

BID PACKAGE

ISSUE 1

CANAAN TOWNSHIP
MORROW COUNTY, OHIO

CANAAN TOWNSHIP TRUSTEES

CANAAN T.R. 60 IMPROVEMENTS

Phase 4

ROADWAY IMPROVEMENT

NOTICE TO BIDDERS

Sealed bids will be received at the Canaan Township Hall, 2170 State Route 95, Edison, Ohio 43320, at 6:30 PM, on TUESDAY, JULY 9, 2024, for furnishing all labor, materials and equipment necessary to complete the project known as OPWC Township Road 60 Improvements, Phase 4.

Contract documents, bid sheets, plan and specifications can be obtained by contacting trustees Matt Carwell, 419-295-0036; John Bayles, 419-845-3303; or Tyler Levering, 740-361-7212. You can also email canaantwp@redbird.net to request a pdf file of the bid packet. The bid packet is also available on the township website canaantwp.org.

Bids may be mailed or delivered personally and must be submitted in a sealed envelope marked clearly "OPWC Township Road 60 Improvements Bid, Phase 4". Contact any of the trustees to make delivery arrangements. Mailed bids should be sent to Canaan Township, Jill Retterer, Fiscal Officer, 2605 County Road 59, Edison, Ohio 43320.

Bids will be publicly opened and read aloud at a special meeting of the Canaan Township Board of Trustees on TUESDAY, JULY 9, 2024 at 6:30 p.m. at said office.

Each bidder is required to furnish with its proposal a Bid Guaranty and Contract Bond in accordance with Section 153.54 of the Ohio Revised Code. Bid security furnished in Bond form, shall be issued by a Surety Company or Corporation licensed in the State of Ohio to provide said surety. Bidder shall also provide insurance coverage information that includes public liability, property damage, and vehicle liability insurance.

Each proposal must contain the full name of the party or parties submitting the proposal and all persons interested therein. Each bidder must submit evidence of its experiences on projects of similar size and complexity. The owner intends and requires that this project be completed no later than October 31, 2024.

All contractors and subcontractors involved with the project will to the extent practicable use Ohio products, materials, services, and labor in the implementation of their project. Additionally, contractor compliance with the equal employment opportunity requirements of Ohio Administrative Code Chapter 123 is required.

Bidders must comply with the prevailing wage rates on Public Improvements in Canaan Township, Morrow County, Ohio as determined by the Ohio Department of Commerce, Bureau of Wage and Hour Administration, 614.644.2239.

By Order of the Canaan Township Board of Trustees. The Canaan Board of Trustees reserves the right to waive irregularities and to reject any and or all bids.

Jill Retterer, Fiscal Officer

BID CONDITONS AND REQUIREMENTS FOR OPWC-ASSISTED CONSTRUCTION PROJECTS

1. The contractor shall furnish all labor, equipment, all materials, insurance, etc. to haul aggregate, mix, spread, compact, maintain traffic and all other pertinent jobs associated with Asphalt Concrete work not specifically mentioned above as per Item 441.
2. All bids shall be based upon unit price except as noted within specs.
3. Any exceptions to the specifications, terms and conditions to this notice to bidders and legal advertisement shall be clearly stated in letter form and shall accompany this bid.
4. All materials shall be in accordance with the latest edition of the ODOT Construction and Materials Specifications manual and shall be subject to sampling and testing **unless noted in the specifications.**
5. The contractor may not begin work until they receive a "Notice to Proceed" by the Canaan Township Trustees. The latest date set for completion of the work is October 31, 2024.
6. Unit prices must be bid on the Bid Sheet included with the bid package and must be signed by a representative of the Company.
7. This project is an OPWC Issue I Project. The contractor agrees to adhere to all rules and regulations of such Grant and must furnish all information required by OPWC.
8. The contractor must fully complete all required forms included in Bid Proposal and Specifications Package.
 - a. W-9 Form
 - b. Delinquent Tax Affidavit
 - c. EEO Compliance Certificate
 - d. Bid Sheet
 - e. Campaign Contributions Sheet
 - f. Unresolved Findings Affidavit
9. **Steel Products Made in the United States:**

Domestic steel use requirements as specified in Ohio Rev. Code §153.011, <https://codes.ohio.gov/ohio-revised-code/section-153.011>, apply to this project.
10. **Prevailing wages on State Projects with no Federal Aid** (Should this project contain Federal-aid funds then Federal Prevailing Wages must be paid. Contact the appropriate Federal funding agency for language.):

This contract is subject to Ohio Prevailing Wage Laws, Ohio Rev. Code Chapter 4115 and the Prime Contractor and all subcontractors shall comply with all provisions contained therein or as otherwise provided by this note. The Prime Contractor guarantees that the prevailing wage scale to be paid to all laborers and mechanics employed on this contract shall be in accordance with the schedule of the prevailing hourly wage and fringe benefits as determined by the Ohio Department of Commerce for the county in which the work is being performed. The failure to pay prevailing wages to all laborers and mechanics employed on this project shall be considered a breach of contract. Such a failure may result in the revocation of the Prime Contractor's and/or subcontractor's certificate of qualification and debarment. A schedule of the most current prevailing wage rates may be accessed by registering with the Ohio Department of Commerce, Labor and Worker Safety Division, Wage and Hour Bureau at the following web address: <https://wagehour.com.ohio.gov/w3/webwh.nsf/wrlogin/?openform>.

The Prime Contractor and all subcontractors shall compensate the employees on this contract at a pay rate not less than the hourly wage and fringe rate listed on the website noted above, for the applicable job classification or as may be modified by the Ohio Department of Commerce, Division of Labor and Worker Safety Wage and Hour Bureau, when new prevailing rates are established.

Overtime shall be paid at one and one-half times the basic hourly rate for any hours worked beyond forty hours during a pay week. The Prime Contractor and all subcontractors shall pay all compensation by company check to the worker and fringe benefit program.

The wage and fringe rates determined for this project or as may be later modified, shall be posted by the Prime Contractor in a prominent and accessible place on the project, field office, or equipment yard where they can be easily read by the workers or otherwise made available to the workers. On the first pay date of contract work the Prime Contractor and all subcontractors shall furnish each employee covered by prevailing wage a completed form (WHPW-1512) in accordance with Ohio Rev. Code § 4115.05, showing the classification, hourly pay rate, and fringes, and identifying the public authority's Prevailing Wage Coordinator, if such employees are not covered by a collective bargaining agreement or understanding between employers and bona fide organizations of labor. These forms shall be signed by the Prime Contractor or subcontractor and the employee and kept in the Prime Contractor's or subcontractor's payroll files.

The Prime Contractor shall submit to the Prevailing Wage Coordinator, certified payrolls for Prime Contractor and all subcontractors on form WHPW-1512 or equivalent, in accordance with Ohio Rev. Code Sections 4115.07 and 4115.071(C), three weeks after the start of work and every subsequent week until the completion of the contract. Additionally, a copy of the "Apprentice Certification" obtained from the Ohio State Apprenticeship Council, must accompany all certified payrolls submitted, for all apprentices working on this project. Upon completion of the contract and before the final payment, the Prime Contractor shall submit to the Prevailing Wage Coordinator a final wage affidavit in accordance with Ohio Rev. Code § 4115.07 stating that wages have been paid in conformance with the minimum rates set forth in the contract. Please be aware that it is ultimately the responsibility of the Prime Contractor to ensure that all laws relating to prevailing wages in Ohio Rev. Code Chapter 4115 are strictly adhered to by all subcontractors.

