BID ADVERTISEMENT FOR THE WEEKS OF

November 27, 2019 & December 4, 2019

BID OPENS - FRIDAY, DECEMBER 20, 2019

FILE NO. 159-19 Purchase of One Used/Recon Transfer and Accessories
FOR THE DIVISION OF CLEVELAND PUBLIC POWER FOR THE DEPARTMENT
OF PUBLIC UTILITIES, AS AUTHORIZED BY ORDINANCE 1630-92, SECTION
129.26, PASSED BY COUNCIL SEPTEMBER 21, 1992.

There will be a NON-MANDATORY Pre-Bid Meeting, Monday, December 9, 2019
at 10:00 a.m. Located at Cleveland Public Power, 1300 Lakeside Avenue,
Cleveland, Ohio 44114, Centennial Room.

Note: Bid must be delivered to the Office of the Commissioner of Purchases and
Supplies, Cleveland City Hall, 601 Lakeside Avenue, Room 128, Cleveland, Ohio
44114 before 12 o’clock noon (Eastern Time).
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CITY OF CLEVELAND
Department of Finance
Division of Purchases and Supplies
City Hall, Room 128
Cleveland, Ohio 44114
216-664-2620
AUTHORIZING ORDINANCE
AS PUBLISHED IN THE CITY RECORD

Ord. No. 1258-87.
By Councilmen Brady, Patton and Rakowski (by departmental request).
An emergency ordinance to supplement the Codified Ordinances of Cleveland, Ohio, 1976, by enacting new Sections 125-24, 125-25, 125-26, and 125-27 thereof, relating to the purchase of water treatment chemicals, maintenance equipment, and poles, wires and other equipment by the Director of Public Utilities.

Whereas, this ordinance constitutes an emergency measure providing for the usual daily operation of a municipal department; now therefore,
Be it ordained by the Council of the City of Cleveland:

Section 1. That the Codified Ordinances of Cleveland, Ohio, 1976, are hereby supplemented by enacting new Sections 125-24, 125-25, 125-26, and 125-27 thereof to read, respectively, as follows:

Section 125-24 Purchase of Water Treatment Chemicals
The Director of Public Utilities is authorized to enter into one or more standard purchase or requirement contracts duly let to the lowest and best bidder after competitive bidding for water treatment chemicals deemed by the Director of Public Utilities to be necessary to the operations of the Division of Water, including, but not limited to, alum polymer coagulant, high calcium quicklime, aluminum sulfate, chlorite, sodium silicate, hydrofluorosilicic acid, and corrosion inhibitors. Any purchase made pursuant to this section shall be made by the Commissioner of Purchases and Supplies and paid from the annual appropriations made for such purpose.

Section 125-25 Purchase of Water System Maintenance Equipment
The Director of Public Utilities is authorized to enter into one or more standard purchase or requirement contracts duly let to the lowest and best bidder after competitive bidding for water system maintenance equipment deemed by the Director of Public Utilities to be necessary to the operations of the Division of Water, including, but not limited to: meters and meter parts; manhole covers; rings, and manholes; ductile iron pipe and fittings; copper pipe and tubing; parts for pumps, engines and saws; service fittings and pipe couplings; lining cement, mortar cement and sand; valves, valve boxes, and appurtenances; bypass piping, fittings and valves; fire hydrants and fire hydrant parts; pipe repair clamps and stop cock boxes. Any purchase made pursuant to this section shall be made by the Commissioner of Purchases and Supplies and paid from the annual appropriations made for such purpose.

Section 125-26 Purchase of Poles, Wire, Transformers, and Other Equipment
The Director of Public Utilities is authorized to enter into one or more standard purchase or requirement contracts duly let to the lowest and best bidder after competitive bidding for utility poles and crossarms, cable and wire, transformers, high voltage switching equipment, meters and metering equipment, streetlighting materials, manholes, rings and covers, all as deemed by the Director of Public Utilities to be necessary to the operations of the Division of Cleveland Public Power. Any purchase made pursuant to this section shall be made by the Commissioner of Purchases and Supplies and paid from the annual appropriations made for such purpose.

Section 125-27 Purchase of Water Pollution Control System Maintenance Equipment
The Director of Public Utilities is authorized to enter into one or more standard purchase or requirement contracts duly let to the lowest and best bidder after competitive bidding for Water Pollution Control system main-

City of Cleveland

DEPARTMENT OF FINANCE
SHARON DUMAS
DIRECTOR

DIVISION OF PURCHASES AND SUPPLIES
TIFFANY WHITE JOHNSON
COMMISSIONER

BIDDER'S CHECK LIST

The City of Cleveland requires that each bid submitted must comply with certain legal requirements to be considered a valid and formal bid. The checklist below is provided to assist in avoiding rejection of your bid due to omission of required information or forms.

CHECK WHEN COMPLETED

A. Bid/Schedule of Items
   1. Is (are) the bid page(s) completed as required and signed in the upper right-hand corner?
   2. Are all prices (Unit and extension) clearly and accurately presented?
   3. Is the payment discount given?

B. Bid Bond
   1. Is the bond made out in the names of and signed by both the principal and surety?
   2. Is the bond amount sufficient for the amount of the bid? Must be 5% of the amount of the bid.
   3. Is there a power of attorney attached to the bond?

C. Bid Check (if submitted in lieu of Bid Bond)
   1. Is the check in an amount sufficient for the amount of the bid? Must be 5% of the amount of the bid.
   2. Is the check either properly certified or a cashier's check?
   3. Is the Check made payable to: THE CITY OF CLEVELAND?

D. Bid Form (not to be confused with the Bid Bond)
   1. Is all the required information given?
   2. Is the form signed?

E. Affidavit
   1. Does the affidavit contain all the information required ON BOTH SIDES?
   2. Is it properly Signed? Is it properly notarized by a Notary Public?

F. Contract Compliance Certifications
   1. Did you read Item 13, the Equal Opportunity Clause, carefully, and understand it? If not, contact the Office of the Director of Equal Opportunity for further information (Phone 216/664-4152).
   2. Did you read Item 14, the OEO Notice to Bidders, carefully, and understand it? If not, contact the Office of the Director of Equal Opportunity for further information (Phone 216/664-4152).
   3. Did you complete OEO Schedules 1, 2, and 4 carefully and completely? Did you include signed Schedule 3’s from all certified subcontractors?
   4. If you are a Cleveland Area Small Business, minority business enterprise, or female business enterprise, did you include a copy of your own certificate?

G. Bid Envelope
   1. Is the envelope identified with the correct title of the bid and the due date?
   2. Is the envelope securely sealed?

H. Performance Bond
   1. Will you be able to furnish the Performance Bond if one is required in paragraph A-5a of INSTRUCTIONS TO BIDDERS, in paragraph B-8 of General Conditions?
   2. Notice: A certified or cashier's check is not acceptable in lieu of a Performance Bond!
I. Federal Tax ID Form (W-9)
   1. Is all the required information given?
   2. Is the form signed?

J. Northern Ireland Fair Employment Practices Disclosure
   1. Is all the required information given?
   2. Is the form signed?

K. Please contact the Division of Purchases and Supplies at 216-664-2620 if you have additional questions on how to complete this bid form.
INSTRUCTIONS TO BIDDERS

A-1 INVITATION TO BID
Sealed bids endorsed as designated in the “Title of Bid” section of the bid sheet(s) will be received at the Office of the Commissioner of Purchases and Supplies, Room 128, Cleveland City Hall, Cleveland, Ohio 44114, until 12:00 o'clock noon, official time, on the date indicated in the “Bid Opening” section of Page 1 of the bid page(s) and thereafter will be publicly opened and read in Room 128.

A-2 FORM OF BID (BID FORM)
   a. Every bid must be made upon the blank form of bid attached hereto.
   b. Each bid must be clearly signed with the full name and address of every person, firm or corporation interested in such bid, followed by the date of such signing, in the space provided at the bottom of the bid form. If more than one person, firm or corporation has an interest in such bid, then the full name and address of each person, firm or corporation must be clearly signed on said bid. If the bidder is a partnership, the firm name and address, as well as the name and address of each individual partner must be given. If the bidder is a corporation, the name of the corporation, the name and title of the officer duly authorize to sign for the corporation, the business address of such officer and the name of the state in which the corporation is incorporated must be given.
   c. The bidder shall insert the amount of the bid bond, certified check or cashier's check in the space provided in the bid form.
   d. The bidder agrees to be bound by his bid from the time the bid is submitted until the earlier of the date stipulated by such bidder or the fourth regular meeting of the Board of Control after the bid submission date unless such time is extended by agreement between the bidder and the Board.

A-3 BIDDERS AFFIDAVIT
Each bidder shall submit with its bid an affidavit stating that neither it nor its agents, nor any other party for it has paid or agreed to pay, directly or indirectly, any person, firm or corporation any money or valuable consideration for assistance in procuring or attempting to procure the contract herein referred to, and further stating that no such money or reward will be hereafter paid. This affidavit must be on the form which is hereto attached.

A-4 BID BOND: CERTIFIED OR CASHIER'S CHECK
Each bid shall be accompanied by a bid bond signed by a surety company authorized to do business in Ohio, or by a cashier's check or certified check on a solvent bank, which bond or check shall be in the sum of five percent (5%) of the amount of the bid, except that with bids for purchase contracts not in excess of Fifty Thousand Dollars ($50,000). Said bond or check shall be given as security that if the bid is accepted a contract will be entered into and the performance of it properly secured.
A-5 DISPOSITION OF BID BOND, CERTIFIED OR CASHIER’S CHECK
a. When the bid is accepted, the bid bond, certified or cashier’s check will be
   returned after the contract has been signed and the performance bond, if
   required, has been submitted to, and approved by, the City.
b. If the successful bidder fails to enter into a contract, the bid bond, certified
   or cashier’s check shall be forfeited and the principal amount of the bid
   bond shall be paid to the City, or the check shall be surrendered to the
   City as the agreed amount of liquidated damages.
c. The bid bond, certified or cashier’s check of the next lowest and best
   bidder will be retained until the lowest and best bidder has signed and
   secured the performance of its contract. If such lowest and best bidder
   fails to do so, the security of the next lowest and best bidder shall
   continue to be retained until it properly secures the contract awarded it. If
   such next lowest and best bidder defaults, the principal amount of its bid
   bond, or check shall also be forfeited to the City as liquidated damages.
d. When a bid is rejected, the bid bond or check will be released or returned,
   respectively, to the bidder.

A-6 EXPLANATIONS WRITTEN OR ORAL
Any bidder finding a discrepancy or omission in the specifications or having any
doubt as to their meaning, shall immediately notify the Commissioner of
Purchases and Supplies, in writing. The Commissioner will respond by sending
written notices or instructions to all bidders. The City will not be responsible for
any oral instructions.

A-7 PRICE BIDS AND DISCOUNTS
a. Unit Prices
   In the Schedule of Items the bidder must give the unit price stated in
   figures of every item bid, in the space so provided.
b. Trade Discounts
   When the bidder offers a trade discount, the amount of such discount
   shall be stated on the Schedule of Items bid.
c. Catalog Pricing
   Where the bidder submits its quotation by filing its catalog price list and
discount, such documents shall be part of the bid and must be separately
signed by the same person and in the same manner as on the bid form.

A-8 BIDDER’S DESCRIPTION OF ITEMS
a. Each bidder shall, in its bid, describe completely the goods or services it
   proposes to furnish in response to and under the terms of the bid.
b. The Commissioner of Purchases and Supplies may require a bidder to
   furnish additional information and/or specifications concerning items to be
   purchased under the terms of the bid.

A-9 MANUFACTURER’S NAME
a. The use of a manufacturer’s or a trade name in the specifications is solely
   for the purpose of designating a standard of quality and type and for no
   other purpose.
b. Every bidder shall state in its Schedule of Items bid the manufacturer’s
   and the trade name, if any, of each item they propose to furnish.
A-10 SAMPLES
If the commissioner of Purchases and Supplies requests, a bidder shall provide samples of the items it proposes to furnish if awarded a contract pursuant to its bid.

A-11 TIME OF DELIVERY
Bidder must state in its bid the time, in calendar days, within which it will deliver the item(s) bid unless stated differently in the specifications.

A-12 PAYMENT DISCOUNT WHEN USED TO DETERMINE LOWEST AND BEST BID
a. In determining the lowest and best bid, the City will consider all bids on a basis of the net price to be paid after deduction of the discount specified; except that if the terms of payment specified by the bidder require payment in less than thirty (30) days from the date of the invoice, the discount offered will not be deducted from the price stated in the bid to determine the lowest and best bidder, and the bid will be considered only on the basis of the unit price actually named in the bid. But if, notwithstanding the provisions of this paragraph such bid is determined to be the lowest and best bid, the City reserves the right to accept the terms named in the bid if such terms are to the advantage of the City as a basis for payment of invoices only, but not in any case as a basis for determining the lowest and best bidder.

b. The City will take a discount of two percent (2%) on payments made within thirty (30) days from receipt of articles, commodities, materials, supplies, equipment or services, unless the bidder indicates otherwise on the space provided on the Schedule of Items bid.

PARAGRAPHS A-13 THROUGH A-15 APPLY ONLY IF THE "REQUIREMENT CONTRACT" BLOCK IS CHECKED ON PAGE 1 OF THE SCHEDULE OF ITEMS AND ON THE BID FORM.

A-13 REQUIREMENT CONTRACT DEFINED
a. A requirement contract is a contract under which the contractor has a duty to provide the City's requirements during the contract term for all articles, commodities, supplies, materials, equipment and/or services set forth in the bid and required by the City's authorized users of the items approved for contract.

b. A contract awarded under this bid will be termed a requirement contract.

