Detected
002 262512012-0002	CT - DINING	Tan/White Fibrous Homogeneous	98% Cellulose	2% Non-fibrous (Other)	None Detected
003 262512012-0003	CT - DINING	Tan/White Fibrous Homogeneous	98% Cellulose	2% Non-fibrous (Other)	None Detected
004 262512012-0004	LOG - EXT	Gray Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
005 262512012-0005	LOG - EXT	Gray Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
006 262512012-0006	LOG - EXT	Gray Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
007-Skim Coat 262512012-0007	PLASTER - LIVING	White Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
007-Base Coat 262512012-0007A	PLASTER - LIVING	Gray Non-Fibrous Homogeneous	2% Hair	98% Non-fibrous (Other)	None Detected
008-Skim Coat 262512012-0008	PLASTER - LIVING	White Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
008-Base Coat 262512012-0008A	PLASTER - LIVING	Gray Non-Fibrous Homogeneous	2% Hair	98% Non-fibrous (Other)	None Detected
009-Skim Coat 262512012-0009	PLASTER - LIVING UP	White Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
009-Base Coat 262512012-0009A	PLASTER - LIVING UP	Gray Non-Fibrous Homogeneous	2% Hair	98% Non-fibrous (Other)	None Detected
010 262512012-0010	DIO - LIVING UP	Brown/White Non-Fibrous Homogeneous	10% Cellulose	90% Non-fibrous (Other)	None Detected
011 262512012-0011	DIO - LIVING UP	Brown/White Non-Fibrous Homogeneous	10% Cellulose	90% Non-fibrous (Other)	None Detected
012 262512012-0012	DIO - LIVING UP	Brown/White Non-Fibrous Homogeneous	10% Cellulose	90% Non-fibrous (Other)	None Detected
013-Floor Tile 262512012-0013	FT - KITCHEN	Gray Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected

Initial report from: 12/22/2025 14:25:26



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EMSL Analytical, Inc.

4140 Litt Drive Hillside, IL 60162

Tel/Fax: (773) 313-0099 / (773) 313-0139

<http://www.EMSL.com> / chicagolab@emsl.com

EMSL Order: 262512012

Customer ID: CMMA75

Customer PO:

Project ID: City of Rockford

**Test Report: Asbestos Analysis of Bulk Materials via AHERA Method 40CFR 763 Subpart E
Appendix E supplemented with EPA 600/R-93/116 using Polarized Light Microscopy**

Sample	Description	Appearance	% Fibrous	Non-Asbestos	Asbestos
				% Non-Fibrous	% Type
013-Mastic	FT - KITCHEN	Clear Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
262512012-0013A					
014-Floor Tile	FT - KITCHEN	Gray Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
262512012-0014					
014-Mastic	FT - KITCHEN	Tan Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
262512012-0014A					
015-Floor Tile	FT - KITCHEN	Gray Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
262512012-0015					
015-Mastic	FT - KITCHEN	Clear Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
262512012-0015A					
016	HVAC WRAP - 18T FLOOR	Gray Fibrous Homogeneous	20% Cellulose	30% Non-fibrous (Other)	50% Chrysotile
262512012-0016					
017	HVAC WRAP - 18T FLOOR				Positive Stop (Not Analyzed)
262512012-0017					
018	HVAC WRAP - 18T FLOOR				Positive Stop (Not Analyzed)
262512012-0018					
019	FT - KITCHEN UP	Gray/White Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
262512012-0019					
020	FT - KITCHEN UP	Gray/White Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
262512012-0020					
021	FT - KITCHEN UP	Gray/White Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
262512012-0021					
022	CHIMNEY SEAL - BASEMENT	Gray Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
262512012-0022					
023	CHIMNEY SEAL - BASEMENT	Gray Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
262512012-0023					
024	CHIMNEY SEAL - BASEMENT	Gray Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
262512012-0024					



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EMSL Order: 262512012

Customer ID: CMMA75

Customer PO:

Project ID: City of Rockford

Analyst(s)

Emily Weslow (6)

Mazen Elkhattab (13)

Shamya Pugh (10)