The Prime Contractor and all subcontractors shall make all its payroll records available for inspection, copying or transcription by any authorized representative of the contracting agency. Additionally, the Prime Contractor and all subcontractors shall permit such representatives to interview any employees during working hours while the employee is on the job.

11. Unresolved Finding for Recovery:

The Prime Contractor affirmatively represents to the local contracting authority that it is not subject to a finding for recovery under Ohio Rev. Code § 9.24, or that it has taken the appropriate remedial steps required under §9.24 or otherwise qualifies under that section. The Prime Contractor agrees that if this representation is deemed to be false, the contract

shall be void ab initio as between the parties to this contract, and any funds paid by the state hereunder shall be immediately repaid to the local contracting authority, or an action for recovery may be immediately commenced by the local government and/or for recovery of said funds.

12. Ohio Workers' Compensation Coverage:

The Prime Contractor must secure and maintain valid Ohio workers' compensation coverage until the project has been finally accepted by the local contracting authority. A certificate of coverage evidencing valid workers' compensation coverage must be submitted to the local contracting authority before the contract is executed.

The Prime Contractor must immediately notify the local contracting authority, in writing, if it or any subcontractor fails or refuses to renew their workers' compensation coverage. Furthermore, the Prime Contractor must notify the local contracting authority, in writing, if it or any of its subcontractor's workers' compensation policies are canceled, terminated or lapse.

The failure to maintain valid workers' compensation coverage shall be considered a breach of contract which may result in the Prime Contractor or subcontractor being removed from the project, withholding of pay estimates and/or termination of the contract.

13. Drug-Free Workplace Program:

In accordance with Ohio Rev. Code §153.03 and during the life of this project, the Prime Contractor and all its Subcontractors that provide labor on the Project site must be enrolled in and remain in good standing in the Ohio Bureau of Worker's Compensation ("OBWC") Drug-Free Workplace Program ("DFWP") or a comparable program approved by the OBWC.

14. Ohio Preference:

In accordance with Ohio Rev. Code §164.05 (A)(6), to the extent practicable, the Prime Contractor and subcontractor shall use Ohio products, materials, services, and labor in connection with this project.

15. Bid Guaranty:

In accordance with Ohio Rev. Code §153.54, the Prime Contractor shall file with the bid a bid guaranty in the form of either: 1) a bond for the full amount of the bid, or 2) a certified check, cashier's check, or letter of credit equal to 10% of the bid.

16. Ohio Ethics Law:

The Prime Contractor agrees that it is currently in compliance and will continue to adhere to the requirements of Ohio Ethics law as provided Ohio Rev. Code Sections 102.03 and 102.04.

17. Insurance:

The Prime Contractor agrees to provide insurance coverage information that includes public liability, property damage, and vehicle liability insurance.

18.State of Ohio Equal Employment Opportunity:

NOTICE TO CONTRACTORS:

The provisions of the Ohio Administrative Code (OAC) 123:2-3-02 through 124:2-9 regarding Equal Employment Opportunity on State Construction Contracts and State-assisted Construction Contracts, and OAC 123:2-3-02 through 123:2-9 regarding Equal Employment Opportunity and Female Utilization Goals are applicable to this project, and each contractor will be required to comply in all aspects of these provisions.

Certificate of Compliance for EEO Purposes:

All prime contractors must secure a valid Certificate of Compliance from the Ohio Department of Development prior to execution of a construction contract.

See <https://development.ohio.gov/business/construction-compliance/certificate-of-compliance> for steps for Certificate of Compliance submittal.

>>> Does this bidder have a valid Certificate of Compliance? **YES NO**

>>> If "No" to the above, will this bidder be able to obtain a valid Certificate of Compliance prior to the execution of a contract? **YES NO**

Bidder must provide a "Yes" answer to one or the other of the above questions.

BIDDER'S AFFIRMATIVE ACTION REQUIREMENTS:

Contractors and subcontractors with (a) 50 or more employees and a state contract of \$50,000 or more or (b) where a contractor's or subcontractor's state contract exceeds an estimated total cost of \$500,000 and the project is in a geographic area, regardless of the number employees, shall establish an affirmative action program. Chapters 123:2-3 through 123:2-11 of the Ohio Administrative Code requires contractors and subcontractors to implement the following: policies and procedures to maintain a working environment free of discrimination, harassment, intimidation, and coercion; state percentage goals for minorities by trade and by geographic area as well as a 6.9% goal for women statewide in the trades during the performance of a state contracts; and good faith efforts to recruit, hire, and maintain minorities and women.

>>> Has the contractor and subcontractor bidder developed an affirmative action program in conformity with Ohio Adm. Code 123:2-3-04 prior to the bid opening? **YES NO**

>>>If "no", with this bid response, the prime contract bidder hereby adopts the minority and female work hour utilization goals and the specific affirmative action steps set forth in 123:2-3 through 123:2-9 of the Ohio Administrative Code.

BIDDER'S EEO COVENANTS:

Throughout its performance of any contract awarded to it on this State-assisted project, the prime contract bidder agrees to the following covenants:

- 1) The contractor will not discriminate against any employee or applicant for employment because of race, color, religion, national origin, ancestry, or sex. The contractor will take affirmative action to ensure that applicants are employed, and that employees are treated during employment without regard to their race, creed, sex, disability or military status as defined in section 4112.01 of the Revised Code, or color. Such action shall include, but is not limited to, the following: Employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices to be provided setting forth the provisions of this nondiscrimination clause.
- 2) The contractor will in all solicitations or advertisements for employees placed by or on behalf of the prime contractor, state that all qualified applicants will receive consideration for employment without regard to race, creed, sex, disability or military status as defined in section 4112.01 of the Revised Code, or color.
- 3) The contractor will send to each labor union or representative of workers with which it has a collective bargaining agreement or other contract or understanding, a notice to be provided by the State Administering Agency advising the said labor union or workers' representatives of the contractor's commitments under this covenant and shall post copies of the notice in conspicuous places available to employees and applicants for employment.
- 4) The contractor will comply with all provisions of the Ohio Department of Administrative Services, Equal Opportunity Division and with the implementing rules, regulations, and applicable orders of the Department of Development.
- 5) The contractor agrees to fully cooperate with the State Administering Agency, the Department of Development and with any other official or agency, or the State or Federal government which seeks to eliminate unlawful employment discrimination, and with all other State and Federal efforts to assure equal employment practices under its contract and the contractor shall comply promptly with all requests and directions from the State Administering Agency, the Department of Development and any of the State of Ohio officials and agencies in this regard, both before and during construction.
- 6) Full cooperation as expressed in clause (5), above, shall include, but not be limited to, being a witness and permitting employees to be witnesses and complainants in any proceeding involving questions of unlawful employment practices, furnishing all information and monthly utilization work hour reports required by the OAC 123: 2-9-01 and by the rules, regulations and orders of the Department of Development pursuant thereto, and permitting access to its books, records, and accounts by the State Administering Agency and the Department of Development for purposes of investigation to ascertain compliance with such rules, regulations and orders. Specifically, contractors will submit workforce utilization reports to the State Contracting Agency by the 10th of each month.