A-14 PURCHASES UNDER A REQUIREMENT CONTRACT
a. Under a requirement contract, a contractor shall supply all the City's requirements during the term for the articles, commodities, supplies, materials, services or equipment set forth in the Invitation to Bid. See GENERAL CONDITIONS, Section B-24, Duration of Contract.

b. If the Schedule of Items in the Invitation to Bid is marked "requirement contract," then all quantities stated in the Schedule of items are the City's good-faith estimates only. The City shall place each order under the
contract, whether singly or cumulatively more or less than the estimated quantities set forth in the Schedule of Items, by a Delivery Order against the contract and separately certified.

A-15 LIMITATION OF PERIOD OF CONTRACT
If the proposed duration of the contract would deprive the City of the best available market price, the bidder may offer an alternate bid as to duration of the contract, setting forth in the bid the longest period of time the bidder can furnish and deliver the proportionate amount of items at the firm price set forth in the bid. No other provision of the Invitation to Bid shall be subject to an alternate bid unless specifically requested.

A-16 BID DISCOUNTS - APPLICABLE TO BIDS FOR GOODS AND SERVICES PURCHASE CONTRACTS AND PUBLIC IMPROVEMENT CONTRACTS IN EXCESS OF TEN THOUSAND DOLLARS ($50,000).

a. Bid Discounts under Sections 187.03 and 187.05. If the bid of any prime contractor that is a CSB, MBE, FBE or a CSB, MBE or FBE joint venture is no more than five percent (5%) higher than the lowest actual bid for a contract that is not from a CSB, MBE, FBE or a CSB, MBE or FBE joint venture, the contracting department shall apply a Bid Discount of five percent (5%) to the CSB, MBE, FBE or CSB, MBE or FBE joint venture bid for the purpose of establishing a Comparison Bid. The City of Cleveland shall use the following ranking in determining who receives the preference:

1. Where the disparity study has determined that a disparity exists, the bid discount shall go to the bidders who are certified by the City as members of the specific MBE/FBE group for which the proven disparity exists. No other bidders shall receive any preference under Sections 187.03 and 187.05 at the prime contractor level.

2. Where no disparity has been proven, or when no bids are received from groups for which a proven disparity exists, the bid discount shall go to certified CSB bidders certified by the City as located within the city limits of Cleveland. No other bidders shall receive any preference under Sections 187.03 and 187.05 at the prime contractor level.

3. Where no disparity has been proven, or when no bids are received from groups for which a proven disparity exists, and no bids were received from certified CSB firms certified by the City as located within the city limits of Cleveland, the bid discount shall go to Certified CSB bidders certified by the City as located within Cuyahoga County. No other bidders shall receive any preference under Sections 187.03 and 187.05 at the prime contractor level.

4. In addition to any bid discounts at the prime contractor level, all prime contractors shall receive a bid discount of 5% of the total dollar amount of all CSB, MBE and/or FBE certified by the City that the prime contractor properly documents as subcontractors in their bid, for the purpose of establishing a Comparison Bid.

5. The total Bid Discount awarded to any bidder on a bid pursuant to Sections 187.03 and 187.05 shall not exceed $50,000.00.
b. Bid Discounts under Section 187A.02(a): Application of Bid Discount - A Contracting Department shall apply a Bid Discount of two percent (2%) to a bid received from a Local Producer (LPE); two percent (2%) to a bid received from a Local Food-Producer (LPE); and two percent (2%) to a bid received from a Local Sustainable Business (SUBE), provided that the maximum total Bid Discount applied under Section 187A.02 (a) shall not exceed four percent (4%). Bid Discounts applied under Section 187A.02 (a) shall be in addition to any Bid Discount applied under Sections 187.03 and 187.05. The maximum amount of any Bid Discounts applied under this Section 187A.02 (a) shall not exceed $50,000.

c. Maximum Cumulative Amount of All Bid Discounts:

The maximum cumulative amount of all Bid Discounts that may be applied to the bid under Sections 187.03, 187.05, and 187A.02 shall not exceed $75,000.00, or nine percent (9%), whichever is lower.

d. Comparison Bid to Determine Lowest and Best Bidder:

The City shall determine the Comparison Bid by totaling all applicable Bid Discounts under Sections 187.03, 187.05, and 187A.02. The City shall use the Comparison Bid in determining the lowest and best or lowest responsible bidder for the purpose of awarding the contract. If more than one CSB, MBE, FBE, LPE, SUBE or CSB, MBE, FBE, LPE, SUBE joint venture prime contractor in the respective category submits a bid that is no more than five percent (5%) higher than the lowest actual bid that is not from a CSB, MBE, FBE, LPE, SUBE or from a CSB, MBE, FBE, LPE, SUBE joint venture, the contracting department shall recommend the CSB, MBE, FBE, LPE, SUBE, or CSB, MBE, FBE,LPE, SUBE joint venture submitting the lowest bid, after the inclusion of all applicable prime and subcontractor discounts, as the lowest and best or lowest responsible bidder.

The City shall use the Comparison Bid amount determined by applying the bid discounts described in Articles A-16A, and A-16B, above for evaluation purposes only; the City shall use the actual bid amount for the purposes of bid approval and contract award.

e. City of Cleveland Certification required: For the purpose of determining a bidder’s eligibility for bid discounts, the City shall only consider bidders with valid certificates issued by the City of Cleveland’s Office of Equal Opportunity. The certifications must be active on the date and time of the deadline for bid submission. Expired certification holders and pending certifications cannot be considered for calculation of bid discounts. Certifications from other public or private entities cannot be considered.
Good Faith Participation - APPLICABLE TO BIDS FOR GOODS AND SERVICES PURCHASE CONTRACTS AND PUBLIC IMPROVEMENT CONTRACTS IN EXCESS OF FIFTY THOUSAND DOLLARS ($50,000).

Bidders are required to actively participate and demonstrate good faith in attempting to meet all OEO goals for this procurement. A good faith effort to meet certified CSB, MBE, and/or FBE subcontractor participation goals as established in this contract is of the essence of the contract.

Good faith participation shall include:

1. Active cooperation in making and documenting a serious effort to gain and maintain participation from certified businesses at or above the specific goals set for this procurement;
2. Achieving or exceeding the CSB/MBE/FBE goals set for this particular procurement and/or documenting the practical steps taken by the bidder in attempting to comply;
3. Active attendance and participation in all prebid meetings, Notice to Proceed meetings, and progress meetings during the contract;
4. Active compliance and cooperation with Project Monitors from OEO and/or the Department; and,
5. Timely and accurate submittals of all required forms, including, but not limited to, electronic monitoring forms, employment reports and certified payrolls if applicable.

The final determination of good faith effort shall be made by the Office of Equal Opportunity based upon each bidder's actions as documented in the required forms and as verified by OEO follow up.

Cleveland Area Business Code Notice to Bidders & Schedules - APPLICABLE TO BIDS FOR GOODS AND SERVICES PURCHASE CONTRACTS AND PUBLIC IMPROVEMENT CONTRACTS IN EXCESS OF FIFTY THOUSAND DOLLARS ($50,000).

Sections 187 and 187A of the Codified Ordinances of the City of Cleveland Ohio, the Cleveland Area Business Code, in its entirety, whether reproduced in whole or in part within these documents, as well as the Cleveland Area Business Code Notice to Bidders & Schedules included in this bid document, shall become part of any contract awarded pursuant to this Invitation to Bid. Compliance with Section 187 and 187A is of the essence of the contract.

SUBCONTRACTING:

a. Any and all proposed subcontractors, whether City certified or not, must be divulged and listed in the sealed bid. Include all proposed subcontractors on OEO Schedule 2. A Schedule 3 is also required for each proposed subcontractor that is CSB, MBE, FBE, LPE, or SUBE certified. However, a Schedule 3 is not required for proposed subcontractors who are not City-certified as a CSB, MBE, FBE, LPE, or SUBE.
b. If OEO Schedule 2 is not included in the bid documents, you must submit a proposed subcontractor list on a separate, signed sheet of paper, listing the name, address, type of work or materials, and total subcontractor amount for each and every subcontractor that you propose to use on the contract.

c. All proposed subcontractors listed in your bid must receive written Board of Control approval in advance. The subcontractors you propose in your sealed bid will be considered the subcontractors that you will use in the contract if awarded to you. See Article B-11 regarding the City's Sub-contractor Addition and Substitution Policy and Procedure. The City also reserves the right to approve an award, but not approve a proposed subcontractor.

d. The City maintains a list of Vendors Ineligible to Contract or Subcontract with the City at the City of Cleveland website: http://www.city.cleveland.oh.us. It is each bidder's responsibility to propose only eligible contractors. The City cannot approve a subcontractor whose name appears in this listing.


**Request for Taxpayer Identification Number and Certification**

Go to [www.irs.gov/FormW9](http://www.irs.gov/FormW9) for instructions and the latest information.

**Give Form to the requester. Do not send to the IRS.**

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<tr>
<th>Field</th>
<th>Information</th>
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<tbody>
<tr>
<td>1. Name</td>
<td>(as shown on your income tax return). Name is required on this line; do not leave this line blank.</td>
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<tr>
<td>2. Business name/disregarded entity name, if different from above</td>
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<tr>
<td>3. Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only one of the following seven boxes.</td>
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<td></td>
<td>Individual/sole proprietor or single-member LLC</td>
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<td></td>
<td>C Corporation</td>
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<td>S Corporation</td>
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<td>Partnership</td>
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<td>Trust/estate</td>
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<td></td>
<td>Limited liability company. Enter the tax classification (C=S corporation, S=S corporation, P=Partnership).</td>
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<tr>
<td>Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is not disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.</td>
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<td>Other (see instructions)</td>
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<td>4. Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):</td>
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<tr>
<td>Exempt payee code (if any)</td>
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<tr>
<td>Exemption from FATCA reporting code (if any)</td>
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<tr>
<td>(Applicable to accounts maintained outside the U.S.)</td>
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<td>5. Address (number, street, and apt. or suite no.) See instructions.</td>
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<tr>
<td>Requester's name and address (optional)</td>
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<tr>
<td>6. City, state, and ZIP code</td>
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<td>7. List account number(s) here (optional)</td>
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### Part I: Taxpayer Identification Number (TIN)

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

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

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<th>Field</th>
<th>Information</th>
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<tbody>
<tr>
<td>Social security number</td>
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<tr>
<td>or</td>
<td></td>
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<tr>
<td>Employer identification number</td>
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### Part II: Certification

Under penalties of perjury, I certify that:

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

Certification instructions. You must check 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](http://www.irs.gov/FormW9).

**Purpose of Form**

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS 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-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), 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.

If you do not return Form W-9 to the requester with a TIN, you may be subject to backup withholding. See What is backup withholding, later.

Cat. No. 10231X

Form W-9 (Rev. 10-2018)
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. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and
4. 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, give 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).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1441 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States:

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

**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, do not use Form W-9. Instead, use the appropriate Form W-8 or Form B23 (see Pub. 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

**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.

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**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 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 the requester 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 under 4 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. Also see Special rules for partnerships, earlier.

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**What is FATCA Reporting?**

The Foreign Account Tax Compliance Act (FATCA) requires a participating foreign financial institution to report all United States account holders that are specified United States 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.

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**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 for either a C corporation that elects to be an S corporation, or if you no longer are tax exempt. In addition, you must furnish a new Form W-9 if you name or TIN changes for the account, for example, if the grantor of a grantor trust dies.

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**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 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.

a. 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: 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 1040/1040A/1040EZ you filed with your application.

b. Sole proprietor or single-member LLC. Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or “doing business as” (DBA) name on line 2.

c. Partnership, LLC that is not a single-member LLC, C corporation, or S corporation. 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.

d. 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. You may enter any business, trade, or DBA name on line 2.

e. Disregarded entity. For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a “disregarded entity.” See Regulations section 301.7701-2(c)(2)(ii). Enter the owner’s name on line 1. The name of the entity 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, “Business name/disregarded entity name.” 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, you may enter it on line 2.

Line 3

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

IF the entity/person on line 1 is

 THEN check the box for ...

• Corporation

 • Corporation

• Individual

 • Individual/sole proprietor or single-member LLC

• Sole proprietorship, or

• LLC treated as a partnership for U.S. federal tax purposes,

• Single-member limited liability company (LLC) owned by an individual and disregarded for U.S. federal tax purposes.

• LLC that has filed Form 8832 or 2553 to be taxed as a corporation, or

• LLC that is disregarded as an entity separate from its owner but the owner is another LLC that is not disregarded for U.S. federal tax purposes.

• Partnership

 • Partnership

• Trust/estate

 • Trust/estate

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 in 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 possession, 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 possession

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

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

13 — A trust exempt from tax under section 504 or described in section 4947
<table>
<thead>
<tr>
<th>IF the payment is for...</th>
<th>THEN the payment is exempt for...</th>
</tr>
</thead>
<tbody>
<tr>
<td>interest and dividend payments</td>
<td>All exempt payees except for 7</td>
</tr>
<tr>
<td>Broker transactions</td>
<td>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.</td>
</tr>
<tr>
<td>Barter exchange transactions and patronage dividends</td>
<td>Exempt payees 1 through 4</td>
</tr>
<tr>
<td>Payments over $600 required to be reported and direct sales over $5,000¹</td>
<td>Generally, exempt payees 1 through 5²</td>
</tr>
<tr>
<td>Payments made in settlement of payment card or third party network transactions</td>
<td>Exempt payees 1 through 4</td>
</tr>
</tbody>
</table>

1 See Form 1099-MISC, Miscellaneous Income, 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 account 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) written or printed 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 possession, 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, write 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 individual taxpayer identification number (ITIN). Enter it if you are in the social security number box. 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). Do not enter the disregarded entity’s EIN. 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 1-800-772-1213.
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/Businesses and clicking on Employer Identification Number (EIN) under Starting a Business. 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 SS-4 mailed to you within 10 business days.

If you are asked to complete Form W-9 but do not have a TIN, apply for a TIN and write “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, generally you will 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.

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 codes, 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 nontaxable services, payments made in settlement of payment 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.