James Hahn, Laboratory Manager
or Other Approved Signatory

EMSL maintains liability limited to cost of analysis. Interpretation and use of test results are the responsibility of the client. This report relates only to the samples reported above, and may not be reproduced, except in full, without written approval by EMSL. EMSL bears no responsibility for sample collection activities or analytical method limitations. The report reflects the samples as received. Results are generated from the field sampling data (sampling volumes and areas, locations, etc.) provided by the client on the Chain of Custody. Samples are within quality control criteria and method specifications unless otherwise noted. The above analyses were performed in general compliance with Appendix E to Subpart E of 40 CFR (previously EPA 600/R-94-020 "Interim Method") but augmented with procedures outlined in the 1993 ("Final") version of the method. This report must not be used by the client to claim product certification, approval, or endorsement by NVLAP, NIST or any agency of the federal government. Non-fusible organically bound materials present a problem matrix and therefore EMSL recommends gravimetric reduction prior to analysis. Unless requested by the client, building materials manufactured with multiple layers (i.e. linoleum, wallboard, etc.) are reported as a single sample. Estimation of uncertainty is available on request.

Samples analyzed by EMSL Analytical, Inc. Hillside, IL NVLAP Lab Code 200399-0

Initial report from: 12/22/2025 14:25:26



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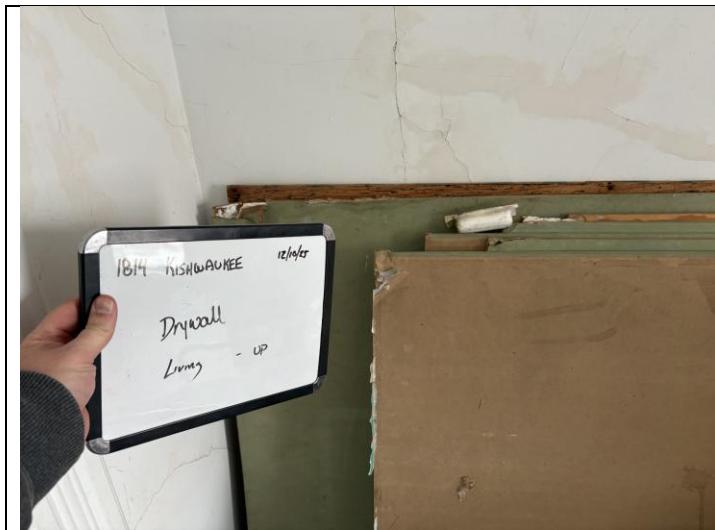
Appendix B (Pictures)



Date: 12/10/25
Location: Kitchen Upstairs
Description: Floor Tile



Date: 12/10/25
Location: Living Room Upstairs
Description: Plaster



Date: 12/10/25
Location: Living Room Upstairs
Description: Drywall



Date: 12/10/25
Location: Living Room Upstairs
Description: Heater (assumed asbestos content)



Date: 12/10/25
Location: Floor Tile
Description: Kitchen



Date: 12/10/25
Location: 1st Floor
Description: HVAC Wrap

	<p>Date: 12/10/25 Location: Basement Description: Chimney Seal</p>
	<p>Date: 12/10/25 Location: Exterior Description: Window Glazing</p>



Date: 12/10/25
Location: Exterior
Description: Secured Doors



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Appendix C (Certifications)



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United States Department of Commerce
National Institute of Standards and Technology



Certificate of Accreditation to ISO/IEC 17025:2017

NVLAP LAB CODE: 200399-0

EMSL Analytical Inc.
Hillside, IL

is accredited by the National Voluntary Laboratory Accreditation Program for specific services,
listed on the Scope of Accreditation, for:

Asbestos Fiber Analysis

This laboratory is accredited in accordance with the recognized International Standard ISO/IEC 17025:2017.
This accreditation demonstrates technical competence for a defined scope and the operation of a laboratory quality
management system (refer to joint ISO-ILAC-IAF Communiqué on ISO/IEC 17025).

2025-04-01 through 2026-03-31

Effective Dates



For the National Voluntary Laboratory Accreditation Program



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 ASBESTOS
PROFESSIONAL
LICENSE

ID NUMBER ISSUED EXPIRES
100 - 20143 4/8/2025 05/15/2026

CHRISTOPHER M MANUEL
415 N 3RD STREET
ROCKFORD, IL 61107

Environmental Health



ENDORSEMENTS TC EXPIRES
INSPECTOR 1/10/2026

Alteration of this license shall result in legal action
This license issued under authority of the State of Illinois
Department of Public Health
This license is valid only when accompanied by a valid
training course certificate.