- 7) In the event of the contractor's noncompliance with the nondiscrimination clauses of its contract or with any of the said rules, regulations, or orders, its contract may be canceled, terminated, or suspended in whole or in part and the contractor may be declared ineligible for further State Contracts or State-assisted Construction Contracts in accordance with procedures authorized in OAC 123:2-3 through 2-9 and such other sanctions may be instituted and remedies invoked, as provided in OAC 123:2-3 through 2-9 or by regulation, or order of the Department of Development, or as otherwise provided by law. If its contract is terminated for a material breach of OAC 123:2-3 through 2-9 the contractor shall become liable for all damages which shall accrue to the State Administering Agency and Applicant and the State of Ohio because of said breach.
- 8) The contractor will require the inclusion of language reflecting these same eight covenants within every subcontract or purchase order it executes in the performance of its contract unless exempted by rules, regulations or orders of the Department of Development issued pursuant to O.A.C. 123:2-3-02 so that these provisions will be binding upon each subcontractor or vendor. The contractor will take such actions as the Administering Agency may direct as a means of enforcing such provisions, including sanctions for noncompliance; provided, however, that in any litigation with a subcontractor, vendor, or other party because of such direction by the State Administering Agency, the contractor may be requested to protect the interests of the State.

>>>The prime contract bidder hereby adopts the foregoing covenants? **YES** **NO**

BIDDER'S CERTIFICATION:

The undersigned, being a duly authorized officer of the prime contract bidder, does hereby certify to and agree with the foregoing statements and covenants regarding its subscription to the State's Equal Employment Opportunity Requirements for State-assisted Construction Contracts.

Signature of Authorized Officer

Date:

Title

>>> PLEASE NOTE: Only a bidder possessing a valid certificate will be awarded a contract pursuant to Ohio Rev. Code Chapter 153 by an owner referred to in Ohio Rev. Code § 153.01. Application shall be made at least ten working days prior to the date that the bidder expects to receive the certificate. The bidder's failure to elect one of the two Bidder's Affirmative Action Requirements, adopt the Bidder's EEO Covenants, and complete the foregoing certification may cause the bidder's proposal to be rejected as being non-responsive to the State's Equal Employment Opportunity Requirements and in non-compliance with the State Equal Employment Opportunity Bid Conditions. In addition, the bidder must, prior to the execution of a contract, submit to the local subdivision a valid Certificate of Compliance for Equal Employment Opportunity purposes.

"APPENDIX A" OF THE STATE EEO BID CONDITIONS MINORITY MANPOWER UTILIZATION GOALS AND TIMETABLES

The following minority goals listed are expressed in terms of percentages of work hours for each trade to be used by the contractor in a designated area. Designated areas are defined as Ohio's Standard Metropolitan Statistical Areas (SMSA). They are Akron, Cincinnati, Cleveland, Columbus, Dayton, Toledo and Youngstown-Warren. In cases where the project is not located in a designated area, the contractor may adopt minority utilization goals of the near/nearest designated area.

	Akron	Cincinnati		Cleveland	
		Trade		Trade	
All Trades	10%	Asbestos Workers	9%	Asbestos Workers	17%
		Boilermakers	9%	Boilermakers	10%
	Columbus	Carpenters	10%	Carpenters	16%
All Trades	10%	Elevator Constructors	11%	Electricians	20%
		Floor Layers	10%	Elevator Constructors	20%
	Dayton	Glaziers	10%	Floor Layers	11%
All Trades	10%	Lathers	10%	Glaziers	17%
		Marble, Tile, Terrazzo	8%	Ironworkers	13%
	Toledo	Millwright	10%	Operating Engineers	17%
All Trades	9%	Operating Engineers	11%	Painters	17%
		Painters	11%	Pipefitters	17%
	Youngstown	Pipefitters	11%	Plasterers	20%
All Trades	9%	Plasterers	10%	Plumbers	17%
		Plumbers	11%	Roofers	17%
		Sheet Metal Workers	11%	Other Trades	17%
		Other Trades	11%		

"APPENDIX B" OF THE STATE EEO BID CONDITIONS

SPECIFIC AFFIRMATIVE ACTION STEPS

The following Affirmative Action steps are directed at increasing minority utilization:

- (1) The contractor should maintain a file of the names and addresses of each minority and female referred to it by any individual or organization and what action was taken with respect to each such referred individual, and if the individual was not employed by the contractor, and the reasons, therefore. If such an individual was sent to the union hiring hall for referral and not referred by the union or if referred back by the union or if referred, not employed by the contractor, the file should document this and the reason, therefore.

To Demonstrate Compliance: Maintain a file of the names, addresses, telephone numbers, and craft of each minority and female applicant showing (a) the date of contact

and whether the person was hired; if not, the reason, (b) if the person was sent to a union for referral, and the results (c) follow-up contacts when the contractor was hiring.

- (2) The contractor should promptly notify the State Contracting Agency when the Union or Unions with which the contractor has collective bargaining agreements does not refer to the contractor a minority or female worker referred (to the union) by the contractor, or when the contractor has information that the union referral process has impeded efforts to meet its goals.

To Demonstrate Compliance: Have a copy of letters sent, or do not claim the union is impeding the contractors' efforts to comply.

- (3) The contractor should disseminate its Equal Employment Opportunity policy within its organization by including it in any company newsletters and annual reports; by advertising at reasonable intervals in union publications; by posting of the policy; by specific review of the policy with minority and female employees; and by conducting staff meetings to explain and discuss the policy.

To Demonstrate Compliance: Have a written EEO policy which includes the name and how to contact the contractor's EEO Officer and (a) include the policy in any company policy manuals, (b) post a copy of the Policy on all company bulletin boards (in the office and on all job sites), (c) records, such as reports or diaries, etc., that each minority and female employee is aware of the Policy and that it has been discussed with them, (d) that the policy has been discussed regularly at staff meetings, and (e) copies of newsletters and annual reports include the Policy.

- (4) The contractor should continually monitor all personnel activities to ensure that its EEO policy is being carried out, including the evaluation of minority and female employees for promotional opportunities on a quarterly basis and the encouragement of such employees to seek those opportunities.

To Demonstrate Compliance: Have records that the company EEO Officer reviews all: (a) monthly workforce reports, (b) hiring and terminations, (c) training provided on-the-job, (d) minority and female employees quarterly for promotion and encourages them to prepare for and seek promotion. The records should be the EEO Officer's job description, reports, memos, personnel files, etc., documenting the activities for possible discriminatory patterns.

- (5) The contractor should disseminate its EEO policy externally by informing and discussing it with all recruiting sources; by advertising it in news media, specifically including minority and female news media; and by notifying and discussing it with all subcontractors.