<table>
<thead>
<tr>
<th>What Name and Number To Give the Requester</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>For this type of account:</strong></td>
</tr>
<tr>
<td>1. Individual</td>
</tr>
</tbody>
</table>
| 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
| 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 |
| a. The usual revocable savings trust (grantor is also trustee) | The grantor-trustee
| b. So-called trust account that is not a legal or valid trust under state law | The actual owner
| 5. Sole proprietorship or disregarded entity owned by an individual | The owner |
| 6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)) | The grantor |
| **For this type of account:** | **Give name and EIN of:** |
| 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 under the Form 1099 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(ii)) | 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 and you may also enter your business or DBA name on the “Business name/disregarded entity” name on the account. 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 designated in the account title.) Also see Special rules for partnerships, earlier.

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

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 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 credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 1-0039.

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 1-877-777-4778 or TTY/TDD 1-800-829-4059.

Protect yourself from suspicious emails or phishing schemes. Phishing is the creation and use of email and websites designed to mimicking legitimate business emails and websites. The most common act is sending an email to a user false addressing 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 1-800-366-4484. 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.

Visit 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 possessions for use in administering their laws. The information also may 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, payers must generally withhold a percentage of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to the payer. Certain penalties may also apply for providing false or fraudulent information.
VENDOR INFORMATION FORM

Please fill in:
Business Name__________________________________________

IRS Reporting Name______________________________________

Business Address________________________________________ City___________________

State__________ Zip___________ Telephone ( )_________________________ Ext.___________

Toll Free Number 800________________________________________

Vendor Fax Number________________________________________

Vendor Email Address_______________________________________

Ordering Address_________________________________________ City___________________

State__________ Zip___________ Telephone ( )_________________________ Ext.___________

Remit Address___________________________________________ City___________________

State__________ Zip___________ Telephone ( )_________________________ Ext.___________

Contact Person: (ordering)______________________________ Remit__________________

PLEASE INCLUDE THE ABOVE INFORMATION
WHEN SUBMITTING YOUR BID OR PROPOSAL
STATE OF ____________________  SS  AFFIDAVIT
COUNTY OF ____________________

_____________________________, being first duly
sworn deposes and says:

Individual only: That he/she is an individual doing business under the name
of ______________________, at __________
_____________________________, State of __________.

Partnership only: That he/she is the duly authorized representative of a partnership
doing business under the name of ______________________
_____________________________, in the City of __________
State of __________.

Corporation only: That he/she is the duly authorized, qualified and acting __________
of
_____________________________, a corporation organized and existing under the
laws of the State of __________.
And that he/she said partnership or said corporation is filling
herewith a bid to the City of Cleveland in conformity with the
foregoing specifications;

Individual only: Affiant further says that the following is a complete and accurate
list of the names and addresses of all persons interested in said
proposed contract ______________________
_____________________________
Affiant further says that he/she is represented by the following
attorneys:
and is also represented by the following resident agents in the City
of Cleveland: ______________________

Partnership only: Affiant further says that the following is a complete and accurate
list of the names and addresses of the members of said
partnership:
_____________________________
Affiant further says that said partnership is represented by the
following attorneys:
and is also represented by the following resident agents in the City of
Cleveland: ______________________

Rev. 4/3/2012
Min/dpi
Corporation only:

Affiant further says that the following is a complete and accurate list of the officers, directors and attorneys of said corporation:
President: Directors:
Vice President:
Secretary:
Treasurer:
Cleveland Manager or Agent
Attorneys:
And that the following officers are duly authorized to execute contracts on behalf of said corporation:

Affiant further says that the bid filed herewith is not made in the interest of or on behalf of any undisclosed person, partnership, company, association, organization or corporation; that such bid is genuine and not collusive or sham; that said bidder has not, directly or indirectly, induced or solicited any other bidder to put in a false or sham bid, and has not, directly or indirectly, colluded, conspired, connived or agreed with any bidder or anyone else to put in a sham bid, or that anyone shall refrain from bidding; that said bidder has not in any manner, directly or indirectly, sought by agreement, communication or conference with anyone to fix the bid price or that of any other bidder, or to secure any advantage against the City of Cleveland or anyone interested in the proposed contract; that all statements contained in such bid are true; that said bidder has not, directly or indirectly, submitted his bid price or any break-down thereof or the contents thereof, or divulged information or data relative thereto, or paid or agreed to pay, directly or indirectly, any money, or other valuable consideration for assistance or aid rendered or to be rendered in procuring or attempting to procure the contract above referred to, to any corporation, partnership, company, association, organization, or to any member or agent thereof, or to any other individual, except to such person or persons as hereinabove disclosed to have a partnership or other financial interest with said bidder in his general business; and further that said bidder will not pay or agree to pay, directly or indirectly, any money or other valuable consideration to any corporation, partnership, company, association, organization or to any member or agent thereof, or to any other individual, for aid or assistance in securing contract above referred to in the event the same is awarded to

(name of individual, partnership or corporation)

Further affiant saith not.

(Sign Here) ➞

Sworn to before me and subscribed in my presence this ______ day of ______________, 20______.

Notary Public

Rev. 4/3/2012
Msd/aqa
CITY OF CLEVELAND

BID BOND

KNOW ALL MEN BY THESE PRESENTS, That we

________________________________________

as Principal, and

________________________________________

a corporation duly authorized to do business in Ohio, as Surety, are held and firmly bound unto

THE CITY OF CLEVELAND

as Obligee, in the penal sum of ________________________________

Dollars, lawful money of the United States of America, for the payment of which, well and truly to be made, we bind ourselves, our heirs, executors, administrators, successors and assigns, jointly and severally, firmly by these presents.

SIGNED, sealed and dated this __________ day of _______________, 20______.

WHEREAS, the said principal is herewith submitting bid for

________________________________________

________________________________________

________________________________________

Now, THEREFORE, the condition of the above obligation is such that if the said principal shall execute a contract and give bond for the faithful performance within ten (10) working days after being notified in writing of the award of such contract to the principal, or if the principal or surety shall pay the obligee the sum, not exceeding the penalty hereof, by which the amount of the contract, covering the said proposal, properly and lawfully executed by and between the obligee and some third party, may exceed the amount bid by principal, then this obligation shall be void; otherwise it shall remain in full force and effect.

PRINCIPAL ____________________________

BY: ________________________________

TITLE ______________________________

By ________________________________

Attorney in Fact
TO: Tiffany White
The Commissioner of Purchases and Supplies:

BID FOR ____________________________

FOR THE Department of _______________________________________

The undersigned proposes to furnish the above articles, commodities, materials, supplies, equipment or services ("items"), and to accept as full compensation therefor the price per unit multiplied by the number of units of such items purchased hereunder, (which units and prices therefor are set forth in the Schedule of Items hereto attached and made part of this bid) and subject to any discount set forth in this bid.

The undersigned further proposes to execute the Contract Agreement and to furnish satisfactory performance bond within ten (10) working days, excluding Saturdays, Sundays and holidays, after notice of award of contract has been received.

The undersigned further certifies that he (as the individual, firm or corporation making this bid) is not in arrears or default to the City of Cleveland upon any debt or contract, nor is a defaulter as surety or otherwise upon any obligation to said City, nor has failed to perform faithfully any previous contract with said City and that there is no suit or claim pending as to any such arrears or default.

The undersigned deposits with the bid a Bid Bond to the City of Cleveland signed by a surety company authorized to do business in Ohio, in the sum of $ _________________________
or a cashier’s check or certified check on a solvent bank in the sum of $ _________________________ payable to the City of Cleveland, as security that if he be awarded the contract, he will enter into a written contract and secure the performance of the same by a bond as required of an approved surety company authorized to do business in Ohio and satisfactory to the Director of Law, in the sum equal to the total price bid and in conformity with the provisions of The Codified Ordinance of Cleveland, Ohio 1976.

The undersigned further agrees that if the bid is accepted and contract awarded and he shall fail to execute said contract and furnish the satisfactory bond, as required, within the time above specified, then the City may, at its option, declare the contract abandoned and this bid null and void. Thereupon the penal sum of the Bid Bond shall become due to the City, or the certified or cashier’s check, or the amount of such check shall be returned to the undersigned.

THE UNDERSIGNED UNDERSTANDS THAT THE CITY RESERVES THE RIGHT TO REJECT ANY OR ALL BIDS.

The firm, corporation, or individual name
MUST BE SIGNED IN SPACE INDICATED.
ERASURES MAY INVALIDATE THIS BID.

If the bidder is a firm or corporation, the title of the officer signing and the State in which incorporated must be indicated.

SIGN HERE CORPORATION OR FIRM

BY ____________________________________________

TITLE OF OFFICER

BUSINESS ADDRESS OF BIDDER

STATE OF INCORPORATION
BID — SCHEDULE OF ITEMS

City of Cleveland
Division of Purchases And Supplies
Room 128 City Hall
Cleveland, Ohio 44114

TITLE OF BID: Purchase of One Used/Recon Transfer and Accessories

ORDINANCE NO. 1630-92
Section No. 129.26
PASSED: September 21, 1992
SIGNED: September 25, 1992

DEPARTMENT: Public Utilities
DIVISION: CPP

CITY RECORD ADVERTISEMENT DATES
November 27, 2019 & December 4, 2019

BUYER: James Hutcheson (216) 664-2622
jhutcheson@city.cleveland.oh.us

BID OPENING
Friday,
December 20, 2019

12:00 O’CLOCK NOON
OFFICIAL TIME

SIGN, DATE, AND COMPLETE THIS PAGE;
SEE SUBSEQUENT SCHEDULE OF ITEMS PAGES FOR
ADDITIONAL BIDDING INFORMATION

<table>
<thead>
<tr>
<th>DESCRIPTION</th>
<th>QTY.</th>
<th>UNIT PRICE</th>
<th>EXTENSION</th>
</tr>
</thead>
</table>

ALL OF THIS BOUND INFORMATION MUST BE KEPT INTACT AND,
TOGETHER WITH ANY ADDENDA ISSUED, MUST BE RETURNED WITH
THE BID. OTHERWISE, THE BID MAY BE CONSIDERED INFORMAL.

DELIVERY (Days)
PAYMENT DISCOUNT (%)

ITEM 7

FOR PURCHASING USE ONLY
BID — SCHEDULE OF ITEMS
City of Cleveland
Division of Purchases And Supplies
128 City Hall
Cleveland, Ohio 44114

TITLE OF BID
PURCHASE OF ONE (1) USED/RECONDITIONED TRANSFORMER AND ACCESSORIES

ORDINANCE NO.
Codified Ordinance No. 129.26

DEPARTMENT
PUBLIC UTILITIES

CITY RECORD ADVERTISEMENT DATES

BUYER
James Hutcheson 216-664-2622
jhutcheson@city.cleveland.oh.us

DESCRIPTION
Item #1
1. Three Phase Auto Transformer, complete as specified per Section D - Detailed specifications.
64/85.3/106.6/119.47 MVA
AT 55/65 DEG. CRISE, CLASS ONAN/ONAF/ONAF

Manufacturer/Model #

Bid total must reflect all cost associated with the purchase of the transformer and accessories, including transport, delivery and installation

QUANTITY
UNIT PRICE
EXTENSION
1

BID TOTAL

DELIVERY (Days)
PAYMENT DISCOUNT %

ALL OF THIS BOUND INFORMATION MUST BE KEPT INTACT AND, TOGETHER WITH ANY ADDENDA ISSUED, MUST BE RETURNED WITH THE BID. OTHERWISE, THE BID MAY BE CONSIDERED INFORMAL.
GENERAL CONDITIONS

B-1 CONSIDERATION OF BIDS.
All bids received in conformity with the Invitation to Bid shall be endorsed with the contract or advertisement name or number and name and address of the bidder. All bids, immediately after being read, shall be tabulated and summarized and shall become public record in the office of the Commissioner of Purchases and Supplies.

B-2 UNACCEPTABLE BIDS.
No bid will be accepted from, nor a contract awarded to, any person, firm or corporation that is in arrears or is in default to the City upon any debt or contract, or is a defaulter as surety or otherwise upon any obligation to the City, or has failed to perform faithfully on any previous contract with the City of Cleveland.

B-3 REJECTION OR ACCEPTANCE OF BIDS.
The City through the Board of Control shall have the right to reject any or all bids, parts of such bid, and reserves the right to waive any informalities in the bid. In addition to bid price and discount, the City reserves the right to consider all elements entering into the question of determining the responsibility of the bidder. Any bid which is incomplete, conditional, obscure, contains additions not called for, or irregularities of any kind, may be cause for rejection of the bid.

B-4 EVIDENCE OF ABILITY TO FULFILL CONTRACT.
Bidders must present evidence to the Commissioner of Purchases and Supplies, when required by him to do so, to show they are fully competent and have the necessary source of supply, facilities and pecuniary resources to fulfill the conditions of the contract and specifications.

B-5 WITHDRAWAL OF BID.
No bid may be withdrawn after it has been deposited with the Commissioner of Purchases and Supplies.

B-6 TIME OF AWARD.
The Board of Control of the City of Cleveland shall make an award or reject all bids not later than the second regular meeting of said Board following the opening of bids, unless further time is required to analyze bids, to investigate responsibility of any bidder, or in the absence of a time limitation for acceptance set forth in the bid. Any extension of time beyond the date fixed by the successful bidder or the fourth regular meeting of the Board of Control, whichever event shall occur first, shall be subject to agreement between said bidder and the Board.

B-7 AWARD CONTRACT.
No contract shall be awarded without the approval of the Board of Control, and then only to the lowest and best bidder.

1 of 10
B-8 PERFORMANCE BOND.