 ASBESTOS
PROFESSIONAL
LICENSE

ID NUMBER ISSUED EXPIRES
100 - 20379 4/16/2025 05/15/2026

ZACK W MCINTYRE
1615 WESTCHESTER DR
ROCKFORD, IL 61107

Environmental Health



ENDORSEMENTS TC EXPIRES
INSPECTOR 1/10/2026
MANAGEMENT PLANNER 2/20/2026

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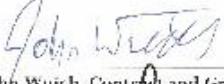
CERTIFICATION

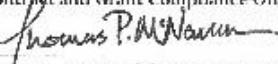
This Certificate is given to

CMM ENVIRONMENTAL

In recognition of being Certified as a Women Business Enterprise with the

City of Rockford


John Wuech, Contract and Grant Compliance Officer


Thomas P. McNamara, Mayor of the City of Rockford

September 17, 2024

Expiration Date



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12/23/2025

City of Rockford
425 E State St
Rockford, IL 61104

Re: **Asbestos Sampling 1822 Reed Ave., Rockford, IL**

Dear City of Rockford,

On December 10, 2025, CMM Environmental conducted a limited asbestos sampling at the above referenced location. During the inspection it was noted that the building may contain mercury switches, light ballasts and other hazardous materials that should be addressed prior to demolition.

CMM's sampling of suspect asbestos containing materials were limited to the following:

- Flooring
- Floor Tile
- Drywall

The sampling of suspect materials was limited to amounts determined to be efficient to identify their asbestos content.

Table 1 – Asbestos Containing Materials

Material Description	Material Location	Asbestos Type	Material Condition	Quantity
N/A	N/A	N/A	N/A	N/A

- All quantities are estimated and any contractor should field verify quantities prior to bidding on this work.



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77 Illinois Administrative Code Chapter I Section 855.345 references sampling Miscellaneous Materials "...in a manner sufficient to determine whether material is asbestos containing materials (ACM) or not asbestos containing materials." CMM has determined this to be interpreted as the generally accepted industry standard protocol of "three (3) samples to make a negative result for asbestos and one (1) sample to make a positive result for asbestos," however sampling protocols are sometimes varied due to the limited amounts of suspect materials present.

A group letter or combination of letter and number was assigned to each Homogenous Material. This combination serves as a prefix to identify materials of similar composition, texture, color, and date of installation. Each sample was then assigned a sample number such as 01, 02, 03, etc.

All samples were identified on a signed and dated Chain-of-Custody document, which accompanied the samples to the laboratory.

To ensure both quality and objectivity, an independent laboratory was used. Laboratories are selected based on their current accreditations. The laboratory chosen participates in the National Voluntary Laboratory Accreditation Program (NVLAP) for quality control procedures (NVLAP Lab Code: 200399-0). As specified in 40 CFR Chapter I (1-1-87 edition) Part 763, Subpart F, Appendix A. Please feel free to contact the laboratory directly with any questions.

Suspected asbestos samples were analyzed using polarized light microscopy (PLM) / dispersion staining techniques in accordance with the EPA Method documents "US EPA 600/M4-82-020, 1982" & "US EPA 600/R-93/118, 1993". Detection limits for this type of analysis are approximately one percent (by volume).



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FRIABLE ASBESTOS – material can be crumbled, pulverized, or reduced to powder by hand pressure; these materials must be removed prior to demolition activities and should be addressed during renovation activities that would disturb the material, such as thermal system insulation. The following friable asbestos containing materials were identified:

- None

CATEGORY 1 NON-FRIABLE – material is pliable (not brittle), breaks by tearing rather than fracturing and does not easily release asbestos fibers upon breaking; these materials should be addressed during renovation activities that would disturb the material, but do not need removal prior to demolition activities (handled as demolition material at a certified landfill) if they are in good condition and not rendered friable during handling, transporting, and disposal. However, most asbestos containing building materials on concrete substrate are removed prior to demolition activities to reduce the overall cost due to landfill charges and the fact that concrete cannot be left on site or recycled with these materials in place. Category I Non-Friable materials include resilient floor coverings, asphalt roofing materials, gaskets, and packing. The following types of Category I Non-Friable asbestos were identified:

- None

CATEGORY II NON-FRIABLE – material is not pliable, breaks by fracturing rather than tearing, and does release some asbestos fibers upon breaking; these materials should be addressed during renovation activities that would disturb the material and are removed prior to demolition activities since they are normally rendered friable during demolition and/or handling, transporting and disposal. Category II Non-Friable materials include any non-friable asbestos containing material that is not in Category I (i.e. transite siding). The following types of Category II Non-Friable asbestos were identified:

- None

NON ASBESTOS CONTAINING MATERIALS – The following materials were tested and found to contain *no* asbestos (or less than 1%):

- Flooring
- Floor Tile
- Drywall



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Recommendations / Directions / Instructions

If a material is analyzed, by any method, and is found to contain any amount of asbestos, personnel disturbing the material should at a minimum, wear personnel protection such as NIOSH approved respirators and full body protective clothing. It is further recommended that the building and its occupants be protected against the possible exposure of airborne asbestos fibers.