To Demonstrate Compliance: Have copies of (a) letters sent, at least six months or at the start of each new major contract, to all recruiting sources (including labor unions) requiring compliance with the Policy, (b) advertising, which has the EEO "tagline" on the bottom, and (c) purchase order and subcontract agreement forms will include or make reference to the State EEO Covenant, Appendix A or B of the Ohio Administrative Code 123:2-3-02.

- (6) The contractor should make specific and reasonably recurrent oral and written recruitment efforts directed at minority and women's organizations, and training organizations with the contractor's recruitment area.

To Demonstrate Compliance: Have a record either in a follow-up file for each organization or on the reverse of the notification letter sent under Item 1, above, of the dates, individuals contacted and the results of the contract from telephone calls or personal meetings with the individuals or groups notified under Item 1.

- (7) The contractor, where reasonable, should develop on-the-job training opportunities and participate and assist in all Department of Labor funded and/or approved training programs (including Apprenticeship) Programs relevant to the contractor's employee needs consistent with its obligations in the Bid Conditions.

To Demonstrate Compliance: Have records of contributions in cash, equipment supplied and/or contractor personnel provided as instructors for Bureau of Apprenticeship and Training approved or Department of Labor funded training programs and records of the hiring and training of minorities and females referred to Company by such programs.

- (8) The contractor should solicit bids for subcontracts (and joint ventures) from available minority and female subcontractors engaged in the trades covered by the Bid Conditions, including circulation of minority and female contractors associations.

To Demonstrate Compliance: Have copies of letters or other direct solicitation of bids for subcontracts/joint ventures from minority/female contractors with a record of the specific response and any follow-up the contractor has done to obtain a price quotation or to assist a minority/female contractor in preparing or reducing a price quotation; have a list of all minority/female subcontracts awarded or joint ventures participated in with dollar amounts, etc.

EXPLANATION OF AN ACCEPTABLE AFFIRMATIVE ACTION PROGRAM:

An Affirmative Action Program is a set of specific and result-oriented procedures to which a Contractor shall apply every good faith effort. The objective of those procedures and efforts is to ensure equal employment opportunity. An acceptable Affirmative Action Program will include an analysis of all trades employed by the Contractor within the last year with an explanation of whether Minorities are currently being under-utilized in any one or more trades. A prerequisite to the development of a satisfactory Affirmative Action Program is the identification and analysis of problem areas inherent in Minority employment and an evaluation of opportunities for utilization of Minority group personnel.

Part I - Basic Contents of an Affirmative Action Program:

1. Development or reaffirmation of the contractor's EEO policy in all personnel actions.
2. Formal internal and external dissemination of contractor's EEO policy.

3. Establishment of responsibilities for implementation of the contractor's affirmative action program.
4. Identification of problem areas (deficiencies) by organizational units and job classification.
5. Establishment of goals and objectives by organizational units and job classification, including timetables for completion.
6. Development and execution of action-oriented programs designed to eliminate problems and further designed to attain established goals and objectives.
7. Design and implementation of internal audit and reporting systems to measure effectiveness of the total programs.
8. Compliance of personnel policies and practices with Federal sex discrimination guidelines (41 CFR Part 60- 20).
9. Active support of local and national community action programs and community service programs, designed to improve the employment opportunities of minorities.
10. Consideration of ethnic minorities and women not currently in the work force having requisite skills who can be recruited through affirmative action measures.
11. Summary data on applicant flow, hires, terminations and promotions, and training for the last twelve months or the last one hundred applicants, hires, etc., whichever is less.

Part II - Analysis of Individual Trades

1. The minority population of the labor area surrounding (contractor's) projects.
2. The size of the minority unemployment force in the labor area surrounding (the contractor's) projects.
3. The percentage of minority work force as compared with the total work force in the immediate labor area.
4. The general availability of minorities having requisite skills in the immediate labor area.
5. The availability of minorities having requisite skills in the area in which the contractor can reasonably recruit.
6. The availability of promotable minority employees within the contractor's organization.
7. The anticipated expansion, contraction, and turnover of an in the workforce.
8. The existence of training institutions capable of training minorities in the requisite skills.
9. The degree of training which the contractor is reasonably able to undertake as a means of making all job classes available to minorities.

Goals, timetables, and affirmative action commitments must be designed to correct any identifiable deficiencies. Where deficiencies exist and where numbers or percentages are

relevant in developing corrective action, the contractor shall establish and set forth specific goals and timetables. Such goals and timetables, with supporting data and the analysis thereof shall be a part of the contractor's written affirmative action program. Where the contractor has not established a goal, its written affirmative action program must specifically analyze each of the factors listed above and must detail its reason for a lack of a goal. The goals and timetables should be attainable in terms of the contractor's analysis of its deficiencies and its entire action. Thus, in establishing its goals and timetables, the contractor should consider the results which could be reasonably expected from its good faith efforts to make its overall affirmative action program work. If the contractor does not meet its goals and timetables, the contractor's good faith efforts shall be judged as to whether the contractor is following its program and attempting to make the program work toward the attainment of its goals.

Support data for the above analysis and program shall be compiled and maintained as part of the contractor's affirmative action program. This data should include applicant flow data and applicant rejection ratios indicating minority status.

Compliance Status: No State Contractor's compliance status shall be judged alone by whether he reaches his goals and meets his timetables. Rather each Contractor's compliance posture shall be reviewed and determined by reviewing the contents of his program, the extent of his adherence to his program and his good faith efforts to make his program work toward the realization of the program's goals within the timetables set for completion.

“APPENDIX C” OF THE STATE EEO BID CONDITIONS

FEMALE UTILIZATION GOALS

OAC 123:2-3-05 Required utilization analysis and goals

- (A) Each state-involved contractor shall include in his/her affirmative action program the information and analysis required pursuant to part IV 401-C of appendix A of rule 123:2-1-01 of the Administrative Code, in addition to female utilization requirements pursuant to the governor's "Executive Order 84-9" and this rule.
- (B) As required by the governor's "Executive Order 84-9", the utilization of women shall be, at a minimum, that currently in use by the federal government as of February 15, 1984. This requirement stated at C.F.R. part 60-4 is 6.9 percent utilization of women. This requirement shall remain at 6.9 percent unless further amended by the governor in a subsequent order. This requirement shall be met by a determination of work hours utilized in the same manner as minority utilization hours are calculated.

The Board of Canaan Township reserves the right to accept or reject any or all bids in whole or part, and may waive minor defects in the bid, if no prejudice results to the rights of another bidder or the public. Each bid shall contain the full name of each person or company submitting the bid.

All bids shall be filed in a sealed envelope and delivered to the Canaan Township Trustees at the proper place and time as set forth in the Notice to Bidders published in the newspaper, at which time they will be opened and read.

ASPHALT CONCRETE PAVEMENT SPECIFICATIONS

1.0 SPECIAL NOTES

- 1.1 A preconstruction meeting will be required.
- 1.2 Completion date for the project is October 31, 2024.
- 1.3 Prevailing Wage Certification shall be submitted with all invoices.
- 1.4 A flagger shall be stationed at each point of closure (intersection) to direct traffic. Through traffic will be diverted around the closed area. Local traffic (residences and business) within the closure shall be provided access.