A. Contracts for the purchase of articles, supplies, commodities, materials, equipment or services shall be secured by a bond in the form and content prescribed by and acceptable to the Director of Law, with good and sufficient sureties and in an amount equal to at least twenty-five percent (25%) of the contract price on materials supplied and at least fifty percent (50%) of the contract price on services supplied. A check is not acceptable in place of a performance bond. A performance bond is not required for standard purchase and requirements contracts awarded in the amount of $500,000.00 or less, except that standard purchase and requirements contracts that are labor and materials contracts including, but not limited to painting, carpentry, plumbing, electrical, masonry, landscaping, snow plowing, fencing and trucking over $100,000 but not more than $250,000 shall require a bond of at least twenty-five percent of the contract price, and over $250,000 but not more than $500,000 shall require a bond of at least fifty percent of the contract price. The above policy notwithstanding, the City of Cleveland reserves the right to require a performance bond in various amounts or to modify the performance bond requirement whenever it is determined to be in the best interest of the City of Cleveland to do so.

B. No performance bond is required for any contract awarded pursuant to this Invitation to Bid in an amount of $500,000.00 or less. Any contract over $500,000.00 will require a Performance Bond for 25% of the contract amount.

B-9 RELEASE OF BOND.
Whenever a performance bond is required, the performance bond will not be released until all the provisions of the contract have been fulfilled.

B-10 CANCELLATION OF CONTRACT.
The City shall have the right to cancel this contract on five (5) days written notice if, in the opinion the Commissioner of Purchases and Supplies, the delivery of materials, supplies or equipment or the performance of work or services are not in accordance with contract specifications and the contractor fails to cure such deficiencies or comply with the contract specifications within ten (10) days after receipt of notice of default from the City, except where fulfillment of its obligation requires activity over a period of time and it has, within ten (10) days of the default notice commenced such activity. Additionally, the City shall have the right to cancel this contract, without cause, upon fifteen (15) days written notice upon the determination of the Board of Control of the City, expressed through its resolution, to do so.

B-11 SUBCONTRACTING OR ASSIGNMENT OF CONTRACT.
a. The contractor shall not subcontract, sublet, assign, transfer, convey or otherwise dispose of the contract, its duties, rights, title or interest in it or in any part thereof, or assign, by power of attorney or otherwise, any of the monies due or to become due under the contract, except, in each instance, with the prior written authorization of the Board of Control of the City, expressed through its resolution, and then only upon such terms and conditions as may be agreed to by said Board. No such subcontracting, subletting, assignment, transfer, conveyance or other disposal of the contract shall be valid until filed in the office of the Commissioner of Accounts.
b. Prior written Board of Control consent is required for a City contractor to add a subcontractor, or to substitute one subcontractor for another subcontractor, under a City contract.

c. The City assumes no obligation to pay, and will not pay, a contractor for any work and or services performed by a sub-contractor on the contract prior to Board of Control approval of that sub-contractor.

d. The Director will not grant any City contractor additional time to meet project deadlines, and will not authorize or pay additional compensation or delay damages of any kind arising from the contractor’s inability to add or substitute a subcontractor because the contractor failed to submit the approval request and supporting documentation at least 3 (three) weeks in advance of the date the additional or substitute sub-contractor is needed.

e. The Office of Equal Opportunity shall evaluate each subcontractor addition and substitution for increased CSB, MBE, or FBE participation even if the original contract had no certified sub-contractor participation.

f. The City’s Sub-contractor Addition and Substitution Policy and Procedure is hereby incorporated by reference in its entirety. The complete document is available online at the City of Cleveland website: [http://www.city.cleveland.oh.us](http://www.city.cleveland.oh.us).

B-12 DELAY FOR CAUSES BEYOND CONTROL.

If the contractor is delayed in complying with the terms of the contract by strikes, lockouts, fire, unusual delay by common carriers, unavoidable casualties, or any cause beyond the contractor’s control including orders, limitations or restrictions of any Governmental agency having jurisdiction over the subject matter of the contract, or by delay authorized by the City, or for any cause by which the director shall decide to justify the delay; then for all such delays and suspensions, the contractor shall be allowed one calendar day extension beyond the time fixed for compliance with the terms of the contract for each and every calendar day of such delay so caused in the completion of the work, the same to be ascertained by the director.

B-13 PATENTS.

The Contractor shall be required to pay all royalties and license fees and shall hold and save the City and its officers, agents, servants and employees harmless from liability of any nature or kind, including cost and expenses, for or on account of any patented or patented invention, process, article, or appliance manufactured or used in the performance of the contract, including its use by the City of Cleveland unless otherwise specifically stipulated in the contract documents. In this respect the contractor shall defend all suits or claims for infringement of any patent or license rights.

B-14 DELIVERY.

The vendor shall adhere to all stipulated delivery terms (e.g., material / service delivery upon a pre-set schedule, upon orders being placed, etc.). All service performance / material deliveries should be made only if the City of Cleveland has issued a valid, open Purchase Order (PO) with a sufficient free balance to
cover the full costs of the service being performed or materials being delivered. The City will not pay vendors for goods or services that are either delivered to the City under an invalid or unauthorized PO or were ordered using an expired contract. The City is not responsible for, and will not pay for, goods or services delivered to the City that are not authorized under the PO and contract under which a sale was purportedly made. Therefore, the vendor must not perform any services nor deliver any materials without a valid, open PO that authorizes the services / materials and that carries a sufficient free balance to cover the services / materials.

Upon delivery, some form of delivery documentation must be left with the City of Cleveland Department. For service performed, some Proof of Service documentation must be given to a City employee. For materials delivered, some Proof of Delivery or Packing Slip must be given to a City employee. In all instances, the delivery documentation must be signed and dated by a City employee in order to substantiate the services provided or materials delivered were as indicated on the documentation. City employees are charged with performing this verification, so vendors should allow adequate time for this review to occur. Failure to provide some delivery documentation, which received a City signature and date upon delivery, may result in payment delays.

B-15 LABORATORY TEST.
The City of Cleveland reserves the right to test all materials, equipment or supplies delivered during the life of the contract, at an independent laboratory to be designated by the Commissioner of Purchases and Supplies of the City of Cleveland. Where the result of such test shows the materials, equipment or supplies are not equal to the specifications, then the expense of making such test shall be paid by the contractor.

B-16 FAILURE TO MEET SPECIFICATIONS.
The delivery of any material, supplies or equipment or the performance of any work or services under the contract which do not conform to contract specifications will be rejected and the contractor notified immediately in writing of such rejection and the reason therefore. If the time for performance has not expired, and the contractor wishes to remedy the deficient materials, supplies or equipment or performance, it may notify the Commissioner of Purchases and Supplies of its intention to cure and may within ten (10) days make a conforming delivery of performance unless such time is extended in writing by said Commissioner. If said contractor fails to replace such nonconforming materials, supplies or equipment or otherwise cure such deficient performance of work or services, the City of Cleveland will purchase such materials, supplies or equipment or obtain the performance of such work or services of the character required on the open market or in case of work and services, by performance by City employees. In such event, the contractor and his surety shall be liable to the City for any excess costs and expenses thereby incurred.

B-17 SAFEGUARDS.
Any equipment to be furnished by the terms of this bid, shall be provided with safety controls, guards, and housing meeting the requirements of the safety standards of the Industrial Commission and the Department of Industrial Relations of Ohio, and the cost shall be included as part of the bid.
B-18 STATE OR FEDERAL TAXES.
   a. The City of Cleveland is exempt from all sales, excise and transportation taxes, except State of Ohio gasoline tax. The price or prices bid shall be exclusive of all such taxes and will be so construed.
   b. The contract price is subject to increase by the amount of any additional tax imposed by the Federal Government or the State of Ohio subsequent to the receipt of bids. Such claim for increased prices must be presented to the City within thirty (30) days after such tax becomes effective and supported by evidence satisfactory to the Director of Law.
   c. The contract price is subject to reduction by that amount by which an applicable tax is reduced during the period of the contract.

B-19 SOCIAL SECURITY ACT/EMPLOYEES BENEFIT PAYMENTS.
The contractor shall be and remain an independent contractor with respect to all services performed under said contract, and agrees to accept full and exclusive liability for the payment of any and all contributions or taxes for social security, unemployment insurance, old age retirement benefits, pensions, or annuities now or hereafter imposed under any state or federal law, which are measured by the terms of this contract and further agrees to obey all lawful rules and regulations and to meet all lawful requirements which are now or hereafter may be issued or promulgated under said respective laws by and duly authorized state or federal officials and said contractor also agrees to indemnify and save harmless the City of Cleveland from all such contributions or taxes or liability therefore.

B-20 FREIGHT ON DIRECT SHIPMENTS TO THE CITY.
The freight prices made in the bid are to be in accordance with lawful freight or cartage charges in existence at the time the bid is made, and contract prices shall be increased or decreased by changes in the freight or cartage rates, provided that claims for additional freight or cartage be presented to the City of Cleveland within thirty (30) days after said advance in freight or cartage rates becomes effective. Reductions in freight or cartage prices will be deducted from the contract price.

B-21 INVOICING AND PAYMENT.
The Contractor shall submit invoices that appropriately reflect the work performed. Original Invoices must be typed and legible. The City of Cleveland does not pay from duplicates or copies. Each invoice must be mailed as specified below:
   • Original invoice to address as shown on Purchase Order under "BILL TO:"
   • Optional: Copy of invoice to the City of Cleveland, Division of Accounts, 601 Lakeside Avenue, Cleveland, OH 44114, clearly marked "COPY".
   • Address invoice questions first to the ordering department. The Division of Accounts will assist if the Department is unable to resolve the question.
The failure to deliver copies of invoices to the indicated location may lead to delays in payment.

Invoices submitted by the Contractor for payment must include the following information:

- Contractor Name, as it appears on the Contract;
- Contractor Mailing Address;
- Contractor Telephone Number;
- Contractor Facsimile Number;
- Contract Number;
- Purchase Order (PO) Number under which the work being invoiced was authorized;
- Contractor Invoice Number, which must be a unique (non-recurring) number;
- Invoice Date, reflecting the date that the invoice itself was issued to;
- Timeframe that the invoice covers;
- A detailed itemization of labor and materials provided, including:
  - Date that work was performed / material delivered,
  - Location for each item of service performed / material delivered,
  - Line Item Number from the Contract's Schedule of Items (SOI) that is being invoiced,
  - Quantity of items being invoiced under each Line Item,
  - Unit Cost of each Line Item,
  - Extended Cost by each Line Item.
- delivery documentation (e.g., Proof of Service / Delivery slip, Packing Slip, etc.) with an acknowledgement signature and date from a City of Cleveland employee;

The City of Cleveland is not subject to sales tax per Section 5739.01 (B)(1) O.R.C. Therefore invoices must not charge sales tax. The City's Tax Exemption Number is 34-6000646. Tax Exemption Certificates are available upon request from the Division of Purchases and Supplies.

Any applicable discounts, as stipulated through the contract and/or PO, must be itemized and applied to the invoice. Any special instructions contained within the contract must also be followed.

If any invoice is erroneous or does not include the above required information, the City shall inform the supplier as to the reasons thereof and any corrective actions necessary to qualify the invoice for payment by the City. The vendor is responsible for providing the delivery documentation at the time of delivery and for submitting the invoice.

**B-22 EQUAL OPPORTUNITY.**

This contract is a contract, and contractor is a contractor within the meaning of Chapter 187 of the Codified Ordinances of Cleveland, Ohio 1976. During the term, the contractor shall comply with all terms, conditions and requirements imposed on "contractor" in the Equal Opportunity Clause, Section 187.22(b) of
the Codified Ordinances of Cleveland, Ohio 1976, attached hereto and made a part hereof. A copy of such clause shall be made a part of every subcontract of agreement entered into for goods or services and shall be binding on all persons, firms and corporations with whom the contractor may deal.

PARAGRAPHS B-23 AND B-24 APPLY ONLY IF THE REQUIREMENT CONTRACT BID BLOCK IS MARKED ON BID PAGE 1 OF BID AND ON BID FORM.

B-23 DURATION OF CONTRACT.
The proposed contract shall be effective upon its execution and approval by the Director of Law of the City of Cleveland and, for the purpose of accepting delivery, shall continue in full force and effect for the period specified in the specifications and/or the Schedule of Items section of the bid, unless otherwise indicated.

B-24 REDUCTION IN PRICES.
The contractor agrees that if the price to the general trade is reduced while the contract is in effect, the City of Cleveland will receive the benefit of such reduction immediately. However, if the contract price is below the price to the general trade at the time the contract is awarded, the reduction provision will be effective only when the recognized price to the general trade reaches a level lower than the contract price or when the contractor reduces his own price to a level lower than the contract price.

B-25 EIGHT-HOUR DAY, MINIMUM WAGE, AND NON-DISCRIMINATION.
The Contractor agrees that it shall comply with the following provisions of the Charter of the City of Cleveland, which are, respectively, as follows:

Section 196. Except in case of extraordinary emergencies, not to exceed eight (8) hours will constitute a day's work and not to exceed forty eight (48) hours a week's work, for any City employee of the City of Cleveland in the classified service thereof, and for any workmen engaged in public work carried on or aided by the municipality whether done by contract or otherwise. The Council shall by ordinance, provide for the enforcement of the provisions of this section.

Section 197. Every contract for public work entered into by the City of Cleveland shall contain, and no contract shall be entered into unless it contains the following stipulations:

The Contractor hereby agrees that all persons employed by him will be paid wages which are not less than are paid by the City of Cleveland for similar or like work; but if said City has not established a rate of wages for any particular class of work to be performed under the terms of this contract, then said employees shall be paid wages not less than are generally paid therefore by others employing union labor in said City.

The Contractor hereby further agrees that in the employment of labor, skilled or unskilled, under the Contract there will be no discrimination exercised against any citizen because of race, color, religion or national origin, and that any violation hereof shall be deemed a material breach of said contract.
B-26 LAWS, PERMITS, AND REGULATIONS

The contractor shall comply with all applicable laws of the Federal government, State, ordinances of the City or other municipality in which the work or services are being done and all applicable regulations and any authorized regulations, and shall be responsible for securing at his own expense any and all licenses, permits and certificates of inspection required by law or by the contract documents.

SERVICES, LABOR & MATERIALS – IF THIS CONTRACT IS FOR WORK, SERVICES, OR LABOR & MATERIALS, B-27, 28 AND B-29 APPLY

B-27 STATE INDUSTRIAL COMPENSATION FOR PURCHASE OF LABOR AND MATERIALS.

