

**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT
AND AFFIDAVIT**

SECTION I -- GENERAL INFORMATION

A. Legal name of Disclosing Party submitting this EDS. Include d/b/a/ if applicable:

UChicago Argonne LLC

Check ONE of the following three boxes:

Indicate whether Disclosing Party submitting this EDS is:

1. the Applicant

OR

2. a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which Disclosing Party holds an interest: _____

OR

3. a specified legal entity with a right of control (see Section II.B.1.b.) State the legal name of the entity in which Disclosing Party holds a right of control: _____

B. Business address of Disclosing Party: UChicago Argonne LLC

9700 South Cass Avenue

Lemont, IL 60439 _____

C. Telephone: 630-252-7030_Fax: 630-252-4517 Email: wmwalsh@anl.gov

D. Name of contact person: William M. Walsh

E. Federal Employer Identification No. (if you have one): 68-0628477

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

Transportation Modeling of the Regional Effects of Evacuations in the Chicago Metropolitan Area.

G. Which City agency or department is requesting this EDS? The Chicago Office of Emergency Management and Communication

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # _____ and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

- | | |
|---|---|
| <input type="checkbox"/> Person | <input checked="" type="checkbox"/> Limited liability company* |
| <input type="checkbox"/> Publicly registered business corporation | <input type="checkbox"/> Limited liability partnership* |
| <input type="checkbox"/> Privately held business corporation | <input type="checkbox"/> Joint venture* |
| <input type="checkbox"/> Sole proprietorship | <input checked="" type="checkbox"/> Not-for-profit corporation |
| <input type="checkbox"/> General partnership* | (Is the not-for-profit corporation also a 501(c)(3))? |
| <input type="checkbox"/> Limited partnership* | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |
| <input type="checkbox"/> Trust | <input type="checkbox"/> Other (please specify) |
-

* Note B.1.b. below.

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:

State of Illinois

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

- Yes No N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1.a. List below the full names and titles of all executive officers and all directors of the entity. For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

Name

Title

_____	_____
_____	_____
_____	_____
_____	_____

1.b. If you checked "General partnership," "Limited partnership," "Limited liability company," "Limited liability partnership" or "Joint venture" in response to Item A.1. above (Nature of Disclosing Party), list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name

Title

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." **NOTE:** Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name

Business Address

Percentage Interest in the
Disclosing Party

Sole member is the University of Chicago.

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-156 of the Municipal Code, with any City elected official in the 12 months before the date this EDS is signed?

Yes

No

If yes, please identify below the name(s) of such City elected official(s) and describe such relationship(s):

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in

connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated)
<hr/>			
<hr/>			
<hr/>			
<hr/>			

(Add sheets if necessary)

Check here if the Disclosing party has not retained, nor expects to retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the term of the contract.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

Yes No No person owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

Yes No

B. FURTHER CERTIFICATIONS

1. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:
 - a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
 - b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
 - c. are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in clause B.1.b. of this Section V;
 - d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
 - e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

2. The certifications in subparts 2, 3 and 4 concern:
 - the Disclosing Party;

 - any "Applicable Party" (meaning any party participating in the performance of the Matter, including but not limited to any persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");

 - any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or

state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Applicable Parties, the term Affiliated Entity means a person or entity that directly or indirectly controls the Applicable Party, is controlled by it, or, with the Applicable Party, is under common control of another person or entity;

- any responsible official of the Disclosing Party, any Applicable Party or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Applicable Party or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Applicable Party or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Applicable Party, nor any Affiliated Entity of either the Disclosing Party or any Applicable Party nor any Agents have, during the five years before the date this EDS is signed, or, with respect to an Applicable Party, an Affiliated Entity, or an Affiliated Entity of an Applicable Party during the five years before the date of such Applicable Party's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
 - b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
 - c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
 - d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).
3. Neither the Disclosing Party, Affiliated Entity or Applicable Party, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
 4. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.
 5. The Disclosing Party understands and shall comply with (1) the applicable requirements of the Governmental Ethics

Ordinance of the City, Title 2, Chapter 2-156 of the Municipal Code; and (2) all the applicable provisions of Chapter 2-56 of the Municipal Code (Office of the Inspector General).

6. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

For purposes of this Part C, under Municipal Code Section 2-32-455(b), the term "financial institution" means a bank, savings and loan association, thrift, credit union, mortgage banker, mortgage broker, trust company, savings bank, investment bank, securities broker, municipal securities broker, securities dealer, municipal securities dealer, securities underwriter, municipal securities underwriter, investment trust, venture capital company, bank holding company, financial services holding company, or any licensee under the Consumer Installment Loan Act, the Sales Finance Agency Act, or the Residential Mortgage Licensing Act. However, "financial institution" specifically shall not include any entity whose predominant business is the providing of tax deferred, defined contribution, pension plans to public employees in accordance with Sections 403(b) and 457 of the Internal Revenue Code. (Additional definitions may be found in Municipal Code Section 2-32-455(b).)

1. CERTIFICATION

The Disclosing Party certifies that the Disclosing Party (check one)

is is not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

"We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

Yes No

NOTE: If you checked "Yes" to Item D.1., proceed to Items D.2. and D.3. If you checked "No" to Item D.1., proceed to Part E.

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

Yes No

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name	Business Address	Nature of Interest
_____	_____	_____
_____	_____	_____
_____	_____	_____

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

The Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities for records of investments or profits from slavery, the slave industry, or slaveholder insurance policies from the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves) and has disclosed in this EDS any and all such records to the City. In addition, the Disclosing Party must disclose the names of any and all slaves or slaveholders described in those records. Failure to comply with these disclosure requirements may make the Matter to which this EDS pertains voidable by the City.

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in an attachment to this EDS all requisite information as set forth in that paragraph 2.

 X 1. The Disclosing Party verifies that (a) the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities for records of investments or profits from slavery, the slave industry, or slaveholder insurance policies, and (b) the Disclosing Party has found no records of investments or profits from slavery, the slave industry, or slaveholder insurance policies and no records of names of any slaves or slaveholders.

 2. The Disclosing Party verifies that, as a result of conducting the search in step 1(a) above, the Disclosing Party has found records relating to investments or profits from slavery, the slave industry, or slaveholder insurance policies and/or the names of any slaves or slaveholders. The Disclosing Party verifies that the following constitutes full disclosure of all such records:

SECTION VI – CERTIFICATIONS FOR FEDERALLY-FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII.

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Begin list here, add sheets as necessary):

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.
3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

If the Matter is federally funded and any funds other than federally appropriated funds have been or will be paid to any person or entity for influencing or attempting to influence an officer or employee of any agency (as defined by applicable federal law), a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the Matter, the Disclosing Party must complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. The form may be obtained online from the federal Office of Management and Budget (OMB) web site at <http://www.whitehouse.gov/omb/grants/sflllin.pdf>, linked on the page http://www.whitehouse.gov/omb/grants/grants_forms.html.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".
5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A.1. through A.4. above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the Applicant?

Yes

No

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

Yes

No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

Yes

No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

Yes

No

If you checked "No" to question 1. or 2. above, please provide an explanation:

SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

- A. By completing and filing this EDS, the Disclosing Party acknowledges and agrees, on behalf of itself and the persons or entities named in this EDS, that the City may investigate the creditworthiness of some or all of the persons or entities named in this EDS.
- B. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- C. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at

www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

- D. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded, void or voidable), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- E. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- F. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires.

The Disclosing Party represents and warrants that:

- G. The Disclosing Party has not withheld or reserved any disclosures as to economic interests in the Disclosing Party, or as to the Matter, or any information, data or plan as to the intended use or purpose for which the Applicant seeks City Council or other City agency action.

For purposes of the certifications in H.1. and H.2. below, the term "affiliate" means any person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members; shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with the federal government or a state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity.

- H.1. The Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its affiliates delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, all water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.
- H.2. If the Disclosing Party is the Applicant, the Disclosing Party and its affiliates will not use, nor permit their subcontractors to use, any facility on the U.S. EPA's List of Violating Facilities in connection with the Matter for the duration of time that such facility remains on the list.

H.3 If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in H.1. and H.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide truthful certifications.

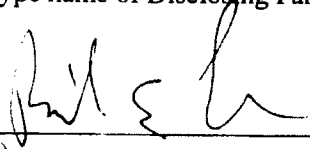
NOTE: If the Disclosing Party cannot certify as to any of the items in H.1., H.2. or H.3. above, an explanatory statement must be attached to this EDS.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS are true, accurate and complete as of the date furnished to the City.

UChicago Argonne LLC
(Print or type name of Disclosing Party)

Date: 8/26/09

By: 
(sign here)

Richard E. Combs
(Print or type name of person signing)

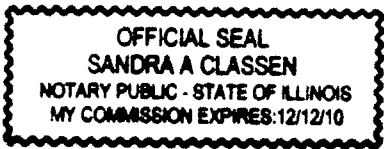
Manager, Sponsored Research Office
(Print or type title of person signing)

Signed and sworn to before me on (date) 8/26/09, by RICHARD E. COMBS, at LEMONT

COOK County, ILLINOIS (state).