If the asbestos content is less than 10 percent as determined by a method other than point counting by polarized light microscopy (PLM), verify the asbestos content by point counting using PLM (USEPA Method 198.1). The owner/operator of the building may (1) elect to assume the amount to be greater than 1% and treat the material as asbestos-containing material or (2) require verification of the amount by point counting. If a result obtained by point count is different from a result obtained by visual estimation, the point count result shall be used. Point counting shall be conducted only by direction of the client at the client's expense. The client assumes and retains all responsibility and authority to conduct point counting at their expense.

Contractors should use caution and be advised and directed that during renovation or demolition of a structure that concealed materials may be discovered, therefore, should suspect materials not identified in this inspection become exposed or made aware, you should cease operations that may disturb, dislodge or disrupt the material until it is sampled and analyzed for it's possible asbestos content.

Samples were collected at the request of our client in a manner that should identify suspect areas as being asbestos containing or not, however, sample collection strategies may not satisfy the appropriate structure's governing agency's rules or policies. The results in this report are intended for the sole use of our client for their personnel's safety and should not be considered as an asbestos inspection. Should the client intend to submit these sampling results to the structure's governing agency, then CMM will need to extend our services to include compliance with the governing agency's policies / rules at an additional expense.

CMM Environmental recommends the use of certified and licensed asbestos personnel for **all** planned disturbance of known and suspect asbestos containing products. In accordance with IDPH, IEPA, U.S.EPA and OSHA regulations asbestos containing materials must be removed by and disposed of by a certified/licensed asbestos abatement personnel/contractor.

Definitions

Asbestos Containing Products means, according to the U.S. EPA Method 600/R-93/116, Regulated Asbestos Containing Materials (RACM) are those materials found to contain greater than 1% asbestos per volume of bulk material sampled, by PLM. The term is not intended to include *de minimis* or inaccessible materials that do not present a risk of harm to public health and that generally would not be the subject of enforcement actions if brought to the attentions of appropriated regulatory agencies.

Asbestos Types are Chrysotile (white asbestos making up approximately 95% of all asbestos used in the United States), Amosite (brown asbestos making up approximately 5% of all asbestos used in the United States), Crocidolite (blue asbestos making up approximately less than 5% of all asbestos used in the United States), and rarely found in buildings are Anthophyllite, Tremolite & Actinolite.

Friable Asbestos Material means any material containing more than 1 percent asbestos as determined using the method specified in appendix E, subpart E, 40 CFR part 763 section 1, Polarized Light Microscopy, that, when dry, can be crumbled, pulverized, or reduced to powder by hand pressure.



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Homogeneous Material -- an area or group of Surfacing Materials, Thermal Systems Insulation, or Miscellaneous Materials that is uniform in color & texture and has the same installation date.

Polarized Light Microscopy (PLM) means an optical microscopy technique for analyzing bulk samples for asbestos in which the sample is illuminated with polarized light (light which vibrates in only one plane) to distinguish between different types of asbestos fibers by their shape and unique optical properties.

Transmission Electron Microscopy (TEM) means a method of microscopic analysis, which utilizes an electron beam that is focused onto a thin sample. As the beam penetrates (transmits) through the sample, the difference densities produces an image on a fluorescent screen from which samples can be identified and counted. Also used for analyzing air samples for asbestos.

Conclusion

The conclusions of this report are CMM's professional opinions, based solely upon visual site observations and interpretations of laboratory analyses, as described in this report. The opinions presented herein apply to the site conditions existing at the time of CMM's investigation and interpretation of current regulations pertaining to asbestos. Therefore, CMM's opinions and recommendations may not apply to future conditions that may exist at the site, which we have not had the opportunity to evaluate. It should be noted that conditions change and that materials constantly degrade. All applicable federal, state and local regulations should always be verified prior to any work that will disturb or dislodge materials confirmed, assumed or presumed to contain asbestos.