If this contract contains labor, whether in part or in all, the contractor shall, in all cases during the term of this contract, subscribe to and comply with the Worker's Compensation Laws of the State of Ohio and pay such premiums as may be required thereunder and to save said City harmless from any and all liability arising from said act. He shall also furnish at the time of delivery of this contract and such other times as may be requested, a copy of the official certificate or receipt showing the payments hereinbefore referred to. A copy of the official certificate or receipt showing the payments hereinbefore referred to, shall be submitted with the bid, or, if not included with the bid, shall be submitted with the signed contract. No work shall be commenced, or payments made, until the certificate or receipt is received by the City. The contractor shall maintain continuous coverage throughout the contract and shall notify the City in writing within 24 hours of receipt of notice of cancellation or reduction of coverage.

B-28 INDEMNITY

Contractor shall indemnify, defend, and hold harmless the City of Cleveland, Ohio, its officers, agents, and employees from all claims, demands, liabilities, loss, suits, causes of action, judgments, costs, and expenses, including attorneys' fees, arising, occurring, or allegedly arising or occurring from personal injury, including death, property damage, including loss of use, or otherwise, to any person or the property of any person, including third parties and employees of any party, as a result of negligent or intentional act or omission by Contractor or its agents, employees, subcontractors or suppliers, in performing work or services or furnishing labor and materials under this contract. This indemnification right is in addition to any other indemnification or contribution right of any indemnified party and shall survive completion of the work or services or furnishing of labor and materials.

B-29 WARRANTY

Contractor warrants, in addition to any other express or implied warranty required by law or the contract, that all work and services performed under this Agreement will be of good quality, free from faults and defects, conform to the contract documents, performed in a workmanlike manner according to good usage and
accepted practice, resulting in a merchantable product, and fit and suitable for their intended purpose, and that materials supplied will be of good quality and free from all defects, latent or patent.

B-30 OHIO CAMPAIGN FINANCE LAW

Pursuant to the Ohio Revised Code, as referenced below, the following language is hereby made a part of this document:

"Contractor hereby certifies that beginning on the date the contract is awarded and extending until one year following conclusion of the contract, all persons identified in Ohio Revised Code Sections 3517.13(I)(3) and 3517.13(J)(3), as applicable, are in compliance with Ohio Revised Code Sections 3517.13(I)(1) and 3517.13(J)(1)."

By submitting a signed sealed bid, those persons signing the document are affirming their compliance with the referenced sections of the Ohio Revised Code, herein incorporated into any contract created pursuant to this Invitation to Bid in its entirety.

B-31 TITLE 48 C.F.R. ETC:

Certification Re: Federal Debarment, Suspension, Ineligibility or Voluntary Exclusion: Title 48 Code of Federal Regulations, Part 9, and other regulations, preclude the City from participating in a covered transaction, as defined in subpart 9.4, with any agency, corporation, partnership, or other legal entity that has been debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by the Federal Government from participating in transactions involving Federal funds. By signing and submitting this document, the bidder certifies to City that it, its principals, any subcontractors, and subcontractor principals:

1) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
2) Have not within the three-year period immediately preceding the submission date of this document been convicted of or had a civil judgment rendered against them personally or the company for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or Local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
3) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; or,
4) Have not within the three-year period immediately preceding submission date of this document had one or more public transactions (Federal, State or local) terminated for cause or default.
If the bidder is unable to certify to any of these statements in this certification, such prospective participant must attach a written explanation to this bid. Failure or inability to certify to any of these statements may be cause for rejection of the bid.

The Federal Debarred Listing is available at http://www.epis.gov/

By submitting a signed sealed bid, those persons signing the document are affirming their compliance with the referenced sections of the Code of Federal Regulations, herein incorporated into any contract created pursuant to this invitation to Bid in its entirety.
SPECIFICATIONS/DESCRIPTION OF PRODUCTS AND/OR SERVICES
CITY OF CLEVELAND – DIVISION OF CLEVELAND PUBLIC POWER

PURCHASE OF ONE (1) USED/RECONDITIONED TRANSFORMER AND ACCESSORIES

SECTION C – SUPPLEMENTAL GENERAL CONDITIONS

C.1 SCOPE OF WORK AND TYPE OF TRANSFORMER TO BE FURNISHED
C.1.1 This specification is to provide for a STANDARD PURCHASE CONTRACT to furnish, deliver and install a USED/RECONDITIONED transformer and accessories as described and as listed on the Bid Schedule of Items page, and in Section D – Detailed Specifications of the contract documents. The type of Transformer and any other Accessories which may be designated on the Bid Schedule of Items pages shall be designed, manufactured and tested in accordance with applicable standards in effect at the time of the order.

C.2 CITY FORMS
Failure to submit the following City forms properly, will cause your bid to be non-responsive.

A. Bid Bond
   1. Use the City's Bid Bond form.
   2. Follow the instructions in Part B and C of the Bidder’s Check List completely.
   3. A bid bond is not required if your total bid is $50,000.00 or less.

B. Bid Form
   1. Indicate whether you are submitting a bid bond or a cashier’s check/certified check in the amount of 5% of your bid total.
   2. The information at the bottom of the page must be filled out completely and signed by an officer of the corporation or firm.

C. Affidavit
   1. The first three lines of the affidavit must be filled out stating the state, county, and name of the person being sworn.
   2. The state on page one must be the same state as the notary’s commission stamp that appears at the bottom of page two.
   3. Be sure that the proper lines are used on page two for signing for the person that is being sworn.
   4. Fill out all necessary information on both sides of the affidavit.

Any other forms that are included in the bid package should also be filled out completely and signed where necessary and returned.

C.3 NON-MANDATORY PRE-BID MEETING
A pre-bid meeting will be held on the date and time as per the advertisement announcement. Bidders are cautioned that questions, clarifications, and information
that may result from this meeting could affect your bid. In addition, by City policy, this is the only opportunity for potential bidders to speak directly with CPP personnel prior to the award of the contract. Attendance at the pre-bid meeting is non-mandatory.

The last day for questions is five (5) business days before the bid opening date. All questions must be submitted in writing to the buyer’s attention, James Hutcheson, by email, jhutcheson@city.cleveland.oh.us or via fax, 216-664-2177.

C.4 UNIT PRICE
The unit price bid as shown on the Bid – Schedule of Items page MUST include all cost associated with the purchase of the transformer and accessories; shipping and handling cost, delivery, F.O.B. point of delivery and installation. No additional charges will be allowed.

Bidders shall quote their best/normal delivery time in weeks after receipt of order.

C.5 EVALUATION OF BIDS
The City of Cleveland, Division of Cleveland Public Power will reject bids for improper submittal of documentation, incomplete submittal of documentation and/or unsubstantiated information within submittal. Performance, cost, timeliness and safety shall be considered as of the essence of the contract.

C.6 METHOD OF MAKING AWARD
The award shall be made to the lowest and best bidder based on the total bid price, delivery days, payment discount offered and conformance to specifications.

C.7 BID AWARDS
The authorizing ordinance in this invitation to bid authorizes the City of Cleveland to award one contract for the work to be performed.

C.8 MATH ERRORS
If the bidder makes any mathematical error(s), the CITY will correct those errors as follows:

The Unit price for labor and materials stated on the bid sheet by the Contractor shall be accepted as being correct. The actual sum of these figures and the extension based upon quantity shall then govern. The unofficial total shall be revised accordingly. The
CITY also reserves the right to correct any mathematical errors in the summation of the bid item extensions.

Where subtotals or totals are transferred from one sheet to another sheet, the CITY reserves the right to correct any errors made in transferring (recopying) the figures, as the intent to the bid form is that those figures be the same. If the correction of any errors has an effect on the award of the bids, only the directly affected bidders will be notified in writing of the changes.

C.9  WARRANTY
The bidder shall warrant that the finished product shall be free from all defects of design, materials and workmanship for a period of one (1) year after final acceptance of all work performed under this contract. Contractor shall rectify, entirely at his own expense, any defects that may develop in said warranty period.

C.10  GUARANTEE
The bidder shall guarantee that the material as furnished by him shall be free from all inherent defects of design, material and workmanship for a period of one year after delivery. He shall rectify, entirely at his own expense, any inherent defects that may develop in the said guarantee period. The City will not pay freight or shipping expenses for returning defective material.

C.11  DELIVERY
All items to be furnished and as ordered under the terms of these specifications shall be delivered between the hours of 8:00 A.M. to 10:00 A.M., Monday through Friday, to the City of Cleveland, Cleveland Public Power facility at:

CLEVELAND PUBLIC POWER
2490 West 41st Street
Cleveland, OH 44113

Or to an alternate location as directed, in writing, by Cleveland Public Power.

All deliveries shall be made in open bodied vehicles to facilitate unloading. Successful bidder shall label all containers with labels that meet all U.S. Department of Transportation (DOT) labeling requirements for hazardous constituents. Cleveland Public Power may refuse delivery of any items that do not meet the conditions stated above.
SPECIFICATIONS/DESCRIPTION OF PRODUCTS AND/OR SERVICES
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SECTION C – SUPPLEMENTAL GENERAL CONDITIONS

Storekeepers may refuse delivery of any items which do not meet the above stated conditions or the following Divisional requirements.

C.12 PREFERENCE FOR RECYCLED MATERIALS
Whenever the total price submitted by a bidder who includes recycled products and materials does not exceed by more than 5% the lowest price bid without recycled products and materials, that bid will be given preference provided that those recycled products and materials are readily procurable and are of equal or superior quality to products and materials made from non-recycled components.

C.13 PUBLIC LIABILITY, PROPERTY DAMAGE AND AUTOMOBILE INSURANCE REQUIREMENTS

C.13.1 The Contractor shall maintain during the term of this Contract such general liability insurance including but not limited to bodily injury, property damage, contractual liability, products/completed operations coverage, and personal injury coverage wherein the City of Cleveland is named as additional insured. (Special hazards such as business automobile liability insurance are addressed below.) Coverage shall protect the Contractor and any subcontractor performing any work under this Contract from claims for damage for personal injury, bodily injury, including accidental death, as well as for claims for property damage, which may arise from operations under this Contract, whether such operations be by the Contractor or by any subcontractor or by anyone directly or indirectly employed by them. An original certificate of insurance and a copy of the additional insured endorsement naming the City of Cleveland as additional insured shall be deposited with the Director of Finance prior to execution of the Contract. Such documents shall be as to form, coverage, carrier and limits satisfactory to and approved by the Director of Law. The additional insured coverage provided to the City under the Contractor's insurance policy (ies) shall be primary with respect to Contractor's general liability, notwithstanding other insurance covering the City. The amounts of insurance shall be as described below.

NOTE: SELF-INSURANCE IS NOT ACCEPTABLE.

C.13.2 General Liability (Including but not limited to Bodily Injury, Property Damage, Contractual Liability, Owners and Contractors Protective Liability, Products/Completed Operations and Personal Injury)

Such policy or policies shall be in an amount not less than a combined single limit of $1,000,000.00 for bodily injury and property damage per occurrence and, in
the aggregate, including but not limited to, contractual liability, owners and contractors protective liability, personal injury as well as products/completed operations coverage of $1,000,000.00.

Such coverage shall be on an occurrence basis. Coverage shall not be on a claims made basis. If a deductible or self-insured retention is assumed, it may not exceed $50,000.00 per occurrence and in the aggregate.

This insurance shall include coverage for damage of property of any nature in the care, custody, or control of the Contractor, or any property over which the Contractor is directly or indirectly exercising physical control by reason of the work to be performed.

**C.13.3 SPECIAL HAZARDS**
The following special hazards shall be covered during the life of this Contract by rider or riders to the policy or policies above required, or by separate policies of insurance in amounts as follows:

**C.13.3.1 BUSINESS AUTOMOBILE LIABILITY**
Business automobile insurance to cover each automobile, truck or other vehicle used in the performance of the Contract in an amount not less than a combined single limit of $1,000,000.00 for bodily injury, including death, and property damage per occurrence.

**C.13.4**
Any policies or certificates provided shall contain a special provision requiring the insurer, no less than 30 days prior to material change in, cancellation, reduction, lapse or non-renewal of the insurance afforded by the policy or policies with respect to the contract involved, to give written notice by certified mail to the Director of Finance. The provision may not contain language such as "endeavor to" or "failure to give such notice shall impose no liability or obligation of any kind on the company or its representatives" or any similar language limiting or abating the above requirement.

**C.13.5 INDEMNIFICATION**
The maintenance of such insurance as outlined shall in no way constitute a waiver of Contractor's legal liability beyond the limits of insurance maintained for damages to any adjoining buildings or their contents or the work and property of others on the site. The Contractor shall hold the City and its agents, including
the Director of Finance, free and harmless form any cost, injury, or damage resulting from the negligent or faulty performance by the Contractor or its Subcontractors.

**C.14 EIGHT HOUR DAY – MINIMUM WAGE AND NON-DISCRIMINATION**

The Contractor agrees that it will comply with the following provisions of the Charter of the City of Cleveland, which read respectively, as follows:

**Section 196.** Except in case of extraordinary emergencies, not to exceed eight hours shall constitute a day's work and not to exceed forty-eight (48) hours a week's work, for any City employee of the City of Cleveland in the classified service thereof, and for any workmen engaged in public work carried on or aided by the Municipality whether done by contract or otherwise. The Council shall, by ordinance, provide for the enforcement of the provisions of this section.

**Section 197.** Every contract for public work entered into by the City of Cleveland shall contain, and no contract shall be entered into unless it contains the following stipulations:

The Contractor hereby agrees that all persons employed by him shall be paid wages which are not less than are paid by the City of Cleveland for similar or like work; but if said City has not established a rate of wages for any particular class of work to be performed under the terms of this contract, then said employees shall be paid wages not less than are generally paid therefor by others employing union labor in said City.