Sandra A. Classen Notary Public.

Commission expires: 12/12/10



**CITY OF CHICAGO
ECONOMIC DISCLOSURE STATEMENT
AND AFFIDAVIT**

SECTION I -- GENERAL INFORMATION

A. Legal name of Disclosing Party submitting this EDS. Include d/b/a/ if applicable:

The Univeristy of Chicago

Check ONE of the following three boxes:

Indicate whether Disclosing Party submitting this EDS is:

1. the Applicant

OR

2. a legal entity holding a direct or indirect interest in the Applicant. State the legal name of the Applicant in which Disclosing Party holds an interest: UChicago Argonne, LLC

OR

3. a specified legal entity with a right of control (see Section II.B.1.b.) State the legal name of the entity in which Disclosing Party holds a right of control: _____

B. Business address of Disclosing Party: 5801 South Ellis Avenue

Chicago, IL 60637

C. Telephone: 773-702-5799 Fax: 773-702-0934 Email: gmckeown@uchicago.edu

D. Name of contact person: Glenn McKeown

E. Federal Employer Identification No. (if you have one): 36-2177139

F. Brief description of contract, transaction or other undertaking (referred to below as the "Matter") to which this EDS pertains. (Include project number and location of property, if applicable):

Transportation Modeling of the Regional Effects of Evacuation in the Chicago Metropolitan Area G.

G. Which City agency or department is requesting this EDS? Office of Emergency Management and Communication.

If the Matter is a contract being handled by the City's Department of Procurement Services, please complete the following:

Specification # _____ and Contract # _____

SECTION II -- DISCLOSURE OF OWNERSHIP INTERESTS

A. NATURE OF DISCLOSING PARTY

1. Indicate the nature of the Disclosing Party:

- Person
- Publicly registered business corporation
- Privately held business corporation
- Sole proprietorship
- General partnership*
- Limited partnership*
- Trust
- Limited liability company*
- Limited liability partnership*
- Joint venture*
- Not-for-profit corporation
(Is the not-for-profit corporation also a 501(c)(3))?
- Yes No
- Other (please specify)

* Note B.1.b. below.

2. For legal entities, the state (or foreign country) of incorporation or organization, if applicable:

_____ State of Illinois _____

3. For legal entities not organized in the State of Illinois: Has the organization registered to do business in the State of Illinois as a foreign entity?

- Yes No N/A

B. IF THE DISCLOSING PARTY IS A LEGAL ENTITY:

1.a. List below the full names and titles of all executive officers and all directors of the entity. For not-for-profit corporations, also list below all members, if any, which are legal entities. If there are no such members, write "no members." For trusts, estates or other similar entities, list below the legal titleholder(s).

Name	Title
[Please see Attachment A]	

1.b. If you checked "General partnership," "Limited partnership," "Limited liability company," "Limited liability partnership" or "Joint venture" in response to Item A.1. above (Nature of Disclosing Party), list below the name and title of each general partner, managing member, manager or any other person or entity that controls the day-to-day management of the Disclosing Party. NOTE: Each legal entity listed below must submit an EDS on its own behalf.

Name

Title

2. Please provide the following information concerning each person or entity having a direct or indirect beneficial interest (including ownership) in excess of 7.5% of the Disclosing Party. Examples of such an interest include shares in a corporation, partnership interest in a partnership or joint venture, interest of a member or manager in a limited liability company, or interest of a beneficiary of a trust, estate or other similar entity. If none, state "None." **NOTE:** Pursuant to Section 2-154-030 of the Municipal Code of Chicago ("Municipal Code"), the City may require any such additional information from any applicant which is reasonably intended to achieve full disclosure.

Name

Business Address

Percentage Interest in the
Disclosing Party

None

SECTION III -- BUSINESS RELATIONSHIPS WITH CITY ELECTED OFFICIALS

Has the Disclosing Party had a "business relationship," as defined in Chapter 2-156 of the Municipal Code, with any City elected official in the 12 months before the date this EDS is signed?

Yes

No

If yes, please identify below the name(s) of such City elected official(s) and describe such relationship(s):

SECTION IV -- DISCLOSURE OF SUBCONTRACTORS AND OTHER RETAINED PARTIES

The Disclosing Party must disclose the name and business address of each subcontractor, attorney, lobbyist, accountant, consultant and any other person or entity whom the Disclosing Party has retained or expects to retain in connection with the Matter, as well as the nature of the relationship, and the total amount of the fees paid or estimated to

be paid. The Disclosing Party is not required to disclose employees who are paid solely through the Disclosing Party's regular payroll.

"Lobbyist" means any person or entity who undertakes to influence any legislative or administrative action on behalf of any person or entity other than: (1) a not-for-profit entity, on an unpaid basis, or (2) himself. "Lobbyist" also means any person or entity any part of whose duties as an employee of another includes undertaking to influence any legislative or administrative action.

If the Disclosing Party is uncertain whether a disclosure is required under this Section, the Disclosing Party must either ask the City whether disclosure is required or make the disclosure.

Name (indicate whether retained or anticipated to be retained)	Business Address	Relationship to Disclosing Party (subcontractor, attorney, lobbyist, etc.)	Fees (indicate whether paid or estimated)
None			

(Add sheets if necessary)

Check here if the Disclosing party has not retained, nor expects to retain, any such persons or entities.

SECTION V -- CERTIFICATIONS

A. COURT-ORDERED CHILD SUPPORT COMPLIANCE

Under Municipal Code Section 2-92-415, substantial owners of business entities that contract with the City must remain in compliance with their child support obligations throughout the term of the contract.

Has any person who directly or indirectly owns 10% or more of the Disclosing Party been declared in arrearage on any child support obligations by any Illinois court of competent jurisdiction?

Yes No No person owns 10% or more of the Disclosing Party.

If "Yes," has the person entered into a court-approved agreement for payment of all support owed and is the person in compliance with that agreement?

Yes No

B. FURTHER CERTIFICATIONS

1. The Disclosing Party and, if the Disclosing Party is a legal entity, all of those persons or entities identified in Section II.B.1. of this EDS:
 - a. are not presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
 - b. have not, within a five-year period preceding the date of this EDS, been convicted of a criminal offense, adjudged guilty, or had a civil judgment rendered against them in connection with: obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; a violation of federal or state antitrust statutes; fraud; embezzlement; theft; forgery; bribery; falsification or destruction of records; making false statements; or receiving stolen property;
 - c. are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in clause B.1.b. of this Section V;
 - d. have not, within a five-year period preceding the date of this EDS, had one or more public transactions (federal, state or local) terminated for cause or default; and
 - e. have not, within a five-year period preceding the date of this EDS, been convicted, adjudged guilty, or found liable in a civil proceeding, or in any criminal or civil action, including actions concerning environmental violations, instituted by the City or by the federal government, any state, or any other unit of local government.

2. The certifications in subparts 2, 3 and 4 concern:
 - the Disclosing Party;

 - any "Applicable Party" (meaning any party participating in the performance of the Matter, including but not limited to any persons or legal entities disclosed under Section IV, "Disclosure of Subcontractors and Other Retained Parties");

 - any "Affiliated Entity" (meaning a person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members, shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with federal or state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity); with respect to Applicable Parties, the term Affiliated Entity means a person or entity that directly or indirectly controls the Applicable Party, is controlled by it, or, with the

Applicable Party, is under common control of another person or entity;

- any responsible official of the Disclosing Party, any Applicable Party or any Affiliated Entity or any other official, agent or employee of the Disclosing Party, any Applicable Party or any Affiliated Entity, acting pursuant to the direction or authorization of a responsible official of the Disclosing Party, any Applicable Party or any Affiliated Entity (collectively "Agents").