2.0 SUPPLEMENT SPECIFICATIONS

- 2.1 No bridge shall be resurfaced without prior authorization of the County Engineer.
- 2.2 Authorization may be given for reduced asphalt thickness on bridge decks and approaches thereto.
- 2.3 When bridge decks are resurfaced, the asphalt shall extend the full width and length of the deck.

3.0 REFERENCE

- 3.1 All references to specification numbers, unless otherwise noted on the plans or modified herein, shall refer to the respective section thereof in the Ohio Department of Transportation publication of Construction and Materials Specifications, latest edition.
- 3.2 The requirements of Section 400 of the Ohio Department of Transportation publication of Construction and Materials Specifications, latest edition, shall be used on this project, except as modified herein.
- 3.3 Section 401.20 of the Ohio Department of Transportation publication of Construction and Materials Specifications, latest edition. An asphalt binder price adjustment will not be applicable on this project.
- 3.4 Item 441 Section 441.03 Density. Density gauge testing may be required no matter the length of the project.

4.0 APPROVALS

At or before the preconstruction meeting, the contractor shall submit the following for approval:

- 4.1 A printed schedule showing the interrelation and planned performance of all major items of work.
- 4.2 A list of key project personnel (Project Engineer/Manager, Project Superintendent, etc.) with office and mobile phone numbers to be used by the Township and staff.
- 4.3 A list of the paving equipment that will be used on this project (self-propelled paver, roller, distributor, etc.).
- 4.4 A list of proposed materials and suppliers.
- 4.5 The aggregate producer's current testing (including quality data) documentation for all stone property requirements of ODOT Item 703.05.
- 4.6 A list of subcontractors and key personnel representing each.
- 4.7 The proposed Job Mix Formulas (submitting in ODOT format).
- 4.8 The Canaan Township Trustees office will respond to the items submitted within two (2) weeks. If an item is not approved, the contractor will have two (2) weeks from the time

of notification to resubmit; the Engineers office will respond within two (2) weeks of resubmission. No mix shall be produced until approval is granted.

5.0 QUALITY ASSURANCE REPRESENTATIVE

The Township may employ an independent testing laboratory to monitor the work. The contractor and supplier will cooperate with the County and/or their representative by furnishing any information pertaining to the project upon request.

- 5.1 The Township's QAR shall be notified 72 hours prior to initial production and 24 hours minimum thereafter prior to any daily production exceeding 200 tons.
- 5.2 The Township and/or their representative will have access to any and all operations used in the production and placement of the work.
- 5.3 The QAR may check mix in the supplier's laboratory for comparison.
- 5.4 The Contractor may check density in the field regardless of the length of placement. See Section 4.4.
- 5.5 Testing frequency requirements may be increased or decreased by the QAR if concerns arise with respect to the reported test data.
- 5.6 The presence of Quality Assurance Monitors and/or Construction Inspectors does not relieve the producer or the contractor from meeting the specification requirements and using proper construction practices.

6.0 ASPHALT BINDER

- 6.1 The mix producer will furnish performance grade PG64-22, ODOT Item 702.01, for all courses.

7.0 RECLAIMED ASPHALT

- 7.1 Use of Recycled Pavement is permitted according to ODOT Item 401.04.

8.0 WORKMANSHIP

In addition to all other specifications governing workmanship and construction methods as detailed in 401.15, the following specifications will become part of this contract:

- 8.1 "Folding" of the hopper wings is prohibited. Material that forms in the corners of the hopper shall be manually thoroughly scraped through an established protocol by the contractor to ensure the safety of the person(s) tasked with the scraping of the hopper. Scraping of this material shall be done often enough to ensure that the temperature of the material in the hopper corners does not cool to the extent that the material does not move freely through the hopper to the augers. The paver hopper should have enough material that the scrapings will mix well through the augers. The material shall cover the flow gates.
- 8.2 The slat conveyor shall not be visible at the sides when the sides of the hopper are cleaned, or become visible during the paving process. Ensure adequate material in the paver hopper at all times during mix placement.
- 8.3 Obvious end load segregation due to failure to implement proper workmanship shall result in a 90% pay factor applied to the days production based on the unit bid price.
- 8.4 In addition to Table 401.06-1 for minimum surface temperatures. Air temperatures must be 50°F and rising for all mixes.
- 8.5 Finished surfaces shall be smooth to a tolerance of 1/4" in 10 feet.

9.0 PLANT PRODUCTION

- 9.1 Computer data: The plant computer shall be operational at all times. Should a printer problem or other technical difficulties arise, the problem shall be corrected immediately. The plant operator will inform the laboratory of any computer malfunctions and what corrective action has to be taken. Should the problem not be corrected in a timely manner, production will cease.
- 9.2 Throughout production, the computer printouts shall be reviewed, and at the end of each day's production, the computer printouts shall be given to the laboratory to be reviewed by the Township's Quality Assurance Representative and submitted to the Township upon request.
- 9.3 The switching of mixes while in production from mixes with coarse aggregate (larger than 1/2") to surface course shall not be allowed by the Township's Quality Assurance Representative.
- 9.4 The presence of extraneous material, primarily dust balls from the plant in the mix shall be cause to immediately cease production until corrective action is taken.
- 9.5 Mix quantities in the silo shall be kept to a level to minimize segregation. Silo configuration, batcher capacity and timing will determine this quantity.
- 9.6 Trucks shall be loaded in three drops to minimize segregation. The rear, front and then the middle shall be loaded as recommended by the Asphalt Institute.
- 9.7 Mix temperatures shall not vary by more than 20°F from one truck to another.

<u>MIX TYPE</u>	<u>MIN. TEMPERATURE</u>	<u>MAX. TEMPERATURE</u>
Type 1	280°	*325°
Type 2/301	280°	*325°

Mixes containing modifiers will be in accordance with manufacturer's recommendations. Mixes produced with modified cements shall be a minimum of 300°F at the paver.

*Temperatures exceeding 325°F will not be rejected, but notification will be given to the plant to bring the temperature within range. Mixes exceeding 350°F will be rejected. If the mix is not brought within range within two trucks, production will cease until the cause is identified and corrected.

- 9.8 Truck beds shall be clean and sprayed with a uniform coating of release agent. Excess release agent and puddling in the beds will not be acceptable. The release agent shall be operational at all times; with any water dilutions within the manufacturer's recommendations. The use of a fine spray of diesel on the apron and latches of the tailgate is allowed.
- 9.9 **DIESEL FUEL IN TRUCK BEDS IS NOT ALLOWED.** The plant operator shall monitor truck preparation. Trucks that do not comply should be put on notice.
- 9.10 Changes in bin percentages to bring the mix into conformity with the JMF shall be documented on the TE-199 under mix proportions.

- 9.11 Aggregate and reclaimed moisture contents entered into the computer shall be from current laboratory testing and adjusted only as moisture conditions change. Adjustments to the computer moisture entries will not be allowed without test verification.
- 9.12 When producing mixes that include reclaimed asphalt, production rates (TPH) will be set at a rate that will produce a sufficient blending of the reclaimed and virgin aggregates.
- 9.13 The asphalt cement specific gravity from the transport tickets shall be entered in the computer and adjusted only as transport tickets dictate.