The contractor hereby further agrees that in the employment of labor, skilled or unskilled, under the contract there shall be no discrimination exercised against any citizen because of race, color, religion or national origin; and that any violation hereof shall be deemed a material breach of said contract.

**C.15 LABOR AND MATERIALMEN**

The Contractor shall well, truly, and promptly, pay or satisfy the just and equitable claims of all persons who are performing or have performed work or labor or are furnishing or have furnished material for said Contractor in the execution of the contract, including those who have previously served an affidavit of such claims upon the City Director of Finance, and all bills, costs or supplies, equipment or services delivered and accepted. Each item of work or services performed must be identified by dates of performance, and shall list the bid price per unit and extension thereof.
C.16 NO WAIVER OF LEGAL RIGHTS
Neither acceptance of nor payments for the work or goods or services hereunder, or any part of them, nor any extension of time, nor any possession taken by the City shall operate as a waiver of any portion of the Contract, nor shall a waiver or any default or breach of the Contract be held to be a waiver of any other or subsequent default or breach.

C.17 INDEMNITY CLAUSE
C.17.1. The Contractor shall indemnify, keep and save harmless the City of Cleveland, Ohio, and its respective officers, agents and employees, against all suits or claims that may be based upon any injury to persons or property that may occur, or that may be alleged to have occurred in the course or as the result of the performance of all or any part of this Contract by the Contractor, whether or not it shall be claimed that the injury was caused through a negligent act or omission of the Contractor or its employee, and whether or not the person(s) injured or whose property was damaged were third parties, employees of the Contractor or employees of an authorized Subcontractor; and the Contractor shall at its own expense defend the City in all litigation, pay all attorney’s fees and all costs and other expenses arising out of the litigation or claim incurred in connection therewith; and shall, at its own expense, satisfy and cause to be discharged such judgments as may be obtained against the City, or any of its officers, agents or employees. Nothing herein shall be construed to limit the Contractor’s indemnification obligations to the limits of insurance provided. The indemnification obligations shall survive any termination of the Contract.

C.17.2 In case of any and all claims against the City and its officers, agents or employees, by any employee of the Contractor, Subcontractors, its agents, anyone directly or indirectly employed by any of them, or anyone for whose acts any of them may be liable, the indemnification obligation of the above paragraph shall not be limited in any way by any limitation on the amount or type of damages, compensation or benefits payable by or for the Contractor, Subcontractors or other person under applicable worker's or workmen's compensation benefit or disability laws, it being clearly agreed and understood by the parties hereto that the Contractor expressly waives any immunity the Contractor might have had under such laws. By executing the Contract, the Contractor acknowledges that the foregoing waiver has been mutually negotiated by the parties.
C.18 **SUPERVISION**
Contractor’s supervision shall be in accordance with and conform to the requirements detailed in Exhibit A, General Requirements.

C.19 **APPROVAL AND ACCEPTANCE**
C.19.1 Upon completion of the task order as herein provided, the Contractor shall notify CPP, in writing that the task order has been completed and is ready for commissioning, if so required.

C.19.2 The inspection by CPP will then be conducted. Upon Acceptance by CPP, the task order shall be considered complete within the meaning of these specifications.

C.19.3 The final invoice shall not be paid until all task orders have been satisfactorily completed, and the guarantee period shall begin immediately upon the successful completion of all task orders and not before.

C.20 **CERTIFIED DATA**
For each and every transformer, the following CERTIFIED data shall be supplied.

A. Serial Number
B. Full wave Impulse Test KV subjected to in accordance with NEMA Standards
C. Actual core loss watts
D. Load loss in watts
E. Impedance in percent

**Data shall be sent to:**
Stephen Chwalik  
Cleveland Public Power  
1300 Lakeside Avenue  
Cleveland, Ohio 44114

In addition to the documentation being sent to the above named employee; all deliveries for said transformers are expected to have a copy of the CERTIFIED date included; transformers shipped without such certified data shall be rejected.
C.21 **OSHA STANDARDS**  
All equipment and/or replacement parts shall meet applicable OSHA standards.

C.22 **C.18 STANDARDS**  
All transformers shall be manufactured, tested, and shipped to meet or improve on all latest applicable ANSI, NEMA Standards, except where specifically noted otherwise. All NEMA Standard Accessories shall be provided except where noted otherwise.

C.23 **EXCEPTIONS**  
The bidder shall mark any exceptions to the specifications and shall provide a separate list of any such exceptions to the specifications. If the bidder takes exceptions and fails to provide a separate list of exceptions, the bid shall be rendered non-responsive.

C.24 **NOTICE TO PROCEED**  
Upon execution of the contract CPP will issue a Notice to Proceed to the awarded Vendor. A Notice to Proceed will not be issued until the contract has been fully Executed and delivered to all parties.

- END OF SECTION C -
D.1 **SCOPE OF WORK**
This material specification covers oil-immersed Autotransformer 64/85.3/106.67/119.47 MVA 3Ø, 138Y-69Y-13.8 kV, with LTC in accordance with the following descriptive specifications.

D.2 **NATIONAL STANDARDS**
The power transformer shall be manufactured, tested, and furnished according to the latest edition, revision or amendments to the applicable standards of ANSI, NEMA, and IEEE except as specifically noted in this specification. The equipment is required to meet OSHA standards.

D.3 **MODIFICATIONS TO REFERENCE STANDARDS**

D.3.1 **Ratings**
General Ratings: The Autotransformer shall be outdoor, three-phase, 60Hz, 55/65° C temperature rise, 80° C hot spot winding temperature rise for operation at an elevation up to 3300 feet rated

64/85.333/106.67/119.47 MVA at 55/65 deg C Rise Class ONAN/ONAF1/ONAF2


HV Taps: 2 AN and 2 BN AT 2.5%

LV: 69kV Grd.Y  LV BIL: 350kV  Neutral BIL: 110kV

LV Taps: On Load Tap Changer +/-10% Regulation in 16 Steps AN and 16 Steps BN

TV: 13.8kV (15/20/25/28 MVA Buried Not brought out)

D.3.2 **Transformer Impedance**
The impedance H to X shall be:

7.17% on a 64 MVA base 138 to 69kV

D.3.3 **Construction**
The transformer shall be constructed of only the highest quality materials. All insulation material shall be of the thermal upgrade type. All blocking material shall be high-density transformer board, Weidmann,
The coils will be disc or helical type, pre-sized, clamped, and braced to provide adequate short-circuit strength. Vertical clamping force shall be uniformly applied to the entire horizontal surface of the one-piece upper and lower pressure plates. All windings shall have full-circumference clamping.

Rectangular winding shall not be allowed. Only round windings with copper conductor shall be allowed.

The core shall be circular, built with the highest quality grain-orientated silicon core steel.

The core will be supported with a combination of epoxy and blocks of high-density and high-temperature material.

D.3.4 Internal Connections
All connections of winding to lead shall be made by brazing or full-circumference crimp connection wrapped with foil-faced tape. All power leads shall be routed through high-density tubing.

D.3.5 Internal Frames and Bracing
The core-and-coil assembly shall be positively located in the bottom of the tank. The top frame of the core-and-coil assembly shall be bolted.

D.3.6 Tank Core Ground
An external core ground shall be furnished by means of an insulated cable brought up to a suitable bushing on the tank cover or near the top of the tank wall with a removable strap located between the bushing terminal and tank.

All tanks shall be made of steel. The tank, including the radiators and accessories, shall be designed for a maximum pressure of at least 7.5 psig and to withstand a full vacuum, including the barrier between transformer and the LTC tank. The tank wall reinforcement shall be fully enclosed with all seams, joints, and end plates continuously welded on flat surfaces of the tank. Covers on all manholes and inspection openings shall be bolted on. All bushings shall be bolted on. The transformer must be designed for full vacuum filling.

D.3.7 Bushings
High-voltage line bushings will be located on the transformer cover in ANSI Segment 3.
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All high-voltage bushings shall be of the transformer draw-lead type with a minimum current rating of 800 amperes and 650kV BIL. H0 bushing to be 200kV BIL.

The low voltage bushings must have a 350 kV BIL rating. X0 bushing to be 110kV BIL. All bushings shall meet all requirements of the latest ANSI Standard C 76.1 for bushings for power circuit breakers and outdoor transformers. All bushings shall be ANSI 70 Light Gray in color. Provide a NEMA standard four (4) hole stud connector on each bushing with appropriate current rating for bushing capacity.

D.3.8 De-Energized Tap Changer (DETC)
A DETC shall be required.

D.3.9 Internal Bushing CT’s
The transformer shall be supplied with the bushing type current transformers specified below:

<table>
<thead>
<tr>
<th>Terminals</th>
<th>Full-Winding Amperes</th>
<th>Relay Accuracy</th>
</tr>
</thead>
<tbody>
<tr>
<td>H₁, H₂, H₃</td>
<td>1200/5 MR</td>
<td>C800</td>
</tr>
<tr>
<td>H₁, H₂, H₃</td>
<td>1200/5 MR</td>
<td>C800</td>
</tr>
<tr>
<td>X₁, X₂, X₃</td>
<td>2000/5 MR</td>
<td>C800</td>
</tr>
<tr>
<td>X₁, X₂, X₃</td>
<td>2000/5 MR</td>
<td>C800</td>
</tr>
<tr>
<td>H₀X₀</td>
<td>1200/5 MR</td>
<td>C800</td>
</tr>
</tbody>
</table>

D.3.10 Load Tap Changer
The transformer shall be supplied with a three-phase automatic-manual load tap changer designed to regulate the 69kV winding plus and minus 10% of the rated voltage in thirty-two 5/8% steps.

Approved LTC mechanisms are the Reinhausen Type RMV-II.

Each tap of the regulating winding shall be fully distributed over the entire coil height and wound such that the amp-turn per height ratio of the high-voltage winding, the low-voltage winding and each tap of the regulating winding are equal.
All arcing contacts of the tap changer shall be in a separate compartment. The tap changer compartment, together with the barrier between the LTC compartment and the main tank shall be able to withstand a full vacuum while the main tank is at atmospheric pressure.

The tap changer shall have a direct-driven position indicator, with electrically resettable drag hands. The position indicator shall be easily read from the ground without opening any doors.

Beckwith M-0329B or equal shall be mounted in the control cabinet. Paralleling equipment shall be of the circulating-current type, selectable with a selector sw

**D.3.11 Cooling Equipment**

The transformer shall be designed for continuous self-cooled operation. The self-cooled top oil temperature rise by resistance shall not exceed 65° C, and hottest spot winding temperature rise shall not exceed 80° C.

The complete transformer, including external components (bushings, etc.), as well as internal components, shall be suitable for overload operation in accordance with ANSI C57.92, NEMA TR-98, and IEEE 5071D5.

Cooling class of transformer with self-cooled rating only shall be ONAN. Cooling class of transformer with self-cooled rating and two forced-cooled ratings shall be of ONAN/ONAF/ONAF.

The cooling equipment shall be controlled by winding hot-spot temperature control switches. Two sets of temperature gauges with temperature indicating relays will be used; one indicating top oil temperature and one indicating hot spot temperature. Settings for the temperature indicating relays shall be as follows:

1. The radiators shall be galvanized panel-type and all radiators shall be removable. In conjunction with removable radiators, manufacturer shall furnish suitable valves on the transformer side of the radiator mounting flanges, and top and bottom pipe taps with plugs on the radiators, to permit draining and removal of the radiators without draining oil from the transformer tank. All shutoff valves shall be easily accessible with all the radiators in place. Removable radiators shall be equipped with lifting eyes, and so designed that they can be handled without the addition of special bracing.

2. Cooling fans shall be located only on the sides of the radiators to provide maintenance accessibility with adequate safety clearances from transformer live
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parts. The fan guards are to be stainless steel or hot-dipped galvanized and shall meet all OSHA requirements, including that a 1/2-inch diameter rod shall not penetrate the guards.

3. The mounting hardware for all cooling and any cooling related equipment including, but not limited to, fans, radiators, radiator bracing, radiator pumps, flow indicators and flexible connectors, valves, shall include flat washers, lock washer, and nuts.

4. All cooling equipment shall be free from any and all undue or harmful vibration.

D.3.12 Oil
All the mineral oil supplied to properly fill the transformer shall be new and not be contaminated with other substances and the manufacturer shall certify that the oil contains less than one (1) ppm of polychlorinated biphenyls (PCBs). In addition, the manufacturer shall state on the nameplate, “The transformer contains less than 1 ppm of PCBs.”

The mineral oil supplied with the transformer shall be in accordance with ASTM D3487 “Standard Specification for Mineral Insulating Oil Used in Electrical Apparatus.”

If the transformer is shipped with dry air and the oil shall be delivered via clean and dry tanker.

D.3.13 Oil Preservation System
The oil preservation shall be Conservator Oil Preservation Type.

D.3.14 Control Cabinet
The control cabinet shall be a stainless steel NEMA 4 enclosure. Doors shall be gasketed, continuous hinge with a 3-point door latch operated by a single handle. Interior swing panels shall be included to accommodate panel mount equipment and provide access to back panel wiring and equipment. The cabinet shall be furnished with cooling equipment control devices, LTC equipment control devices, customer specified transformer monitor, and terminal blocks for terminating all auxiliary wiring. The cabinet shall be furnished with heaters.

D.3.15 Accessories
The following standard accessories shall be furnished with location in accordance with the latest ANSI Standards. Manually operated no-load tap changer control handle shall be located on the side of the tank within easy reach from the ground and provided with means for padlocking in any position.
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1. Magnetic liquid level gauge (with alarm contacts)
2. Dial-type oil thermometers
3. Pressure vacuum gauge with alarm contacts
4. Globe-type combination drain and lower filter valve (2” screw end) with sampling device (3/8”). The drain valve and the oil-sampling valve shall be located so as to allow draining or sampling from the bottom surface of the tank.
5. Ball-type upper filter valve, 2” screw end.
7. Base to be designed for rolling, provision for pulling in both directions of centerlines of segments.
8. Jacking provisions at four (4) corners of the base.
9. Ground pads with tapped holes for tank grounding
10. One (1) or more hand-holes or manholes in the cover.
11. Cover-mounted mechanical pressure relief device with automatic resealing-resetting operation and mechanical signal for indication of device operation.
12. Solid metal diagrammatic nameplate with embossed data in U.S. Customary units.