Neither the Disclosing Party, nor any Applicable Party, nor any Affiliated Entity of either the Disclosing Party or any Applicable Party nor any Agents have, during the five years before the date this EDS is signed, or, with respect to an Applicable Party, an Affiliated Entity, or an Affiliated Entity of an Applicable Party during the five years before the date of such Applicable Party's or Affiliated Entity's contract or engagement in connection with the Matter:

- a. bribed or attempted to bribe, or been convicted or adjudged guilty of bribery or attempting to bribe, a public officer or employee of the City, the State of Illinois, or any agency of the federal government or of any state or local government in the United States of America, in that officer's or employee's official capacity;
 - b. agreed or colluded with other bidders or prospective bidders, or been a party to any such agreement, or been convicted or adjudged guilty of agreement or collusion among bidders or prospective bidders, in restraint of freedom of competition by agreement to bid a fixed price or otherwise; or
 - c. made an admission of such conduct described in a. or b. above that is a matter of record, but have not been prosecuted for such conduct; or
 - d. violated the provisions of Municipal Code Section 2-92-610 (Living Wage Ordinance).
3. Neither the Disclosing Party, Affiliated Entity or Applicable Party, or any of their employees, officials, agents or partners, is barred from contracting with any unit of state or local government as a result of engaging in or being convicted of (1) bid-rigging in violation of 720 ILCS 5/33E-3; (2) bid-rotating in violation of 720 ILCS 5/33E-4; or (3) any similar offense of any state or of the United States of America that contains the same elements as the offense of bid-rigging or bid-rotating.
 4. Neither the Disclosing Party nor any Affiliated Entity is listed on any of the following lists maintained by the Office of Foreign Assets Control of the U.S. Department of the Treasury or the Bureau of Industry and Security of the U.S. Department of Commerce or their successors: the Specially Designated Nationals List, the Denied Persons List, the Unverified List, the Entity List and the Debarred List.
 5. The Disclosing Party understands and shall comply with (1) the applicable requirements of the Governmental Ethics Ordinance of the City, Title 2, Chapter 2-156 of the Municipal Code; and (2) all the applicable provisions of Chapter 2-56 of the Municipal Code (Office of the Inspector General).

6. If the Disclosing Party is unable to certify to any of the above statements in this Part B (Further Certifications), the Disclosing Party must explain below:

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

C. CERTIFICATION OF STATUS AS FINANCIAL INSTITUTION

For purposes of this Part C, under Municipal Code Section 2-32-455(b), the term "financial institution" means a bank, savings and loan association, thrift, credit union, mortgage banker, mortgage broker, trust company, savings bank, investment bank, securities broker, municipal securities broker, securities dealer, municipal securities dealer, securities underwriter, municipal securities underwriter, investment trust, venture capital company, bank holding company, financial services holding company, or any licensee under the Consumer Installment Loan Act, the Sales Finance Agency Act, or the Residential Mortgage Licensing Act. However, "financial institution" specifically shall not include any entity whose predominant business is the providing of tax deferred, defined contribution, pension plans to public employees in accordance with Sections 403(b) and 457 of the Internal Revenue Code. (Additional definitions may be found in Municipal Code Section 2-32-455(b).)

1. CERTIFICATION

The Disclosing Party certifies that the Disclosing Party (check one)

is is not

a "financial institution" as defined in Section 2-32-455(b) of the Municipal Code.

2. If the Disclosing Party IS a financial institution, then the Disclosing Party pledges:

"We are not and will not become a predatory lender as defined in Chapter 2-32 of the Municipal Code. We further pledge that none of our affiliates is, and none of them will become, a predatory lender as defined in Chapter 2-32 of the Municipal Code. We understand that becoming a predatory lender or becoming an affiliate of a predatory lender may result in the loss of the privilege of doing business with the City."

If the Disclosing Party is unable to make this pledge because it or any of its affiliates (as defined in Section 2-32-455(b) of the Municipal Code) is a predatory lender within the meaning of Chapter 2-32 of the Municipal Code, explain here (attach additional pages if necessary):

If the letters "NA," the word "None," or no response appears on the lines above, it will be conclusively presumed that the Disclosing Party certified to the above statements.

D. CERTIFICATION REGARDING INTEREST IN CITY BUSINESS

Any words or terms that are defined in Chapter 2-156 of the Municipal Code have the same meanings when used in this Part D.

1. In accordance with Section 2-156-110 of the Municipal Code: Does any official or employee of the City have a financial interest in his or her own name or in the name of any other person or entity in the Matter?

Yes No

NOTE: If you checked "Yes" to Item D.1., proceed to Items D.2. and D.3. If you checked "No" to Item D.1., proceed to Part E.

2. Unless sold pursuant to a process of competitive bidding, or otherwise permitted, no City elected official or employee shall have a financial interest in his or her own name or in the name of any other person or entity in the purchase of any property that (i) belongs to the City, or (ii) is sold for taxes or assessments, or (iii) is sold by virtue of legal process at the suit of the City (collectively, "City Property Sale"). Compensation for property taken pursuant to the City's eminent domain power does not constitute a financial interest within the meaning of this Part D.

Does the Matter involve a City Property Sale?

Yes No

3. If you checked "Yes" to Item D.1., provide the names and business addresses of the City officials or employees having such interest and identify the nature of such interest:

Name	Business Address	Nature of Interest
_____	_____	_____
_____	_____	_____
_____	_____	_____

4. The Disclosing Party further certifies that no prohibited financial interest in the Matter will be acquired by any City official or employee.

E. CERTIFICATION REGARDING SLAVERY ERA BUSINESS

The Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities for records of investments or profits from slavery, the slave industry, or slaveholder insurance policies from the slavery era (including insurance policies issued to slaveholders that provided coverage for damage to or injury or death of their slaves) and has disclosed in this EDS any and all such records to the City. In addition, the Disclosing Party must disclose the names of any and all slaves or slaveholders described in those records. Failure to comply with these disclosure requirements may make the Matter to which this EDS pertains voidable by the City.

Please check either 1. or 2. below. If the Disclosing Party checks 2., the Disclosing Party must disclose below or in an attachment to this EDS all requisite information as set forth in that paragraph 2.

 X 1. The Disclosing Party verifies that (a) the Disclosing Party has searched any and all records of the Disclosing Party and any and all predecessor entities for records of investments or profits from slavery, the slave industry, or slaveholder insurance policies, and (b) the Disclosing Party has found no records of investments or profits from slavery, the slave industry, or slaveholder insurance policies and no records of names of any slaves or slaveholders.

 2. The Disclosing Party verifies that, as a result of conducting the search in step 1(a) above, the Disclosing Party has found records relating to investments or profits from slavery, the slave industry, or slaveholder insurance policies and/or the names of any slaves or slaveholders. The Disclosing Party verifies that the following constitutes full disclosure of all such records:

SECTION VI -- CERTIFICATIONS FOR FEDERALLY-FUNDED MATTERS

NOTE: If the Matter is federally funded, complete this Section VI. If the Matter is not federally funded, proceed to Section VII.

A. CERTIFICATION REGARDING LOBBYING

1. List below the names of all persons or entities registered under the federal Lobbying Disclosure Act of 1995 who have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter: (Begin list here, add sheets as necessary):

(If no explanation appears or begins on the lines above, or if the letters "NA" or if the word "None" appear, it will be conclusively presumed that the Disclosing Party means that NO persons or entities registered under the Lobbying Disclosure Act of 1995 have made lobbying contacts on behalf of the Disclosing Party with respect to the Matter.)

2. The Disclosing Party has not spent and will not expend any federally appropriated funds to pay any person or entity listed in Paragraph A.1. above for his or her lobbying activities or to pay any person or entity to influence or attempt to influence an officer or employee of any agency, as defined by applicable federal law, a member of Congress, an officer or employee of Congress, or an employee of a member of Congress, in connection with the award of any federally funded contract, making any federally funded grant or loan, entering into any cooperative agreement, or to extend, continue, renew, amend, or modify any federally funded contract, grant, loan, or cooperative agreement.
3. The Disclosing Party will submit an updated certification at the end of each calendar quarter in which there occurs any event that materially affects the accuracy of the statements and information set forth in paragraphs A.1. and A.2. above.

If the Matter is federally funded and any funds other than federally appropriated funds have been or will be paid to any person or entity for influencing or attempting to influence an officer or employee of any agency (as defined by applicable federal law), a member of Congress, an officer or employee of Congress, or an employee of a member of Congress in connection with the Matter, the Disclosing Party must complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. The form may be obtained online from the federal Office of Management and Budget (OMB) web site at <http://www.whitehouse.gov/omb/grants/sflllin.pdf>, linked on the page http://www.whitehouse.gov/omb/grants/grants_forms.html.

4. The Disclosing Party certifies that either: (i) it is not an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; or (ii) it is an organization described in section 501(c)(4) of the Internal Revenue Code of 1986 but has not engaged and will not engage in "Lobbying Activities".
5. If the Disclosing Party is the Applicant, the Disclosing Party must obtain certifications equal in form and substance to paragraphs A.1. through A.4. above from all subcontractors before it awards any subcontract and the Disclosing Party must maintain all such subcontractors' certifications for the duration of the Matter and must make such certifications promptly available to the City upon request.

B. CERTIFICATION REGARDING EQUAL EMPLOYMENT OPPORTUNITY

If the Matter is federally funded, federal regulations require the Applicant and all proposed subcontractors to submit the following information with their bids or in writing at the outset of negotiations.

Is the Disclosing Party the Applicant?

Yes

No

If "Yes," answer the three questions below:

1. Have you developed and do you have on file affirmative action programs pursuant to applicable federal regulations? (See 41 CFR Part 60-2.)