10.0 PROCEDURES FOR OPERATIONS

- 10.1 All work associated with this contract shall be performed between 6:30 A.M. and 8:00 P.M. Monday through Friday.
- 10.2 Notice of Saturday work shall require a minimum of 24-hour notice (on a week-by-week basis) and must be approved by the Township.
- 10.3 If conditions are acceptable, daily work hours may be extended with approval from the Township.
- 10.4 No work will be permitted on Sunday without written permission from the Township.
- 10.5 The contractor shall notify the Township 48 hours prior to the start of operations.
- 10.6 If the contractor suspends operations on this contract for more than 3 working days (excluding holidays and weekends) the contractor shall notify the Township 48 hours prior to resuming operations. The contractor may make rescheduling arrangements with the Township prior to suspending work, but the contractor will be responsible for notifying the Township of any changes to any established arrangements.
- 10.7 These requirements are to be followed by the general contractor and any sub-contractor on this project.
- 10.8 Damage to areas outside of the designated work limits as a result of the operations of the contractor, subcontractor, or duly appointed agent shall be repaired at the contractor's expense.
- 10.9 Excavated areas will be secured prior to the end of each working day and will have adequate protection until such time the areas no longer pose a risk to the public.
- 10.10 Stockpiling of materials overnight on the job site will not be permitted.

11.0 COORDINATION WITH THE OHIO UTILITIES PROTECTION SERVICE

- 11.1 Call before you dig. 1-800-362-2764

12.0 PAVEMENT

- 12.1 Pavement widths as described on individual bid sheets.
- 12.2 The pavement shall be resurfaced to its full width or to a width determined by the Township in the field.
- 12.3 If the contractor's operation is unable to produce an accurate and consistent edge; the contractor may be directed by the Township to use a string line when placing asphalt courses.

13.0 JOINTS

- 13.1 Open longitudinal joints shall not be permitted; however, when a cold joint is unavoidable, its vertical face shall be uniformly coated with bituminous material, as per sections 401.17 of the ODOT Specifications.
- 13.2 All cost related to performing this work shall be included in the unit price bid for all courses.

14.0 SEALING FEATHERS AND BUTT JOINTS

- 14.1 A well-bonded and sealed joint is required.
- 14.2 Where the asphalt surface required to be feathered to meet and adjoining surface, excluding private driveways, the completed feathered surface and adjacent existing surface shall be coated with a thick coat of rubberized crack sealant approximately 8" width.
- 14.3 Traffic shall not be permitted on the sealed joint until the asphalt cement has cooled sufficiently to prevent tracking.
- 14.4 The bituminous material used and the cost of sealing the joints as described above shall be included in the unit price bid for Item 441 – Asphalt Concrete.

15.0 DRIVEWAYS

- 15.1 Throughout the duration of the project, the contractor shall maintain ingress and egress to all driveways at all times.
- 15.2 All asphalt driveways shall be feathered to a minimum of 4 feet from the pavement edge or as directed by the Engineer. A sufficient quantity of Item 441 – Asphalt Concrete Surface Course has been included in the general summary for this work.

16.0 MAILBOXES

- 16.1 Mailbox approaches shall be constructed of their respective materials based on existing conditions and/or as directed by the Engineer. A sufficient quantity of required material shall be included in the general summary for this work.
- 16.2 The approaches shall be constructed in such a manner as to maintain proper cross slope and elevation with the adjacent pavement and berm.

17.0 BERMS

- 17.1 The Contractor will be responsible for this work according to the bid sheet.

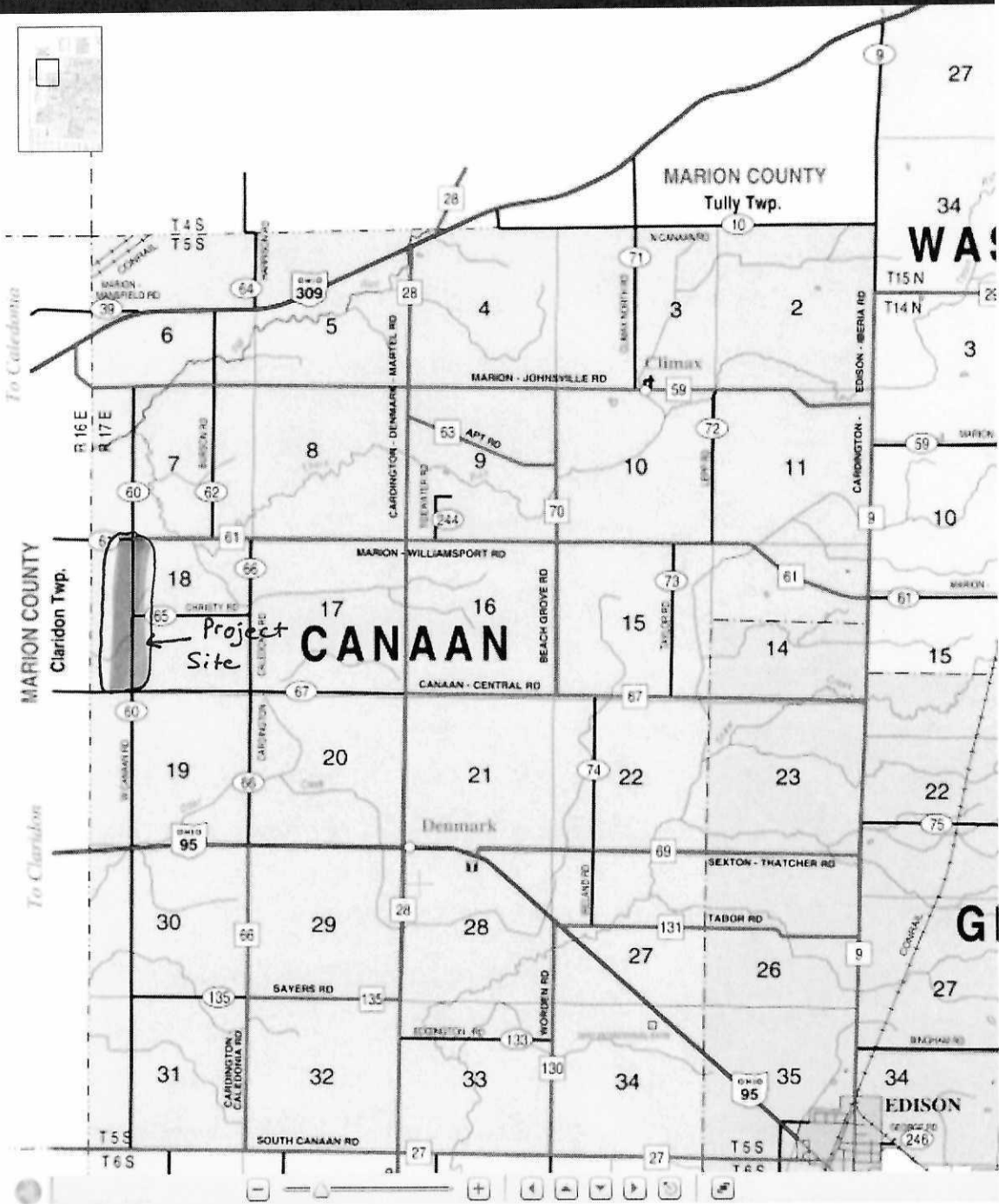
BART DENNISON P.E., P.S.