D.3.16 Gaskets
All manhole openings, bushing busses, or risers and any other areas where bolting is necessary will be provided with machined surfaces with a gasket groove to limit compression of the gasket material. All gasket material shall be reusable nitrile. Gaskets and gasket material containing asbestos shall not be used in any part of the transformer or its auxiliary equipment.

D.3.17 Cleaning and Painting Transformer
All surfaces of the transformer, tanks, covers, panels, etc., shall be thoroughly cleaned by de-greasing and abrasive blasting to remove grease, scale, rust, and corrosion.

The exterior surface of the transformer tank, covers, metal barrier, and the interior and exterior of panels, etc., shall be given two (2) coats of finish enamel.

D.3.18 Short Circuit Requirements
The transformer is to be designed to meet the short circuit requirements given in the short circuit test code as per C57.12.00 and C57.12.90 latest revision.
D.3.19 Transformer Loading
The transformer and all associated parts shall be suitable for loading without exceeding loss-of-life as specified in ANSI C57.92.

D.4 ELECTRICAL TESTS
The transformer shall be filled with in-service insulating fluid (FR3 in main tank and mineral oil in LTC tank) for all electrical tests.

Transformer will receive all routing and optional test in accordance with ANSI C57.12.90, C57.12.10, C57.15, and C57.90 including the following tests:

1. Cold resistance test on each winding on the rated voltage connection.
2. Polarity and phase relation test on the rated voltage connections.
3. No-load loss and exciting current shall be measured both at nominal rated voltage and at 105% and 110% of nominal rated voltage, both before and after Impulse tests. Values of no-load loss and exciting current measured after impulse tests will be the values used in determining compliance with manufacturer’s performance guarantees; these values shall not exceed the values measured before impulse tests by more than 7.5%.
4. Impedance and Zero sequence impedances shall be measured.
5. Capacitance and insulation power factor between windings and between each winding and ground shall be measured. A power-factor test shall be performed on all windings and bushings at 10 kV. No winding shall exceed a 0.5% power factor. For each high voltage terminal, an excitation current test shall be performed at 10 kV on each de-energized tap.
6. One-hour, 3-phase induced potential and corona test shall be performed. The first test voltage to be applied shall be 182 kV rms phase-to-phase and an enhancement voltage level of 208 kV with the transformer set on the maximum DETC tap. The test voltage shall be applied for a period of one (1) hour. Tests shall be accompanied by continuous monitoring of partial discharge level; level shall be recorded at 5-minute intervals. Measured partial discharge level shall not exceed 100 microvolts or shall not exceed 250 pico Coulombs (including background).
7. Applied potential tests.
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8. Induced potential tests.
9. ANSI impulse tests shall be performed.
10. Insulation resistance shall be measured.
11. The manufacturer shall perform a Sweep Frequency Analysis (SFRA) test.
12. Certified test reports shall be provided.

D.5 **Losses.**
5.1 **No Load Losses**
No Load Losses not to Exceed 30 kW at 64 MVA

5.2 **Load Losses**
Load Losses not to Exceed 94 kW at 64 MVA, 138kV /69kV

D.6 **PACKAGING**
All bushings and accessories susceptible to damage shall be adequately protected to  
insure against damage during transit. The transformer will be filled with dry air at a  
minimum pressure of three (3) psig.

Major transformer components shall be removed for shipment including but not limited  
to; high voltage bushings, radiators and lightning arrester supports.

The manufacturer will be responsible for checking the shipping dimensions, clearances  
and weight for shipment to the specified destination together with acquiring any and all  
required permits.

The manufacturer will furnish and install a 3-way impact recorders before shipment of  
the transformer. The recorders will be mounted on the transformer tank wall near the  
top on opposite tank walls.

**Upon arrival at the job site the transformer will be off loaded and placed on**  
**the pad by a qualified crane/rigging company approved to perform work on**  
**CPP property. The transformer will then be assembled, vacuum filled with**
new oil, and acceptance testing performed. All work to be performed by a qualified and approved transformer service company.

SPECIFIC INFORMATION REQUIRED WITH QUOTATION

Bidder shall submit the following complete descriptive information and performance specifications on this form with his bid response.

1. Losses
   All transformer losses listed below will be for transformer in the 138kV tap position. All quoted below shall include any auxiliary losses.

   A. No Load Losses at neutral _________ watt
   B. No Load Losses at 16R _________ watts
   C. No Load Losses at 16L _________ watts
   D. Load Losses at 64/119.47 MVA and neutral _________ watts
   E. Load Losses at 64/119.47 MVA and 16R _________ watts
   F. Load Losses at 64/119.47 MVA and 16L _________ watts

Excitation Current
All the excitation currents listed below will be for the transformer DETC in the 138kV tap and the LTC in the neutral position.

   G. Excitation Current at rated voltage: H₁__________ MA
       H₂__________ MA
       H₃__________ MA

   H. Excitation current at 105% of rated voltage: H₁__________ mA
       H₂__________ MA
       H₃__________ mA

   I. Excitation current at 110% of rated voltage: H₁__________ MA
       H₂__________ mA
       H₃__________ mA

2. Impedances
   a. H to X at 64 MVA,138/69kV ____________ %
3. **Outline Dimensions**
   a. Overall Height
   b. Height of Tank
   c. Length of transformer
   d. Width of transformer

4. **Weights**
   a. Fully assembled transformer
   b. Shipping weight

5. **Oil**
   a. Capacity
   b. Weight

6. **Bushings**
   a. High Voltage Type
   b. Manufacturer
   c. Catalog Number
   d. Current Rating
   e. Low Voltage Type
   f. Manufacturer
   g. Catalog Number
   h. Current Rating

7. **Oil Preservation System**

8. **Type of Cooling**
   a. Cooling each stage

9. **Load Tap Changer (LTC)**
   a. LTC Manufacturer
   b. LTC Catalog Number

Page 10 of 11
10. Typical outline drawing(s).

Information provided with proposal.
SUPPLEMENTAL
NOTICE TO BIDDERS

Subject: Submission of NORTHERN IRELAND FAIR EMPLOYMENT PRACTICES DISCLOSURE

Each bidder and/or appropriate parties should complete the DISCLOSURE and submit it with the bid, if possible. If not submitted with the bid, it must be completed and submitted to the Commissioner of Purchases and Supplies before the Cty will award a contract. If a bidder or appropriate parties fail to complete and submit it, they shall not be eligible for a contract award.
SUPPLEMENTAL
NOTICE TO BIDDERS

NORTHERN IRELAND FAIR EMPLOYMENT PRACTICES DISCLOSURE

INSTRUCTIONS: Under Sec. 181.36 Cleveland Codified Ordinances, the information requested on this page must be supplied by all Contractors and any Subcontractors having more than a fifty percent (50%) interest in the proposed contract before the City will award a contract. Any Contractor or Subcontractor that is found to have made a false statement in the Disclosure shall be in default of its bid and/or contract obligations and shall be subject to the remedies for default contained in its contract. For failure to cure such a default, a Contractor or Subcontractor shall be automatically ineligible to bid to supply any goods or services to the City for a period of two years.

CHECK WHICHEVER IS APPLICABLE:

A. ( ) The undersigned or any controlling shareholder, *subsidiary, or parent corporation of the undersigned is NOT ENGAGED IN ANY BUSINESS OR TRADING FOR PROFIT IN NORTHERN IRELAND. (If paragraph A. is checked, proceed to the signature line.)

B. ( ) The undersigned or any controlling shareholder, *subsidiary, or parent corporation is ENGAGED IN ANY BUSINESS OR TRADING FOR PROFIT IN NORTHERN IRELAND. (If paragraph B. is checked, please either check the stipulation contained in paragraph C. or attach documentation that shows that the undersigned has complied with the stipulation contained in paragraph C.

C. ( ) The undersigned and all enterprises identified in paragraph B. are TAKING LAWFUL AND GOOD FAITH STEPS TO ENGAGE IN FAIR EMPLOYMENT PRACTICES WHICH ARE RELEVANT TO THE STANDARDS EMBODIED IN THE "MacBride Principals for Fair Employment in Northern Ireland." A copy of the MacBride Principles can be obtained from the Office of the Commissioner of Purchases and Supplies. In lieu of checking this paragraph, the undersigned must attach documentation which the undersigned believes shows compliance with the stipulation contained in this paragraph C.

Name of Contractor or Subcontractor

By:__________________________

Title:__________________________

"Controlling shareholder" means any shareholder owning more than fifty percent (50%) of the stock in the corporation or more than twenty-five percent (25%) of the stock in the corporation if no other shareholder owns a larger share of stock in the corporation.
MAYOR'S OFFICE OF EQUAL OPPORTUNITY
PARTICIPATION INFORMATION FORM
(Requirement and Standard Contracts)

The Subcontractor Participation Goals for this contract are:

20% CSB Participation

A searchable database of all CSB Subcontractors eligible to fulfill these subcontractor participation goals can be found on the City of Cleveland Office of Equal Opportunity Website:


Click on CSB/MBE/FBE Registry.
MAYOR'S OFFICE OF EQUAL OPPORTUNITY

CLEVELAND AREA BUSINESS CODE

NOTICE TO BIDDERS
&
OEO SCHEDULES

City of Cleveland
Frank G. Jackson, Mayor

Melissa K. Burrows, Ph.D., Director
Office of Equal Opportunity

Revision Date: May 15, 2015 - Final
EQUAL OPPORTUNITY CLAUSE
(Section 187.22(b) C.O.)

Each Contract also shall contain the following equal opportunity clause:

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

(1) The contractor shall not discriminate against any employee or applicant for employment because of race, religion, color, sex, sexual orientation, national origin, age, disability, ethnic group or Vietnam-era or disabled veteran status. The contractor shall take affirmative action to insure that applicants are employed and that employees are treated during employment without regard to race, religion, color, sex, sexual orientation, national origin, age, disability, ethnic group, or Vietnam-era or disabled veteran status. As used in this chapter, “treated” means and includes without limitation the following: recruited, whether by advertising or other means; compensated, whether in the form of rates of pay or other forms of compensation; selected for training, including apprenticeship, promoted, upgraded, demoted, downgraded, transferred, laid off and terminated. The contractor agrees to and shall post in conspicuous places, available to employees and applicants for employment, notices to be provided by the hiring representatives of the contractor setting forth the provisions of this nondiscrimination clause.

(2) The contractor will, in all solicitations or advertisements for employees placed by or on behalf of the contractor, state that the contractor is an equal opportunity employer.

(3) The contractor shall send to each labor union or representative of workers with which he has a collective bargaining agreement or other contract, or understanding, a notice advising the labor union or worker’s representative of the contractor’s commitments under the equal opportunity clause, and shall post copies of the notice in conspicuous places available to employees and applicants for employment.

(4) It is the policy of the City that local businesses, minority-owned businesses and female-owned businesses shall have every practicable opportunity to participate in the performance of contracts awarded by the City subject to the applicable provisions of the Cleveland Area Business Code.

(5) The contractor shall permit access by the Director or his or her designee representative to any relevant and pertinent reports and documents to verify compliance with the Cleveland Area Business Code, and with the Regulations. All such materials provided to the Director or designee by the contractor shall be considered confidential.

(6) The contractor will not obstruct or hinder the Director or designee in the fulfillment of the duties and responsibilities imposed by the Cleveland Area Business Code.

(7) The contractor agrees that each subcontract will include this Equal Opportunity Clause, and the contractor will notify each subcontractor, material supplier and supplier that the subcontractor must agree to comply with and be subject to all applicable provisions of the Cleveland Area Business Code. The contractor shall take any appropriate action with respect to any subcontractor as a means of enforcing the provisions of the Code.”

Revision Date: May 15, 2015 - Final
City of Cleveland
Mayor's Office of Equal Opportunity

Cleveland Area Business Code

NOTICE TO BIDDERS

1. Introduction:

The Cleveland Area Business Code contained in Chapter 187 of the Codified Ordinances of Cleveland, Ohio 1976 was enacted to increase the participation of minority-owned business enterprises, female-owned business enterprises, and local small business enterprises in City of Cleveland contracting. The Code also works to ensure that Contractors doing business with the City do not use discriminatory employment practices. Failure to comply with the Cleveland Area Business Code or with representations made on the attached Schedules may result in rejection of part or all of the bid, and/or cancellation of the contract.

2. Definitions:

As used in this Notice to Bidders and the attached OEO Schedules, the following words, phrases, and terms shall be defined as set forth below:

(a) "Bidder" means a Person offering to contract with the City in response to an invitation to bid.

(b) "Bid Discount" means the application of a percentage discount to the total amount of a bid submitted by a Bidder for a Contract solely for the purpose of bid comparisons when evaluating the lowest and best bid, or lowest responsible bid. The use of a Bid Discount for bid comparison does not alter the total amount of the bid submitted by a Bidder or the Contract executed based on a bid.

(c) "Business Enterprise" means a firm, sole proprietorship, partnership, association, corporation, company, or other business entity of any kind including, but not limited to, a limited liability corporation, incorporated professional association, joint venture, estate, or trust.

(d) "City" means the City of Cleveland, Ohio.

(e) "City of Cleveland Small Business"* or "CCSB" means a CSB that has its principal office located physically within the municipal boundaries of the City.

(f) "Cleveland Area Small Business" or "CSB" means a Business Enterprise certified under division (a) of Section 187.03.

(g) "Cleveland Contracting Market" or "Contracting Market" means the geographic market area consisting of Cuyahoga County, Geauga County, Lake County, Lorain County, Medina County, Portage County, and Summit County, Ohio, or the geographic market area identified in a disparity study or otherwise as provided in Section 187.28.