Yes No

2. Have you filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance Programs, or the Equal Employment Opportunity Commission all reports due under the applicable filing requirements?

Yes No

3. Have you participated in any previous contracts or subcontracts subject to the equal opportunity clause?

Yes No

If you checked "No" to question 1. or 2. above, please provide an explanation:

SECTION VII -- ACKNOWLEDGMENTS, CONTRACT INCORPORATION, COMPLIANCE, PENALTIES, DISCLOSURE

The Disclosing Party understands and agrees that:

- A. By completing and filing this EDS, the Disclosing Party acknowledges and agrees, on behalf of itself and the persons or entities named in this EDS, that the City may investigate the creditworthiness of some or all of the persons or entities named in this EDS.
- B. The certifications, disclosures, and acknowledgments contained in this EDS will become part of any contract or other agreement between the Applicant and the City in connection with the Matter, whether procurement, City assistance, or other City action, and are material inducements to the City's execution of any contract or taking other action with respect to the Matter. The Disclosing Party understands that it must comply with all statutes, ordinances, and regulations on which this EDS is based.
- C. The City's Governmental Ethics and Campaign Financing Ordinances, Chapters 2-156 and 2-164 of the Municipal Code, impose certain duties and obligations on persons or entities seeking City contracts, work, business, or transactions. The full text of these ordinances and a training program is available on line at www.cityofchicago.org/Ethics, and may also be obtained from the City's Board of Ethics, 740 N. Sedgwick St., Suite 500, Chicago, IL 60610, (312) 744-9660. The Disclosing Party must comply fully with the applicable ordinances.

- D. If the City determines that any information provided in this EDS is false, incomplete or inaccurate, any contract or other agreement in connection with which it is submitted may be rescinded or be void or voidable, and the City may pursue any remedies under the contract or agreement (if not rescinded, void or voidable), at law, or in equity, including terminating the Disclosing Party's participation in the Matter and/or declining to allow the Disclosing Party to participate in other transactions with the City. Remedies at law for a false statement of material fact may include incarceration and an award to the City of treble damages.
- E. It is the City's policy to make this document available to the public on its Internet site and/or upon request. Some or all of the information provided on this EDS and any attachments to this EDS may be made available to the public on the Internet, in response to a Freedom of Information Act request, or otherwise. By completing and signing this EDS, the Disclosing Party waives and releases any possible rights or claims which it may have against the City in connection with the public release of information contained in this EDS and also authorizes the City to verify the accuracy of any information submitted in this EDS.
- F. The information provided in this EDS must be kept current. In the event of changes, the Disclosing Party must supplement this EDS up to the time the City takes action on the Matter. If the Matter is a contract being handled by the City's Department of Procurement Services, the Disclosing Party must update this EDS as the contract requires.

The Disclosing Party represents and warrants that:

- G. The Disclosing Party has not withheld or reserved any disclosures as to economic interests in the Disclosing Party, or as to the Matter, or any information, data or plan as to the intended use or purpose for which the Applicant seeks City Council or other City agency action.

For purposes of the certifications in H.1. and H.2. below, the term "affiliate" means any person or entity that, directly or indirectly: controls the Disclosing Party, is controlled by the Disclosing Party, or is, with the Disclosing Party, under common control of another person or entity. Indicia of control include, without limitation: interlocking management or ownership; identity of interests among family members; shared facilities and equipment; common use of employees; or organization of a business entity following the ineligibility of a business entity to do business with the federal government or a state or local government, including the City, using substantially the same management, ownership, or principals as the ineligible entity.

- H.1. Other than in the ordinary course of business for an entity of the size and with the scope of activities as the Disclosing Party, the Disclosing Party is not delinquent in the payment of any tax administered by the Illinois Department of Revenue, nor are the Disclosing Party or its affiliates delinquent in paying any fine, fee, tax or other charge owed to the City. This includes, but is not limited to, water charges, sewer charges, license fees, parking tickets, property taxes or sales taxes.
- H.2. If the Disclosing Party is the Applicant, the Disclosing Party and its affiliates will not use, nor permit their subcontractors to use, any facility on the U.S. EPA's List of Violating Facilities in connection with the Matter for the duration of time that such facility remains on the list.
- H.3. If the Disclosing Party is the Applicant, the Disclosing Party will obtain from any contractors/subcontractors hired or to be hired in connection with the Matter certifications equal in form and substance to those in H.1. and H.2. above and will not, without the prior written consent of the City, use any such contractor/subcontractor that does not provide such certifications or that the Disclosing Party has reason to believe has not provided or cannot provide

truthful certifications.

NOTE: If the Disclosing Party cannot certify as to any of the items in H.1., H.2. or H.3. above, an explanatory statement must be attached to this EDS.

CERTIFICATION

Under penalty of perjury, the person signing below: (1) warrants that he/she is authorized to execute this EDS on behalf of the Disclosing Party, and (2) warrants that all certifications and statements contained in this EDS are to the best of his/her knowledge true, accurate and complete as of the date furnished to the City.

The University of Chicago
(Print or type name of Disclosing Party)

Date: 8/26/09

By: 
(sign here)

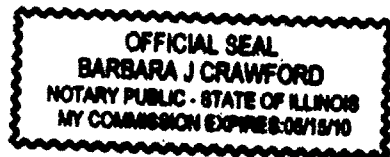
Glenn McKeown
(Print or type name of person signing)

Associate General Counsel
(Print or type title of person signing)

Signed and sworn to before me on (date) 8/26/09, by Glenn McKeown, at 5801 S. Ellis Ave.
Chicago IL 60637
Cook County, Illinois (state).

 Notary Public.

Commission expires: 5/15/10



ATTACHMENT A

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Provost of the University	Thomas F. Rosenbaum
Vice President for Administration and Chief Financial Officer	Nimalan Chinniah
Vice President for Financial Strategy and Budget	Kermit E. Daniel
Secretary of the University	David B. Fithian
Vice President for Financial Planning for Science	Lawrence J. Furnstahl
Vice President for Campus Life and Dean of Students in the University	Kimberly M. Goff-Crews
Vice President for Strategic Initiatives	David A. Greene
Vice President and General Counsel	Beth A. Harris
Vice President and Chief Information Officer	Gregory A. Jackson
Vice President for Research and for National Laboratories	Donald H. Levy
Vice President for Civic Engagement	Ann Marie Lipinski
Vice President for Medical Affairs and Dean, Division of the Biological Sciences and Pritzker School of Medicine	James L. Madara, M.D.
Vice President and Dean of College Admissions and Financial Aid	James G. Nondorf
Vice President for Communications	Julie A. Peterson
Vice President for Alumni Relations and Development	Ronald J. Schiller
Vice President and Chief Investment Officer	Mark A. Schmid

2009 – 2010 University of Chicago Board of Trustees

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Robert J. Zimmer



City of Chicago
Richard M. Daley, Mayor

Office of Emergency Management
and Communications


Raymond Orozco
Executive Director

1411 West Madison Street
Chicago, Illinois 60607-1809
(312) 746-9111
(312) 746-9120 (FAX)

<http://www.cityofchicago.org>

MEMORANDUM

To: Jamie Rhee, Chief Procurement Officer
Department of Procurement Services

From: 
Raymond Orozco, Executive Director
Office of Emergency Management & Communications

Date: August 27th, 2009

Re: Regional Transportation Simulation Tool for Evacuation
Planning (RTSTEP)

The Office of Emergency Management & Communications your concurrence with the No Stated Goals request from Argonne National Laboratory transportation evacuation modeling simulation project. We are requesting to initiate a sole source contract to support this important software that will be used to safely evacuate drivers from roadways in the case of an emergency.

Argonne National Laboratory has current contracts with the Department of Health and with the Department of Environment, both of which have No State Goals in regards to the MBE/WBE status. We hope the same status for this contract will apply.

Thank you for your assistance with this matter. If you have any questions or need additional information, please contact Leslie Cain at 312-746-9421.

Cc: Frank Lindbloom, OEMC
Yiel Halac, OEMC
John O'Brien, DPS





William M. Walsh
Contract Specialist Senior

Office of the Chief Financial Officer
Procurement Department
Argonne National Laboratory
9700 South Cass Avenue, Bldg. 201
Argonne, IL 60439

1-630-252-7030 phone
1-630-252-4517 fax
wmwalsh@anl.gov

August 26, 2009

Ms. Leslie Cain
Grants Research Specialist
Office of Emergency Management and Communications
City of Chicago
1411 W. Madison Avenue
Chicago, IL 60607

Dear Ms Cain:

Subject: Minority Business Enterprises and Women Business Enterprises
Reference: Argonne's Proposal No. P-09127 entitled "Transportation Modeling of the Regional Effects of Evacuations in the Chicago Metropolitan Area" using the Regional Transportation Simulation Tool for Evacuation Planning (RTSTEP)

The facility commonly known as Argonne National Laboratory is owned by the United States Government and operated by UChicago Argonne, LLC, under a Prime Contract with the Government. The Laboratory complies with the requirements dictated in our Prime Contract with respect to Socio-Economic Goals. The performance rating of the Laboratory by the federal Government is judged in part by our compliance with those requirements. In FY 2007 the Laboratory exceeded its Goals for Small Business Concerns, Women Owned Business Concerns, and Small Disadvantaged Minority Concerns. In FY-08 the Laboratory exceeded its goals in the two of the three areas and is committed to reaching and or exceeding all three in FY-09 which ends September 30, 2009. The Laboratory realizes the importance of meeting and or exceeding these goals and will make every effort to do so into FY-10 and the throughout the life of the pending Agreement and into the future.