CMM's assessment was limited to observation, sampling and the analysis of suspect asbestos containing products in accessible portions of the area(s) covered by this survey. Materials in the building that are not considered building materials, are unusual or *de minimis*, or were inaccessible, due to common construction techniques, to the inspector were excluded from the inspection. As a result, additional asbestos containing building materials may be present in inaccessible areas (e.g. between walls, ceiling spaces enclosed by wallboard, interior of fire doors, below grade exterior piping and sealants, etc.) of the structure that were not observed during the survey.

This inspection report is designed to assist the client in the understanding of the regulations regarding asbestos, however, it should not be used as a substitution for obtaining and familiarizing yourself with, including the compliance of, all asbestos related regulations including, but not limited to, 40 CFR, Chapter 61, Subpart M (National Emission Standard for Asbestos) prior to the start of any renovation or demolition activity that will disturb or dislodge asbestos containing materials or suspect/assumed asbestos containing materials.

This report has been prepared for the exclusive use of the intended client, for the specific application to the defined property as addressed in this report. Any additional user of this report shall determine the suitability of the material contained herein for their intended use, and any such user assumes all risks and liability in connection therewith. No claim is made that these findings will remain applicable to future site activities and conditions. Interpretations by any such user from information contained in this report or the drawing of conclusions by any such user from information contained in this report shall be undertaken solely at the risk of said party.

At all times during the performance of the inspection, safety was a priority. Due to the emphasis on safety, there were no injuries, there was no building contamination, and there were no asbestos exposures to either CMM personnel or building occupants.



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CMM. would like to thank you for the opportunity to be of service to you on this project. We hope that our performance has warranted the opportunity to work with you on future projects.

I hereby certify that all documents and work products prepared hereunder comply with all applicable laws and regulations, including, but not limited to, 105 ILCS 105, 225 ILCS 207 and 77 Ill. Adm. Code 855."

Signed,

A handwritten signature in black ink, appearing to read "Chris Manuel".

Chris Manuel
President
Inspector # 100-20143



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Appendix A (Lab Report)



CMM Environmental
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EMSL Analytical, Inc.

4140 Litt Drive Hillside, IL 60182
Tel/Fax: (773) 313-0099 / (773) 313-0139
<http://www.EMSL.com> / chicagolab@emsl.com

EMSL Order: 282512094
Customer ID: CMMA75
Customer PO:
Project ID: City of Rockford

Attention: Chris Manuel
CMM Environmental
415 N 3rd St
Rockford, IL 61107

Phone: (815) 218-3784
Fax:
Received Date: 12/16/2025 12:14 PM
Analysis Date: 12/22/2025
Collected Date:

Project: 1822 REED (City of Rockford)

**Test Report: Asbestos Analysis of Bulk Materials via AHERA Method 40CFR 763 Subpart E
Appendix E supplemented with EPA 600/R-93/116 using Polarized Light Microscopy**

Sample	Description	Appearance	Non-Asbestos		Asbestos
			% Fibrous	% Non-Fibrous	% Type
001 282512094-0001	HALL - FLOORING	Gray Non-Fibrous Homogeneous	3% Glass	97% Non-fibrous (Other)	None Detected
002 282512094-0002	HALL - FLOORING	Gray Non-Fibrous Homogeneous	3% Glass	97% Non-fibrous (Other)	None Detected
003 282512094-0003	HALL - FLOORING	Gray Non-Fibrous Homogeneous	3% Glass	97% Non-fibrous (Other)	None Detected
004-Floor Tile 282512094-0004	BATH - FT	Brown Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
004-Mastic 282512094-0004A	BATH - FT	Yellow Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
005-Floor Tile 282512094-0005	BATH - FT	Brown Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
005-Mastic 282512094-0005A	BATH - FT	Clear Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
006-Floor Tile 282512094-0006	BATH - FT	Brown Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
006-Mastic 282512094-0006A	BATH - FT	Yellow Non-Fibrous Homogeneous		100% Non-fibrous (Other)	None Detected
007 282512094-0007	LIVING - DRYWALL	Brown/White Non-Fibrous Homogeneous	10% Cellulose	90% Non-fibrous (Other)	None Detected
008 282512094-0008	BATH - DRYWALL	Brown/White Non-Fibrous Homogeneous	10% Cellulose	90% Non-fibrous (Other)	None Detected
009 282512094-0009	E BED - DRYWALL	Brown/White Non-Fibrous Homogeneous	10% Cellulose	90% Non-fibrous (Other)	None Detected



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EMSL Analytical, Inc.