MORROW COUNTY ENGINEER

- Home
- About Us
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- Municipal Maps
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This site requires Internet Explorer 6 or greater. Click the icon above to download the latest version.



THE CANAAN TOWNSHIP TRUSTEES OF MORROW COUNTY, OHIO

The undersigned, having full knowledge of the site, plans and specifications for the following improvements, and the conditions of this proposal, hereby agrees to furnish all services, labor, materials, and equipment necessary to complete the entire project, according to the plans, specifications and completion dates and to accept the unit prices specified below for each item as full compensation for the work in this proposal.

Date set for completion: October 31, 2024

Contractor _____ By _____

The following list specifies the amount and type of materials to be used, as well as the application process to be used.

Resurfacing and widening 1 mile of T.R. 60 in Canaan Township. Existing width 14 ft. to be widened to 16 ft. Beginning at TR 67 then north to CR 61. Paving to continue through the intersection of TR 60 and CR 61. Also includes the installation of new tile at the intersection of TR 65 and TR 60.

ITEM 441 HOT MIX

Ref. No.	Item No.	Approx. Quantities	Units	Description	Unit Price Bid	Total Amount
1	202	30	LF	Remove Existing Conduit		
2	203	196	CY	Berm Excavation (6" deep x 12" wide)		
3	304	98	Ton	Aggregate Base, 3"		
4	301	98	Ton	Asphalt Aggregate Base, 3"		
5	407	1,502	GAL	Tack Coat @ 0.08 gal/sy (2 applications)		
6	441	535	Ton	Asphalt concrete, intermediate course, type 1 - 1"		
7	441	535	Ton	Asphalt concrete, surface course, type 1 - 1"		
8	441/617	131	Ton	Shoulder aggregate (1.0' x 2")		
9	661	30	LF	Install N-12 Conduit, 10"		
		1	LMP	Contingencies		\$ 13,592.00
				TOTAL BID		

All aggregate to be limestone. This work shall consist of material for installing 1" of 441 asphaltic intermediate course full width (16'), installing 1" of 441 asphaltic surface course full width (16'), installing 441/617 aggregate shoulder material and pave intersection plus the approaches at TR/CR 61.

The total amount of the bid, based on the approximate quantities given and the unit prices specified by the bidder amounts to the sum of \$ _____ dollars.

Date _____

CAMPAIGN CONTRIBUTIONS LIMITATIONS CERTIFICATION
BUSINESS COMPLIANCE FOR CANAAN TOWNSHIP, MORROW COUNTY, OHIO LOCAL GOVERNMENT
ORC 3517.13(1)(3)&(J)(3)

ELECTED OFFICIAL NAME: John P. Bayles

ELECTED OFFICIAL TITLE: Trustee

ELECTED OFFICIAL SIGNATURE: _____

VENDOR NAME: _____

VENDOR TITLE: _____

VENDOR DBA: _____

VENDOR ADDRESS: _____

PLEASE CHECK APPROPRIATE BOX

- ☐ NO CONTRIBUTION
- ☐ \$1,000.00 or LESS- INDIVIDUAL
- ☐ \$2,000.00 or MORE -INDIVIDUALS, PARTNERS AND SHAREHOLDERS OF THE SAME FIRM

***NOTE:** Under the new law which took effect April 4, 2007, any bid or unbid contract, including purchase orders, for goods and services with a value of more than \$500 will require the vendor to certify to the contracting authority that the vendor has not made a contribution to the contracting authority in an amount that exceeds the limits provided by law.

The limits are generally \$1,000 per an individual and \$2,000 for individuals, partners and shareholders of the same firm. The contributions are aggregated among owners, partners, family members and shareholders so that even if the contributions are less than \$1,000 they may trigger the prohibition if they exceed \$2,000 in the aggregate.

I, the undersigned, on behalf of the bidder/vendor identified, hereby certify that, within the two previous calendar years (but excluding periods prior to January 1, 2007), no person identified below, as an individual and while in a position described below, has made one or more contributions totaling in excess of one thousand dollars (\$1,000.00) to the holder of the public office having ultimate responsibility for the award of the subject contract or to the public officer's campaign committee.

Said Persons Are:

- A. The individual owner, if the bidder is a sole proprietorship; or
- B. Each partner or owner, if the bidder is a partnership; or
- C. Each shareholder, if the bidder is an unincorporated business or an association, including without limitation a professional association, estate or trust; or
- D. Each owner of more than 20% of a bidder that is a corporation or business trust; and
- E. Each spouse of any person identified in (A) through (D) above; and
- F. Each child seven years of age to seventeen years of age of any person identified in (A) through (D), above; and
- G. Any combination of said persons.

Signed this _____ Day of, _____ 20____

Printed Name and Title

Vendor/Bidder Signature

PLEASE FILL OUT THE ABOVE INFORMATION, SIGN AND RETURN TO:

Canaan Township, Jill Retterer, 2605 County Road 59, Edison, OH 43320

THANK YOU IN ADVANCE FOR YOUR PROMPT ATTENTION TO THIS MATTER

CAMPAIGN CONTRIBUTIONS LIMITATIONS CERTIFICATION
BUSINESS COMPLIANCE FOR CANAAN TOWNSHIP, MORROW COUNTY, OHIO LOCAL GOVERNMENT
ORC 3517.13(1)(3)&(J)(3)

ELECTED OFFICIAL NAME: Matthew Carwell

ELECTED OFFICIAL TITLE: Trustee

ELECTED OFFICIAL SIGNATURE: _____

VENDOR NAME: _____

VENDOR TITLE: _____

VENDOR DBA: _____

VENDOR ADDRESS: _____

PLEASE CHECK APPROPRIATE BOX

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- ☐ \$1,000.00 or LESS- INDIVIDUAL
- ☐ \$2,000.00 or MORE -INDIVIDUALS, PARTNERS AND SHAREHOLDERS OF THE SAME FIRM

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- B. Each partner or owner, if the bidder is a partnership; or
- C. Each shareholder, if the bidder is an unincorporated business or an association, including without limitation a professional association, estate or trust; or
- D. Each owner of more than 20% of a bidder that is a corporation or business trust; and
- E. Each spouse of any person identified in (A) through (D) above; and
- F. Each child seven years of age to seventeen years of age of any person identified in (A) through (D), above; and
- G. Any combination of said persons.

Signed this _____ Day of, _____ 20____

Printed Name and Title

Vendor/Bidder Signature

PLEASE FILL OUT THE ABOVE INFORMATION, SIGN AND RETURN TO:

CANAAN TOWNSHIP TRUSTEES, 2605 County Road 59, Edison, OH 43320

THANK YOU IN ADVANCE FOR YOUR PROMPT ATTENTION TO THIS MATTER

CAMPAIGN CONTRIBUTIONS LIMITATIONS CERTIFICATION
BUSINESS COMPLIANCE FOR CANAAN TOWNSHIP, MORROW COUNTY, OHIO LOCAL GOVERNMENT
ORC 3517.13(1)(3)&(J)(3)

ELECTED OFFICIAL NAME: Tyler Levering

ELECTED OFFICIAL TITLE: Trustee

ELECTED OFFICIAL SIGNATURE: _____

VENDOR NAME: _____

VENDOR TITLE: _____

VENDOR DBA: _____

VENDOR ADDRESS: _____

PLEASE CHECK APPROPRIATE BOX

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- C. Each shareholder, if the bidder is an unincorporated business or an association, including without limitation a professional association, estate or trust; or
- D. Each owner of more than 20% of a bidder that is a corporation or business trust; and
- E. Each spouse of any person identified in (A) through (D) above; and
- F. Each child seven years of age to seventeen years of age of any person identified in (A) through (D), above; and
- G. Any combination of said persons.