The Laboratory endorses the concept of including language regarding Minority and Women Business Enterprises in any contemplated agreement between our respective organizations. Because of the limitations inherent in our Prime Contract, we request that this provision continue to reflect the following language, which has been used in previous agreements that reads as follows: Section entitled *Minority and Women's Business Enterprises Commitment*:

"In the performance of this Agreement, including the procurement and lease of materials or equipment, the Laboratory abides by the U.S. Department of Energy requirements with respect to minority and women owned businesses."

Should you have any questions, please feel free to contact the undersigned at your convenience at 630-252-7030.

Sincerely,


William M. Walsh

cc: K. Duke/Small Business Liaison

Pat Quinn
Governor



Andrew Velasquez III
Homeland Security Advisor

2200 South Dirksen Parkway ~ Springfield, IL 62703-4554 ~ phone: (217) 558-1334 ~ fax: (217) 558-1335
www.ready.illinois.gov

Mike Chamness - Chair
Illinois Terrorism Task Force
Members

- 1. American Business Coalition
 - 2. American Public Safety Assoc.
 - 3. American Red Cross
 - 4. American Society of Heating, Refrigeration and Air Conditioning Engineers
 - 5. Associated General Contractors of Illinois
 - 6. Business Management Services
 - 7. County of Cook
 - 8. County of DuPage
 - 9. County of Kane
 - 10. County of Madison
 - 11. County of Peoria
 - 12. County of Rockford
 - 13. County of Sangamon
 - 14. Cook County ESDA
 - 15. Department of Homeland Security (IRMA Region V)
 - 16. DuPage County GEM
 - 17. Federal Bureau of Investigation
 - 18. Governor's Office
 - 19. Illinois Academy of Chiefs of Police
 - 20. Illinois Association of Public Health Administrators
 - 21. Illinois Association of Chiefs of Police
 - 22. Illinois Association of Fire Chiefs
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September 23, 2009

To Whom It May Concern:

The Argonne National Laboratory has unique capabilities in the field of transportation modeling that allows them to perform detailed evacuation plans in urban areas such as the business District of Chicago. In particular, their ability to integrate such models with the dispersion of toxic agents is, to our knowledge, based on data and models applied to such data that are unique to the laboratory.

Attached is a further specific listing of the lab's capabilities in this area. Please contact us at the above number if you have any questions. Thank you.

Sincerely,

Andrew Velasquez III
Andrew Velasquez III
Homeland Security Advisor
Director, Illinois Emergency Management Agency

Sincerely,

Mike Chamness
Mike Chamness
Chairman
Illinois Terrorism Task Force

Unique Capabilities in Evacuation and Transportation Modeling

The following items constitute unique capabilities relevant to the needs of the City of Chicago for regional transportation modeling and emergency evacuation simulation (RTSTEP). They are not in order of importance because they are of equivalent importance.

- The Transportation Research and Analysis Computing Center at Argonne has worked closely with the Illinois Department of Transportation and the US Department of Transportation to build a complex TRANSIMS model for the Chicago Metropolitan Area, covering approximately 10,000 square miles. This model required several man years of effort to develop, and covers the region of interest to the RCPT and is thus invaluable as a starting point for this work.
- The emergency evacuation modeling project for the Illinois Department of Transportation and the Illinois Terrorism Task Force has built the extensive expertise necessary to implement the RTSTEP project. This is the only research project that deploys high fidelity computing to regional evacuations.
- Argonne has developed several extensions to the TRANSIMS application that are specific to emergency evacuation modeling, and is currently modifying the software to use high performance computing clusters more efficiently. Such in-depth knowledge of the existing code base is essential to efficiently make modification to the software as may be necessary to implement in this proposed project.
- Argonne intends write a subcontract with AECOM, a consulting company that has driven the development of TRANSIMS for traffic forecasting and sponsored by USDOT to do so. Argonne and AECOM have worked closely for three years now on the joint development of TRANSIMS, with David Roden from AECOM and Hubert Ley from Argonne being the principal developers of the open source TRANSIMS software. Argonne has developed the evacuation-related tools and methodologies, while AECOM developed the TRANSIMS framework itself. The collaboration between the two organizations will build a uniquely qualified team of experts that will ensure that the work will be implemented within the existing time constraints.
- Due to the time constraints under which the project will be implemented, Argonne will also bring in highly qualified university subcontractors to work on areas of specific expertise. These university partners will work on population modeling, the development of user interfaces and tools, and the calibration and validation of the model to increase confidence in the results. This also includes the Chicago Metropolitan Agency for Planning.
- The Transportation Research and Analysis Computing Center at Argonne operates a high performance cluster computer for the US Department of Transportation. This is the largest supercomputing facility that USDOT provides to the transportation research community, and is a free resource to advance high fidelity simulations in the field. The proposed project meets the technical objectives of USDOT, and use of this system leverages the efforts proposed for this project.

- Argonne's expertise in the use and development of TRANSIMS is widely recognized. TRACC has held eight TRANSIMS training courses for USDOT in the past two years. This is the only TRANSIMS training resource available to TRANSIMS users at this time, with about 150 to 200 participants so far.
- The Chicago TRANSIMS model has also been selected by OEMC as the basis for a collaborative project with the Illinois Institute of Technology and the Chicago Metropolitan Agency for Planning. OEMC, being responsible for transportation plans in the City (such as for the upcoming Olympics in 2016), intends to use TRANSIMS as a high resolution tool that meets their modeling needs. The proposed evacuation project will greatly leverage OEMC's efforts in this non-emergence transportation planning area.
- Argonne provides a vast computing and networking environment, and provides access to a large inter-disciplinary team and a highly regarded collaborative environment. Cyber security at Argonne has been recognized by USDOE as a model for the other national laboratories due its effectiveness while providing extensive services to scientists world-wide.

***REGIONAL TRANSPORTATION SIMULATION TOOL FOR EVACUATION
PLANNING (RTSTEP)***

Office of Emergency Management and Communication

Sole Source Justification

Argonne National Laboratory

PROCUREMENT HISTORY

The Office of Emergency Management and Communication (OEMC) has state-of-the-art emergency and crisis management systems; however, the OEMC lacks key capability in determining the spatial and temporal extent of a hazardous material incident or a terrorist attack involving the release of a chemical, biological or radiological (CBR) agent ("dirty-bomb"). Knowing the location of areas affected by an incident is essential to rapid response and developing the mitigation required when protecting public safety. Being able to determine the best evacuation routes and strategies under these complex circumstances based on a detailed analysis of the transportation system and its response to the sudden surge of evacuees is another essential capability in this context.

To address this knowledge gap, OEMC has determined that several additional priority capabilities are needed, including advanced air dispersion modeling and dispersion visualization capabilities. Furthermore, the work proposed in this project extends this capability by integrating the dispersion modeling project with high-fidelity multi-modal transportation analysis tools to help emergency response planners include the anticipated response of the transportation system into their plans. This is essential, given the current uncertainties in estimating the impact of evacuation areas and routes on the movement of evacuees in the region and the need for assistance from emergency responders. This is a state of the art capability that will greatly enhance OEMC's capability of developing emergency response plans for possible large scale evacuation events in the metropolitan region.

Argonne National Laboratory (Argonne), operated by UChicago LLC for the Department of Energy, is one of the largest research facilities in the United States and conducts work on a not-for-profit basis for federal, state, and local agencies. Argonne has a national and international reputation for providing unbiased science in support of the public good. As a national laboratory, Argonne is not in competition with other private sector companies and provides unique services not offered by others in the market place. Over the last 35 years Argonne has developed extensive and world-class expertise in simulation methodologies and advanced computing. For this specific project, Argonne has a set of unique computing and modeling technologies that have been applied to previous evacuation simulations in the Chicago metropolitan area and are based on high fidelity simulation software developed by the US Department of Transportation for next generation advanced transportation modeling. By combining Argonne expertise in evacuation modeling and advanced computing using massively parallel high performance computers with the expertise of the current developers of the TRANSIMS simulation software (AECOM) as well as a number of university partners from NIU, IIT, and UIUC, the proposal team brings together a set of capabilities unmatched by others in the market-place.