4140 Litt Drive Hillside, IL 60162

Tel/Fax: (773) 313-0099 / (773) 313-0139

<http://www.EMSL.com> / chicagolab@emsl.com

EMSL Order: 262512094

Customer ID: CMMA75

Customer PO:

Project ID: City of Rockford

Analyst(s)

Mazen Elkhattib (12)

James Hahn, Laboratory Manager
or Other Approved Signatory

EMSL maintains liability limited to cost of analysis. Interpretation and use of test results are the responsibility of the client. This report relates only to the samples reported above, and may not be reproduced, except in full, without written approval by EMSL. EMSL bears no responsibility for sample collection activities or analytical method limitations. The report reflects the samples as received. Results are generated from the field sampling data (sampling volumes and areas, locations, etc.) provided by the client on the Chain of Custody. Samples are within quality control criteria and met method specifications unless otherwise noted. The above analyses were performed in general compliance with Appendix E to Subpart E of 40 CFR (previously EPA 800/M4-82-020 "Interim Method") but augmented with procedures outlined in the 1993 ("Final") version of the method. This report must not be used by the client to claim product certification, approval, or endorsement by NVLAP, NIST or any agency of the federal government. Non-fusible organically bound materials present a problem matrix and therefore EMSL recommends gravimetric reduction prior to analysis. Unless requested by the client, building materials manufactured with multiple layers (i.e. linoleum, wallboard, etc.) are reported as a single sample. Estimation of uncertainty is available on request.

Samples analyzed by EMSL Analytical, Inc. Hillside, IL NVLAP Lab Code 200399-4

Initial report from: 12/22/2025 13:58:47

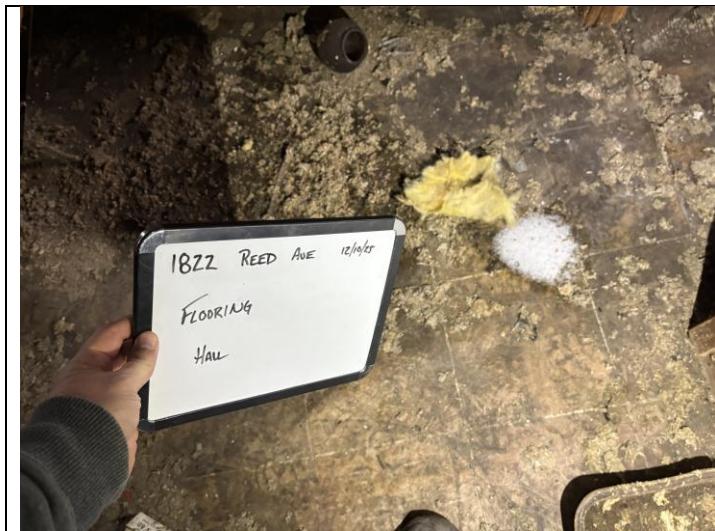
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Page 2 of 2



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Appendix B (Pictures)



Date: 12/10/25
Location: Hallway
Description: Flooring



Date: 12/10/25
Location: Bathroom
Description: Floor Tile

	<p>Date: 12/10/25 Location: Bathroom Description: Drywall</p>
	<p>Date: 12/10/25 Location: Exterior Description: Secured Door</p>



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Appendix C (Certifications)



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United States Department of Commerce
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Certificate of Accreditation to ISO/IEC 17025:2017

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Hillside, IL

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2025-04-01 through 2026-03-31

Effective Dates



For the National Voluntary Laboratory Accreditation Program



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ID NUMBER ISSUED EXPIRES
100 - 20143 4/8/2025 05/15/2026

CHRISTOPHER M MANUEL
415 N 3RD STREET
ROCKFORD, IL 61107

Environmental Health



ENDORSEMENTS TC EXPIRES
INSPECTOR 1/10/2026

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ZACK W MCINTYRE
1615 WESTCHESTER DR
ROCKFORD, IL 61107

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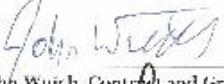
CERTIFICATION

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CMM ENVIRONMENTAL

In recognition of being Certified as a Women Business Enterprise with the

City of Rockford


John Wurth, Contract and Grant Compliance Officer


Thomas P. McNamara, Mayor of the City of Rockford

September 17, 2023

Expiration Date

August 19, 2025 at 12:01:41 PM



Network: Mar 20, 2025 at 5:42:06 PM CDT
Local: Mar 20, 2025 at 5:42:06 PM CDT



August 19, 2025 at 12:01:50 PM





19 Oct 2024 03:14:02 PM



19 Oct 2024 03:09:49 PM

August 13, 2025 at 1:59:25 PM