Signed this _____ Day of, _____ 20_____

Printed Name and Title

Vendor/Bidder Signature

PLEASE FILL OUT THE ABOVE INFORMATION, SIGN AND RETURN TO:

CANAAN TOWNSHIP HALL, 2605 County Road 59, Edison, OH 43320

THANK YOU IN ADVANCE FOR YOUR PROMPT ATTENTION TO THIS MATTER

CAMPAIGN CONTRIBUTIONS LIMITATIONS CERTIFICATION
BUSINESS COMPLIANCE FOR CANAAN TOWNSHIP, MORROW COUNTY, OHIO LOCAL GOVERNMENT
ORC 3517.13(1)(3)&(J)(3)

ELECTED OFFICIAL NAME: Jill Retterer

ELECTED OFFICIAL TITLE: Fiscal Officer

ELECTED OFFICIAL SIGNATURE: _____

VENDOR NAME: _____

VENDOR TITLE: _____

VENDOR DBA: _____

VENDOR ADDRESS: _____

PLEASE CHECK APPROPRIATE BOX

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- ☐ \$1,000.00 or LESS- INDIVIDUAL
- ☐ \$2,000.00 or MORE -INDIVIDUALS, PARTNERS AND SHAREHOLDERS OF THE SAME FIRM

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- B. Each partner or owner, if the bidder is a partnership; or
- C. Each shareholder, if the bidder is an unincorporated business or an association, including without limitation a professional association, estate or trust; or
- D. Each owner of more than 20% of a bidder that is a corporation or business trust; and
- E. Each spouse of any person identified in (A) through (D) above; and
- F. Each child seven years of age to seventeen years of age of any person identified in (A) through (D), above; and
- G. Any combination of said persons.

Signed this _____ Day of, _____ 20____

Printed Name and Title

Vendor/Bidder Signature

PLEASE FILL OUT THE ABOVE INFORMATION, SIGN AND RETURN TO:

CANAAN TOWNSHIP TRUSTEES, 2605 County Road 59, Edison, OH 43320

THANK YOU IN ADVANCE FOR YOUR PROMPT ATTENTION TO THIS MATTER

DELINQUENT TAXES AFFIDAVIT

STATE OF OHIO

SS:

COUNTY OF _____

_____, being duly sworn, deposes and says that he/she is
(Name)

_____ of _____
(Title) (Company Name)

With offices located at _____
(Company Address)

And as its duly authorized representative states that effective this _____ day of _____, 20____.

(Company Name)

() **Is not** presently charged with any delinquent personal property taxes on the general tax list of personal property of any county in which this taxing district has property. This taxing district includes property within the following counties:

() **Is charged** with delinquent personal property tax on the general tax list of personal property of any county in which this taxing district has property. The amount of such due and unpaid delinquent taxes, penalties and interest thereon is as follows:

<u>Taxes</u>	<u>Penalties & Interest</u>	<u>County</u>
\$ _____	\$ _____	_____
\$ _____	\$ _____	_____
\$ _____	\$ _____	_____

Affiant

Sworn to before me and subscribed in my presence this _____ day of _____, 20____.

Notary Public
My Commission Expires:

Date

County

State

**CERTIFICATE OF BIDDER
UNRESOLVED FINDINGS OF RECOVERY
WITH AUDITOR OF STATE
ORC 9.24 and 9.241**

I, the undersigned, hereby certify that the Bidder identified below:

CHECK & COMPLETE ONLY ONE

☐ Has no unresolved findings of recovery with the State of Ohio Auditor, as defined by ORC 9.24 and 9.241;

☐ Has the following unresolved findings of recovery with the State of Ohio Auditor, as defined by ORC 9.24 and 9.241;

Signed this _____ day of _____, 2024

Bidder: _____

(Signed): _____

Printed Name and Title: _____

Request for Taxpayer Identification Number and Certification

Go to www.irs.gov/FormW9 for instructions and the latest information.

Give form to the
requester. Do not
send to the IRS.

Before you begin. For guidance related to the purpose of Form W-9, see *Purpose of Form*, below.

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

Part I Taxpayer Identification Number (TIN)

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

Social security number	
<div></div>	<div></div>
or	
Employer identification number	
<div></div>	<div></div>

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

Part II Certification

Under penalties of perjury, I certify that:

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

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

Sign Here	Signature of U.S. person	Date
-----------	--------------------------	------

General Instructions

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

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

What's New

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

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

Purpose of Form

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

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

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

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

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

By signing the filled-out form, you:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Backup Withholding

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

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

Payments you receive will be subject to backup withholding if:

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

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

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

What Is FATCA Reporting?

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

Updating Your Information

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

Penalties

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

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

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

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

Specific Instructions

Line 1

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

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

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

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

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

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

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

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

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

Line 2

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

Line 3a

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

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

Line 3b

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

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

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

Line 4 Exemptions

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

Exempt payee code.

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

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

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

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

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

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

5—A corporation.

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

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

8—A real estate investment trust.

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

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

11—A financial institution as defined under section 581.

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

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

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

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

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

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

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

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

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

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

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

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

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

G—A real estate investment trust.

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

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

J—A bank as defined in section 581.

K—A broker.

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

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

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

Line 5

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

Line 6

Enter your city, state, and ZIP code.

Part I. Taxpayer Identification Number (TIN)

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

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

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

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

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

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

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

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

Part II. Certification

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

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

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

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983. You must give your correct TIN, but you do not have to sign the certification.

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

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

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

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

What Name and Number To Give the Requester

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

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

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

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

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

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

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

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

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

Secure Your Tax Records From Identity Theft

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

To reduce your risk:

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

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

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

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

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

Protect yourself from suspicious emails or phishing schemes.

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

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

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

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

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons (including federal agencies) who are required to file information returns with the IRS to report interest, dividends, or certain other income paid to you; mortgage interest you paid; the acquisition or abandonment of secured property; the cancellation of debt; or contributions you made to an IRA, Archer MSA, or HSA. The person collecting this form uses the information on the form to file information returns with the IRS, reporting the above information. Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation and to cities, states, the District of Columbia, and U.S. commonwealths and territories for use in administering their laws. The information may also be disclosed to other countries under a treaty, to federal and state agencies to enforce civil and criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism. You must provide your TIN whether or not you are required to file a tax return. Under section 3406, payors must generally withhold a percentage of taxable interest, dividends, and certain other payments to a payee who does not give a TIN to the payor. Certain penalties may also apply for providing false or fraudulent information.