There have been numerous meetings at the OEMC and at Argonne during the past year to discuss homeland security science and technology developments including state of the art atmospheric modeling and visualization tools that are now ready for technology transfer. The meetings also covered emergency transportation evacuation planning and development of a transportation model specific to the City of Chicago. The simulator has been developed by Argonne under a separate agreement with the Illinois Terrorism Task Force and the Illinois Department of Transportation and will be adapted for large scale regional emergency evacuation planning under the proposed project. These tools and the expertise offered by Argonne and scientists and engineers can provide the OEMC with capabilities that will help the City of Chicago understand and respond to a WMD attack along with other crisis management situations involving accidental spills of hazardous materials.

ESTIMATED COST

The estimated cost to meet our requirement is \$2,000,000. (See attached task and cost proposal).

SCHEDULE REQUIREMENTS

The proposed tasks are to be completed in approximately ten months from the contract award date (See attached task and cost proposal).

EXCLUSIVE OR UNIQUE CAPABILITIES

Argonne has proven and recognized scientific expertise in high fidelity numerical simulations and has performed related work recently when developing a large scale evacuation simulation model for radiological events in the Chicago Business District for the Illinois Department of Transportation. This work was established at the request of the Illinois Terrorism Task Force and was broadly supported by the Office of Emergency Management and Communications, the Illinois Emergency Management Agency, the Federal Emergency Management Agency for Region 5, DuPage County, and other regional stakeholders. The capabilities developed under this project apply directly to the success of the proposed work, and the existence of a Chicago TRANSIMS model makes it possible to implement the project within the short time frame available.

Argonne's Transportation Research and Analysis and Computing Center (TRACC) has also developed close collaborative ties with other stakeholder in the development of the underlying high-fidelity transportation software application (TRANSIMS) and is uniquely positioned to bring in the necessary resources to make the project a success. TRACC's high performance computing facilities, operated for USDOT under a grant, are the choice platform for most users of the state of the art TRANSIMS application that will form the basis for the proposed project. TRACC is one of the key developers of this application as well, making it possible to make complex modifications and improvements that cannot be achieved by normal TRANSIMS users.

Specific examples of Argonne's exclusive or unique capabilities for doing the job include experience in: 1) developing emergency evacuation models for large metropolitan areas such as Chicago and the use of high fidelity transportation simulation software; 2) TRACC's operation of the largest high performance computer USDOT offers to transportation researchers in the US; 3) access to additional unique supercomputing facilities to carryout computationally intense simulations, including "Jazz" and "BlueGene" Clusters and TerraGrid hub connections with major national research laboratories and universities, and 4) staff with unique skills and experience in advanced transportation modeling and high performance computing.



William M. Walsh
Contract Specialist Senior

**Office of the Chief Financial Officer
Procurement Department**
Argonne National Laboratory
9700 South Cass Avenue, Bldg. 201
Argonne, IL 60439

November 30, 2009

1-630-252-7030 phone
1-630-252-4517 fax
wmwalsh@anl.gov

Ms. Jamie L. Rhee, Chief Procurement Officer
City of Chicago
Department of Procurement Services
City Hall, Room 403
121 North LaSalle Street
Chicago, IL 60602

Dear Ms. Rhee:

Subject: Argonne's Socio-Economic Goals
Reference: E-mail request of Leslie Cain dated November 20, 2009

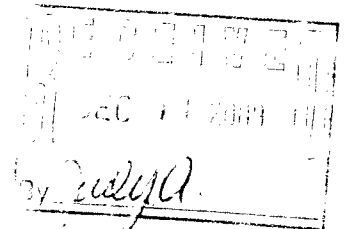
The Laboratory is hereby providing a copy of its 2009 Small Business Subcontracting Plan that was reviewed and approved by the United States Department of Energy. This plan was incorporated into our Prime Contract No. DE-AC02-6CH11357 with the Department of Energy. The Prime Contract is available on the web at <http://www.anl.gov/contract/>. The overall performance rating of the Laboratory, as determined by the Department of Energy; is based on part by us meeting and or exceeding the established goals as outlined in the FY 2009 Small Business Subcontracting Plan (see Attachment A). The Laboratory's Fiscal Year 2009 ended September 30, 2009 and I am pleased to state that we exceeded all of the Socio-Economic Goals with regards to all of the following categories:

Small Business
Small Disadvantaged Business
Women-owned Small Business
HubZone Small Business
Service-Disabled Veteran-Owned Small Business

To substantiate the above information please see Attachment B which reflects the actual results for both FY-08 and FY-09 as compared to the Goals for each respective year. Should you have any questions or require further assistance, please contact the undersigned at (630) 252-7030, via fax at (630) 252-4517, or e-mail at wmwalsh@anl.gov.

Sincerely,

William M. Walsh
Senior Contract Specialist



cc R. Orozco
L. Cain

ATTACHMENT A

FY 2009 SMALL BUSINESS SUBCONTRACTING PLAN

CONTRACTOR: UCHICAGO ARGONNE, LLC
(OPERATOR OF ARGONNE NATIONAL LABORATORY)

ADDRESS: 9700 SOUTH CASS AVENUE
ARGONNE, ILLINOIS 60439-4873

CONTRACT NUMBER: DE-AC02-06CH11357

ITEM/SERVICE: OPERATION OF MULTI-PURPOSE NATIONAL LABORATORY

TOTAL AMOUNT OF CONTRACT
(INCLUDING OPTIONS)

PERIOD OF CONTRACT PERFORMANCE 10/01/07 - 9/30/09
(DAY, MONTH, AND YEAR)

1. TYPE OF PLAN *(please check one)*

- Individual Contract Plan** - Individual Contract Plan, as used in this subpart, means a subcontracting plan that covers the entire contract period (including option periods), applies to a specific contract, and has goals that are based on the offeror's planned subcontracting in support of the specific contract, except that indirect costs incurred for common or joint purposes may be allocated on a prorated basis to the contract.
- Master Plan** - Master Plan, as used in this subpart, means a subcontracting plan that contains all of the required elements of the individual plans, except goals, and may be incorporated into individual contract plans, provided the master plan has been approved.
- Commercial Products Plan** - Commercial Plan, as used in this subpart, means a subcontracting plan that covers the offeror's fiscal year and that applies to the entire production of commercial items sold by either the entire company or a portion thereof (e.g., division, plant, or product line). The contractor must provide a copy of the approved plan. **NOTE: A commercial plan is the preferred type of subcontracting plan for contractors furnishing commercial items.**

2. GOALS

State separate dollar and percentage goals for small business, small disadvantaged business, women-owned small business, HUBZone small business, and service disabled veteran-owned small business concerns, as subcontractors.

- a. Total estimated dollar value of all planned subcontracting, i.e., with all types of concerns eligible for small business subcontracting under this contract is *\$105,000,000*.
- b. Total estimated dollar value and percent of planned subcontracting with small business concerns (includes small business, small disadvantaged business, women-owned small business, HUBZone small business, veteran-owned small business, and service disabled veteran-owned small business concerns): (% of "a") *\$43,365,000 and 41.3%*.
- c. Total estimated dollar value and percent of planned subcontracting with Central Contractor Registration (CCR) certified small disadvantaged business: (% of "a") *\$6,646,500 and 6.33%*.
- d. Total estimated dollar value and percent of planned subcontracting with women-owned small business: (% of "a") *\$6,048,000 and 5.76%*.
- e. Total estimated dollar value and percent of planned subcontracting with CCR certified HUBZone small business: (% of "a") *\$2,331,000 and 2.22%*.
- f. Total estimated dollar value and percent of planned subcontracting with service disabled veteran-owned small business: (% of "a") *\$1,312,500 and 1.25%*.
- g. Total estimated dollar value and percent of planned subcontracting with large business: (% of "a") *61,635,000 and 58.7%*.

Provide a description of all the products and/or services to be subcontracted under this contract, and indicate the types of business supplying them, [i.e., SMALL BUSINESS (SB), SMALL DISADVANTAGED BUSINESS (SDB), WOMEN-OWNED SMALL BUSINESS (WOSB), LARGE BUSINESS (LARGE), HUBZONE SMALL BUSINESS (HUBZ), and SERVICE DISABLED VETERAN-OWNED SMALL BUSINESS (SDV).

(Check all that apply)

<i>Subcontracted Product/Service</i>	<i>SB</i>	<i>SDB</i>	<i>WOSB</i>	<i>HUBZ</i>	<i>VOSB</i>	<i>SDV</i>	<i>Large</i>
ADP Supplies	X	X	X	X			X
Civil, Surveying, Landscape Architecture & Environmental	X	X	X				X
Automotive Equipment	X		X				
Chemicals	X	X	X				
Clothing	X	X	X				
Compression Fittings	X	X	X				
Construction Contracting	X	X	X		X	X	X
Equipment	X	X	X				X
Furniture and Fixtures	X	X	X				X
Fabrications	X	X	X				X
Fire & Safety	X	X	X				
Fire Protection Engineering	X						
Fuel Oil	X	X	X				
Hardware and Small Tools	X	X	X	X			
Information Technology	X	X	X	X	X	X	X
Janitorial Supplies	X	X	X	X			
Laboratory Equipment & Supplies	X	X	X				X
Laundry	X	X	X				
Lubricants	X	X	X				
Lumber & Building Materials	X						
Machine Tools	X	X	X				
Predictive Maintenance Systems	X	X	X				
Material Handling Equipment	X	X	X				X
Material Handling Supplies	X	X	X				X
Office Supplies	X	X	X	X			
Paints & Supplies	X	X	X				
Photographic Supplies	X	X	X	X			
Pipes & Fittings	X	X	X				
Plumbing & Heating Supplies	X	X	X				
Prototype Fabrication (Hardware)	X	X	X				
Research & Development Support	X	X	X				X
Support Services	X	X	X				X

In accordance with DOE Acquisition Letter AL-2007-11 (08/13/07), awards greater than \$3,000 and less than \$100,000 to large business will include documentation, which supports the decision to award to other than small business. Preference will be given to small business awards for purchases between \$3,000 and \$100,000 awarded through small purchase/simplified acquisition procedures, where there is a reasonable expectation that bids, competitive as to price, quality, and delivery, will be obtained from two or more responsive small business concerns.

See paragraph 7.C. for documentation of awards to large business with a value of \$100,000 or more.

To further facilitate the Argonne's Small Business Program, Argonne will, in accordance with DOE Acquisition Letter AL-2007-11 (08/13/07), without further sole source documentation to the file, and based upon its unilateral decision, utilize the option of making awards without competition: (1) under \$100,000 to small business concerns; (2) for purchases valued at: (a) \$5.5 million or less for manufacturing standard classifications and \$3.5 million or less for all other acquisitions to registered Small Business Administration 8(a) Pilot Program firms; or (b) \$5.5 million or less for HUBZone small business within North American Industry Classification System (NAIC) codes for manufacturing and \$3.5 million or less for HUBZone small business within any other NAIC codes; and (3) sole source awards to service-disabled veteran-owned small business concerns for \$5.5 million or less for a requirement within the NAICS codes for manufacturing; or \$3 million for a requirement within any other NAICS codes.

Argonne will utilize HUBZone set-asides and HUBZone sole source methodologies in the award of subcontracts provided the acquisition meets requirements of FAR 19.1305 and FAR 19.1306(a) and in accordance with this plan and existing procurement practices.

h. The following method was used in developing subcontract goals:

- 1) Small business goals were based on prior year's experience, perceived changes in the type of acquisitions to be completed, known increases and decreases in various program areas as reported by the various Laboratory divisions, projected construction projects, the DOE Acquisition Letter 2005-08 that re-affirmed authorized purchases valued up to \$100,000 on a sole source basis to small business, the impact of Automated Material Order System (AMOS) in filling the needs of the Laboratory, consideration of certified HUBZone small business concerns, and the projected volume of acquisitions.
- 2) CCR certified small disadvantaged business (SDB) subcontracting activity was measured in terms of past annual dollar expenditures, percent of annual dollar purchases from certified SDB concerns, total number of certified SDB vendors doing business or desiring to do business with ANL, impact of AMOS contracts, use of FSS contracts, and a self-perception of the potential success of our SDBC program.
- 3) In a similar manner the women-owned small business goal was determined based on last year's experience.
- 4) HUBZone goals are contingent upon availability of viable certified concerns located primarily in the Chicago metropolitan area, but considering others in the United States as well.
- 5) Service disabled veteran-owned small business opportunities are predicated on a reasonable expectation that bids, competitive as to price, quality, and delivery will

be obtained from two or more responsive service disabled veteran-owned small business concerns.

- i. Indirect costs have been _____ / have not been X included in the dollar and percentage subcontracting goals stated above. (Please check one.)

3. **PROGRAM ADMINISTRATOR**

Name, title, and position within the Laboratory structure, and the duties and responsibilities of the employee who will manage the contractor's subcontracting program.

NAME: DENNIS E. BUGIELSKI
TITLE: *MANAGER, ARGONNE PROCUREMENT*
ADDRESS: 9700 SOUTH CASS AVENUE
ARGONNE, IL 60439-4873
TELEPHONE: (630)-252-7028

Name, title, and position within the Laboratory structure, and the duties and responsibilities of the employee who will manage the contractor's subcontracting program.

NAME: KARL D. DUKE
TITLE: *SMALL BUSINESS LIAISON OFFICER*
ADDRESS: 9700 SOUTH CASS AVENUE
ARGONNE, IL 60439-4873
TELEPHONE: (630)-252-7790

Duties: Has general overall responsibility for the contractor's subcontracting program, i.e., developing, preparing, and executing subcontractor plans and monitoring performance relative to the requirements of this particular plan. These duties include, but are not limited to, the following activities:

- a. Developing and promoting Laboratory-wide policy initiatives that demonstrate Argonne's support for awarding contracts and subcontracts to small business, small disadvantaged business, women-owned small business, HUBZone small business, and service disabled veteran-owned small business and assure that small business, small disadvantaged business, women-owned small business, HUBZone small business and service disabled veteran-owned small business are included on the services they are capable of providing;
- b. Ensuring periodic rotation of potential subcontractors;
- c. Ensuring that procurement "packages" are designed to permit the maximum possible participation of small business, small disadvantaged business, women-owned small business, HUBZone small business, and service disabled veteran-owned small business within Laboratory policies and procedures;

- d. Facilitating the utilization of various sources for the identification of small business, small disadvantaged business, women-owned small business, HUBZone small business, and service disabled veteran-owned small business such as the Central Contractor Requisition (CCR) (<http://www.ccr.gov>) the National Minority Purchasing Council Vendor Information Service, the Office of Minority Business Data Center in the Department of Commerce, National Association of Women Business Owner Vendor Information Service, and the facilities of local small business, minority and women associations, and contact with federal agencies' small business program managers;
- e. Overseeing the establishment and maintenance of contract and subcontract award records;
- f. Attending or arranging for the attendance of Laboratory personnel at Small Business Opportunity Workshops, Minority and Women Business Enterprise Seminars, Trade Fairs, Procurement Conferences, etc.;
- g. Ensuring small business, small disadvantaged business, women-owned small business, HUBZone small business, and service disabled veteran-owned small business are made aware of subcontracting opportunities as well as how to prepare responsive bids to the Laboratory;
- h. Conducting and arranging of training for Purchasing personnel regarding the intent and impact of Public Law 95-507 on purchasing procedures;
- i. Monitoring the Laboratory's performance and making any adjustments necessary to achieve the subcontract plan goals;
- j. Preparing and submitting required subcontract reports on a timely basis;
- k. Coordinating the Laboratory's activities during the conduct of compliance reviews by federal agencies;
- l. Reviewing solicitation formats to remove statements, clauses, etc., which may tend to restrict or prohibit small business, small disadvantaged business, women-owned small business, HUBZone small business, or service disabled veteran-owned small business participation where possible;
- m. Ensuring that the reasons for not selecting low bids submitted by small business, small disadvantaged business, women-owned small business, HUBZone small business, and service disabled veteran-owned small business are documented;
- n. Ensuring the establishment and maintenance of records of solicitations and subcontract award activity;
- o. Ensuring that historically Black colleges and universities and minority institutions shall be afforded maximum practicable opportunity;

- p. Assisting program managers as early as possible in the development cycle of major system acquisitions and system programs as pertains to the Small Business program; and
- q. Advising potential suppliers as to how they can obtain information about business opportunities at ANL and briefing the Procurement Manager and the Chief Financial Officer at least twice yearly concerning the status of small business, small disadvantaged business, women-owned small business, HUBZone small business, and service disabled veteran-owned small business utilization in relation to goals and objectives established.

4. **EQUITABLE OPPORTUNITY**

The contractor agrees to ensure that small business, small disadvantaged business, women-owned small business, HUBZone small business, and service disabled veteran-owned small business will have an equitable opportunity to compete for subcontracts. These efforts include, but are not limited to, the following activities:

- a. Outreach efforts to obtain sources
 - 1) Contacting small business, small disadvantaged business, women-owned small business, HUBZone small business, and service disabled veteran-owned small business trade associations, such as:
 - Chicago Minority Business Development Center
 - Black Contractors United
 - Hispanic American Construction Ind.
 - The Association of Asians Construction Enterprise
 - Cosmopolitan Chamber of Commerce
 - Construction Market Data Inc.
 - Contractors Assoc. of Will/Grundy Counties
 - F. W. Dodge Corporation
 - Construction Data Source
 - Independent Contractors Assoc. of Illinois
 - Chicago Minority Development Council, Inc.
 - Women Construction Owners & Executives
 - 2) Contacting business development organizations (identify specific business development organizations).
 - U. S. Department of Commerce Minority Business Development Agency (MBDA);
 - 3) Attending small business, small disadvantaged (minority) business, women-owned small business, HUBZone small business, and service disabled veteran-owned

small business procurement conferences and trade fairs (to the extent known, identify specific procurement conferences and trade fairs and dates).

- Chicago Business Opportunity Fair
 - NMSDC Conference and Business Opportunity Fair
 - Annual Joint Industry/SBA Procurement Conference
 - Minority Enterprise Development Week (MED WEEK)
- 4) Utilizing newspaper and magazine ads to encourage new sources when funds are available to do so.
- b. Internal efforts to guide and encourage Purchasing personnel.
- 1) Presenting workshops and training programs;
- 2) Establishing, maintaining and using small business, small disadvantaged business, women-owned small business, HUBZone small business, and service disabled veteran-owned small business source lists, guides, and other data for soliciting subcontracts such as:
- *"TRY US" (A Directory of Small Disadvantaged Business Firms)*
 - *National Directory of Minority-Owned Business Firms (Sixth Edition)*
 - *Regional Directory of Minority and Women-Owned Business Firms (Central Edition)*
 - *The Chicago Black Pages Business Directory*
 - *Minority-Owned High Tech Businesses (Second Edition)*
 - *Greater Chicago Minority Vendors Directory*
 - *Illinois and Women Business Assistance Resource Directory*
 - *Minority Business Guide*
 - *Federal Suppliers Guide*
- 3) Monitoring activities to evaluate compliance with the subcontracting plan(s).
- c. Small business, small disadvantaged business, women-owned small business, HUBZone small business, and service disabled veteran-owned small business source lists, guides and other data identifying small business, small disadvantaged business, women-owned small business, HUBZone small business, and service disabled veteran-owned small business concerns will be maintained and utilized by buyers/subcontract specialists in sourcing suppliers.

5. FLOW-DOWN CLAUSE

The contractor agrees to include the provisions under FAR 52.219-8 entitled, "Utilization of Small Business Concerns," in all subcontracts in excess of the small purchase limitations that offer

further subcontracting opportunities. All subcontractors, except small business concerns, that receive subcontracts (except those for commercial items) in excess of \$550,000 (\$1,000,000 for construction) of any public facility that offer further subcontracting opportunities must adopt and comply with a plan similar to the plan required by FAR 52.219-9, "Small Business Subcontracting Plan."

Such plans will be reviewed by comparing them with the provisions of Public Law 95-507, and assuring that all minimum requirements of an acceptable subcontracting plan have been satisfied. The acceptability of percentage goals shall be determined on a case-by-case basis depending on the supplies/services involved, the availability of potential small business, small disadvantaged business, women-owned small business, HUBZone small business, service disabled veteran-owned small business and prior experience. Once approved and implemented, plans will be monitored through the submission of periodic reports, and/or, as time and availability of funds permit, periodic visits to subcontractor's facilities to review applicable records and subcontracting program progress.

6. REPORTING AND COOPERATION

The contractor gives assurance of (1) cooperation in any studies or surveys that may be required by the contracting agency or the Small Business Administration; (2) submission of periodic reports which show compliance with the subcontracting plan; (3) submission of semi-annual reports to provide acquisition forecast data for subcontracting opportunities; (4) submission into the Electronic Subcontracting Reporting System (eSRS) of the Individual Subcontracting Report (ISR) and Summary Subcontracting Report (SSR), in accordance with the requirements of the eSRS; and (5) ensuring that large business subcontractors with subcontracting plans agree to submit the Individual Subcontracting Report and Summary Subcontracting Report, in accordance with the requirements of the eSRS.

Reporting Period	Report Due	Due Date
Oct 1 - Mar 31	ISR	04/30
Apr 1 - Sept 30	ISR	10/31
Oct 1 - Sept 30	SSR	10/31

7. RECORD KEEPING

The following is a recitation of the types of records the contractor will maintain to demonstrate the procedures adopted to comply with the requirements and goals in the subcontracting plan. These records will include, but not be limited to, the following:

- a. Argonne uses the CCR as its source for small business, small disadvantaged business, women-owned small business, HUBZone small business and service disabled veteran-owned small business concerns; and maintains a list of the guides and other data identifying such vendors;

- b. Organizations contacted in an attempt to locate small business, small disadvantaged business, women-owned small business, HUBZone small business, and service disabled veteran-owned small business sources;
- c. On a contract-by-contract basis, records on all subcontract solicitations over \$100,000, which indicate for each solicitation (1) whether small business concerns were solicited, and if not, why not; (2) whether small disadvantaged business concerns were solicited, and if not, why not; (3) whether woman-owned small business concerns were solicited, and if not, why not; (4) whether HUBZone small business concerns were solicited, and if not, why not; (5) whether service disabled veteran-owned small business concerns were solicited, and if not, why not; and (6) the reason for the failure of solicited small business, small disadvantaged business, woman-owned small business, HUBZone small business, or service disabled veteran-owned small business concerns to receive the subcontract award;
- d. Records to support other outreach efforts, e.g., contacts with minority and small business trade associations, attendance at small and minority business procurement conferences and trade fairs;
- e. Records to support internal guidance and encouragement, provided to buyers through (1) workshops, seminars, training programs, incentive awards; and (2) monitoring of activities to evaluate compliance; and
- f. On a contract-by-contract basis, records to support subcontract award data including the name, address, and business size of each subcontractor.

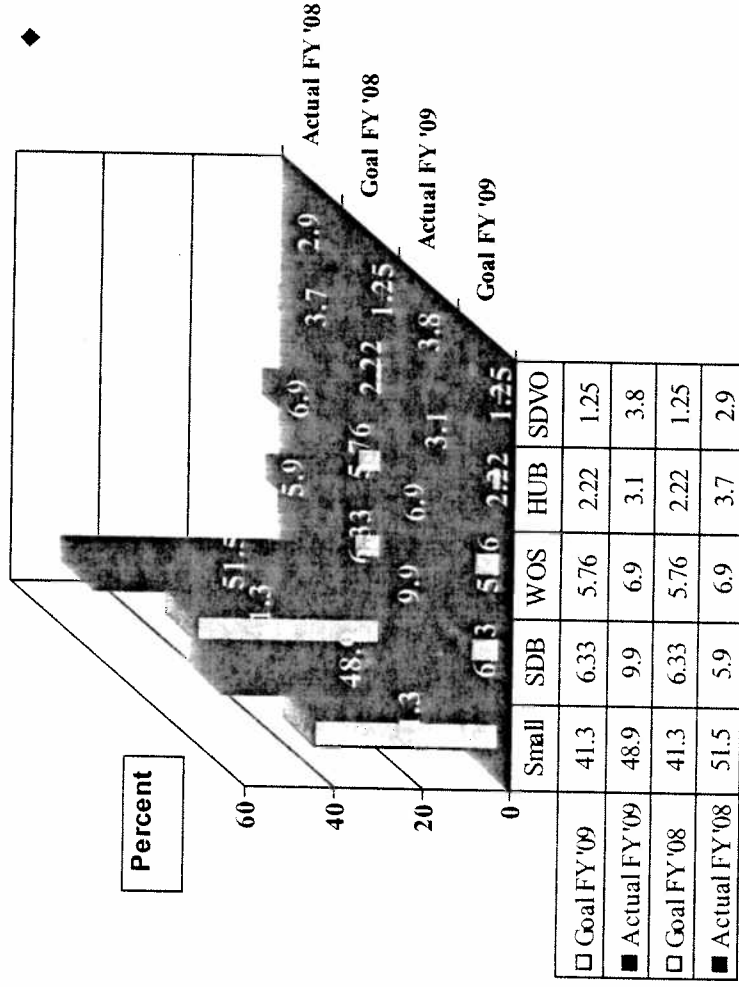
This subcontracting plan was submitted by:

SIGNATURE: _____
TYPED NAME: Dennis E. Búgielski
TITLE: Manager, ANL Procurement
DATE PREPARED: 1/15/09
PHONE NO.: 630-252-7028

This subcontracting plan was accepted by:

APPROVAL: _____
AGENCY: DOE/ASO
TYPED NAME: _____
TITLE: Kristin E. Palmer
DATE APPROVED: 7/16/09
PHONE NO.: 030 252 2127

Socio-Economic Goals % of Eligible Dollars Obligated



- ◆ Internal Perspective, IP-8
 - Objective: Corporate Citizenship
 - Measure: Socio-Economic Goals
 - ANL Target: Meet Goals for Small, SDB, WOS, HUBZone, and Service-Disabled Veteran - Owned Small Business
 - DOE Core Measure