(h) "Contract" means a binding agreement executed on or after the effective date of this Cleveland Area Business Code by which the City either grants a privilege or is committed to expend or does expend its funds or other resources, or confers a benefit having monetary value including, but not limited to, a grant, loan, interest in real or personal property, or tax incentive in any form for or in connection with any work, project, or public purpose.

(i) "Contracting Department" includes any administrative department under charge of the Mayor or any office, board, or commission treated or construed as a department of City government for any purpose under the Charter or ordinances of the City for the benefit or program of which the City

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enters into a particular Contract.

(j) "Contractor" means a separate or distinguishable Business Enterprise employing one or more persons and participating in the performance of a Contract, including but not limited to CSBs, MBEs and FBEs where applicable, and shall include a party in privity with a Contractor for implementation of a Contract.

(k) "Director" means the Director of the Office of Equal Opportunity.

(l) "Evaluation Credit" means a predetermined number of points in the evaluation of proposals submitted by a Bidder for a Contract to be added solely for the purpose of proposal comparison when evaluating competing proposals. The use of Evaluation Credits does not alter the amount of the proposal submitted by a Bidder or the Contract executed based on the proposal.

(m) "Female" includes only a United States citizen or lawful, permanent resident who is a member of the female gender.

(n) "Female Business Enterprise" or "FBE" means a Business Enterprise owned, operated, and controlled by one or more Females who have 51% ownership. The one or more Females must have operational and managerial Control, interest in capital, and earnings commensurate with the percentage of Female ownership. To qualify as a Female Business Enterprise, the Business Enterprise shall be located and doing business in the Cleveland Contracting Market.

(o) "Local Contracting Market" or "Contracting Market" means the geographic market area consisting of Cuyahoga County, Geauga County, Lake County, Lorain County, and Medina County, Ohio; provided, however, that with respect to growers or producers of food only, the geographic market area also shall include: Erie County, Huron County, Richland County, Ashland County, Wayne County, Holmes County, Stark County, Summit County, Portage County, and Tuscarawas County.

(p) "Local Producer" means a Person that:

(1) has its principal office (headquarters) located physically in the Local Contracting Market and whose highest executive officers and highest level managers maintain their offices and perform their respective executive and managerial functions and duties in the Local Contracting Market; and

(2) A. grows food or fabricates goods, whether or not finished, from organic or raw materials;

B. processes goods, materials, food or other products so as to increase their commercial value by not less than 50%;

C. supplies goods by performing a Commercially Useful Function; or

D. provides, by its qualified full-time employees, maintenance, repair, personal, or professional services.

(q) "Local-Food Purchaser" means a Business Enterprise that, in implementation of its City contract, purchases Local Food in an amount comprising not less than twenty percent (20%) of the Business Enterprise's City Contract amount.

(r) "Local Sustainable Business" means a Business Enterprise that:

(1) has its principal office (headquarters) located physically in the Local Contracting Market and whose highest executive officers and highest level managers maintain their offices and perform their respective executive and managerial functions and duties in the Local Contracting Market; and

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(2) has established sustainability goals for itself and is a member of or signatory to a nationally-recognized sustainability program, which goals and program have been determined acceptable by the City Chief of Sustainability or other officer designated by the Mayor.

(s) "Minority Business Enterprise" or "MBE" means a Business Enterprise owned, operated and controlled by one or more Minority Persons who have at least 51% ownership. The Minority Person(s) must have operational and managerial control, interest in capital, and earnings commensurate with the percentage of ownership. To qualify as a Minority Business Enterprise, the enterprise shall be located and doing business in the Cleveland Contracting Market.

(t) "OEO" means the Office of Equal Opportunity of the City of Cleveland.

(u) "Proposer" means any Person proposing to contract with the City in response to a request for proposals or other similar solicitation.

(v) "Regional Cleveland Area Small Business" or "RCSB" means a CSB that has its principal office located physically within the territorial boundaries of Cuyahoga County but outside the municipal boundaries of the City.

(w) "Regulation" or "Regulations" means and includes the regulations implementing this Code and promulgated by the Director of Equal Opportunity under division (b)(6) of Section 123.08 of these Codified Ordinances.

(x) "Small Business Enterprise" or "SBE" means a Business Enterprise that meets the established economic criteria for a SBE and is owned, operated and controlled by one or more persons who meet the economic criteria for SBE ownership established by the Director in the Regulations.

3. **Required OEO Schedules**

The following documents must be completed, signed and submitted as part of the Contractor's bid or proposal for any City of Cleveland contract over $50,000.00. Failure to submit all OEO Schedules may result in the rejection of a bid.

**Schedule 1: PROJECT CONTACT INFORMATION FORM**

Schedule 1, the **PROJECT CONTACT INFORMATION FORM**, provides the Office of Equal Opportunity with the necessary contact information to conduct its monitoring responsibilities. Each Bidder or Proposer shall complete, sign and submit Schedule 1 and include it with its bid or proposal.

**Schedule 2: SCHEDULE OF SUBCONTRACTOR PARTICIPATION**

Schedule 2, the **SCHEDULE OF SUBCONTRACTOR PARTICIPATION**, identifies all of the subcontractors the Bidder or Proposer intends to use on the project. Each Bidder or Proposer must complete, sign and submit Schedule 2 and include it with its bid or proposal. Bidders or Proposers shall list all prospective subcontractors, including all CSB, MBE, and/or FBE subcontractors, that will participate on the contract, and all requested contact information. Bidders or Proposers shall include the contract specification item number(s) on which the subcontractor will participate in Part 1, the scope, or supplies/materials that the subcontractor will be responsible for will be documented on Part 2, with the corresponding $1 dollar amount for the subcontract on Part 3. The total dollar amount in Part 3 must be an actual dollar amount, and should not be a range of values or a percentage of the contract.

**Schedule 3: STATEMENT OF INTENT TO PERFORM AS A SUBCONTRACTOR**

Schedule 3, the **STATEMENT OF INTENT TO PERFORM AS A SUBCONTRACTOR**, verifies that the
certified CSB, MBE and/or FBE subcontractors listed on Schedule 2 have agreed to work with the Bidder or Proposer on the project, and that the two parties have agreed on general contract terms. Each certified CSB, MBE, and/or FBE listed as a prospective subcontractor on Schedule 2 shall complete, sign and return Schedule 3 to the Bidder or Proposer, and the Bidder or Proposer shall include the completed Schedule 3 with the bid or proposal. Part 1, Part 2 and Part 3 on each Schedule 3 must correspond with Part 1, Part 2 and Part 3, respectively, on Schedule 2 for the appropriate subcontractor.

No CSB, MBE, or FBE participation credit will be considered for a certified CSB, MBE and/or FBE subcontractor listed on Schedule 2 that does not have a corresponding, accurate Schedule 3 included in the bid or proposal.

If an MBE or FBE plans to re-subcontract any of its work, it must indicate that on Schedule 3. Any work re-subcontracted to a non-certified subcontractor will reduce the Bidder or Proposer’s participation credit to the extent of the re-subcontracting.

Schedule 4: CSB/MBE/FBE UNAVAILABILITY/IMPRacticalITY CERTIFICATION

Schedule 4, CSB/MBE/FBE UNAVAILABILITY/IMPRacticalITY CERTIFICATION, allows the Bidder or Proposer to document its good faith effort to achieve the CSB, MBE, and/or FBE subcontracting goals identified for the project in the bid documents. If a Bidder or Proposer has met or exceeded the subcontracting goals for the project, the Bidder or Proposer shall indicate this in Section A of Schedule 4. If the Bidder or Proposer has not met the subcontracting goals for the project, the Bidder or Proposer will indicate this in Section A of Schedule 4, and complete Section B.

Section B of Schedule 4 allows the Bidder or Proposer to document its efforts to solicit certified subcontractor participation for the project, thereby meeting the good faith effort requirement of the bid. Section B also allows the Bidder or Proposer to attach a written document explaining why subcontracting to the goals included in the bid or proposal documents is impossible or impractical due to the nature of the work, service or product being contracted by the bid or proposal. Contractors are obligated to demonstrate their good faith effort to meet the subcontracting goals for the contract, and failure to do so will result in the rejection of the bid or proposal.

Failure to submit and accurately complete OEO Schedules 1, 2, 3, and 4 may result in the rejection of all or part of the bid or proposal. Submission of incomplete, inaccurate, or inconsistent data in the Schedules may lead to a formal investigation, decertification of the Bidder or Proposer, decertification of the subcontractor, and/or a rejection of all or part of the bid. The City of Cleveland reserves the right to waive any informal or immaterial irregularity, and reserves the right to reject any or all bids.

4. Equal Employment Certification:

No Contractor shall discriminate against any employee or applicant for employment because of race, religion, color, sex, sexual orientation, national origin, age, disability, ethnic group or Vietnam-era or disabled veteran status. Contractors shall take affirmative action to ensure that applicants are employed and that employees are treated during employment without regard to race, religion, color, sex, sexual orientation, national origin, age, disability, ethnic group or Vietnam-era or disabled veteran status. As used in this chapter, “treated” means and includes without limitation the following: recruited whether by advertising or other means; compensated, whether in the form of rates of pay or other forms of compensation; selected for training, including apprenticeship, promoted, upgraded, demoted, transferred, laid off and terminated. Contractors shall post in conspicuous places available to employees and applicants for employment, notices to be provided by the hiring representative of contractors setting forth the provisions of this nondiscrimination clause.

Within 60 days after entering into a Contract, each Contractor shall file a written affirmative action program containing standards and procedures ensuring that the contractor affords all qualified employees and applicants for employment equal opportunities in the contractor’s recruitment, selection, and advancement processes.

Revision Date: May 15, 2015
Each contractor's affirmative action program shall contain the following components:

(1) A diagnostic component that includes quantitative analyses comparing the composition of the Contractor's workforce to the composition of the Cleveland Contracting Market employment pool according to the most current census data available, grouped by EEO occupations.

(2) Each affirmative action program shall contain placement goals as follows:
   
   (i) For each non-construction contract, placement goals equal to the availability percentage for women or minorities where the percentage of women or minorities employed by the contractor in a particular job group is less than would reasonably be expected given their percentage availabilities in the corresponding Cleveland Contracting Market employment pool. Placement goals are objective targets reasonably attainable by applying a good-faith effort to implement all aspects of the affirmative action program; they are not inflexible quotas. Placement goals do not authorize or require a Contractor to grant a preference to any individual or adversely affect an individual's employment status for an unlawful discriminatory reason.

   (ii) For each construction contract, establish placement goals for minorities and women for each trade involved in the performance of the contract equal to the goals established by the Director. Placement goals are objective targets reasonably attainable by applying a good-faith effort to implement all aspects of the affirmative action program; they are not inflexible quotas. Placement goals do not authorize or require a contractor to grant a preference to any individual or adversely affect an individual's employment status for an unlawful discriminatory reason.

(3) Identification of problem areas through analysis of the contractor's employment process to determine if it affords or incorporates, or contains impediments to, equal employment opportunities.

(4) Action-oriented programs consisting of practical steps the contractor will implement to address any identified problem areas or the underutilization of women or minorities in relation to their availability in the relevant labor pool.

(5) Internal auditing and reporting systems that monitor and examine the impact the contractor's employment decisions and compensation systems have on women and minorities and their progress toward achieving a workforce that would be expected in the absence of discrimination.

(6) Policies, practices, and procedures that the contractor will implement to ensure that all qualified applicants and employees enjoy equal opportunity in recruitment, selection, advancement, and every other term and privilege associated with employment.

(7) Any additional requirements the Administrator may require through the Regulations or on a case-by-case review of a contractor's proposed affirmative action program.

If, 60 days after entering into a Contract, a contractor has not filed an affirmative action program, has deviated substantially from an approved affirmative action program, or has discriminated against any employee or applicant for employment because of race, religion, color, sex, sexual orientation, national origin, age, disability, ethnic group or Vietnam-era or disabled veteran status, the Office of Equal Opportunity may take immediate enforcement action.

Revision Date: May 15, 2015
5. **CSB Certification:**

Each Bidder, Proposer or subcontractor representing itself as a Cleveland Area Small Business (CSB) in the OEO Schedules shall be certified with the Office of Equal Opportunity as a CSB prior to the bid opening. Certification applications must be completed online through the City’s Certification and Compliance Monitoring System at [https://cleveland.diversitycompliance.com/](https://cleveland.diversitycompliance.com/).

There are two classifications of CSBs:

- **A City of Cleveland Small Business (CCSB)** is a CSB headquartered within the City of Cleveland.
- **A Regional Cleveland Small Business (RCSB)** is a CSB headquartered within Cuyahoga County, but not within the City itself.

A business is eligible for certification as a Cleveland Area Small Business (CSB) if it meets the following criteria:

1. It is a Small Business Enterprise;
2. It has its principal office located physically in Cuyahoga County; and
3. Its chief executive officer and highest level managers maintain their offices and perform their managerial functions in the Cleveland Contracting Market.

A business qualifies as a Small Business Enterprise if it meets size requirements of the US Small Business Administration, or separate economic criteria as established by the Director of the Office of Equal Opportunity in the Regulations. You can find the current SBA size standards here: [http://www.sba.gov/content/small-business-size-standards](http://www.sba.gov/content/small-business-size-standards)

6. **CSB Contract Participation**

In an effort to promote the participation of Cleveland-area Small Businesses (CSBs) in City contracts, each Contracting Department of the City will use its best efforts to contract with CSB Bidders and Proposers, and Bidders and Proposers that have committed to subcontracting with certified CSBs.

Where other, project-specific goals have not been set in the bid or proposal documents, the standard CSB subcontractor participation goals are:

- **Construction Contracts:** 30% CSB Subcontractor Participation
- **Professional Services Contracts:** 10% CSB Subcontractor Participation
- **All Other Contracts:** 20% CSB Subcontractor Participation

The Contracting Departments may, in consultation with the Director, increase or decrease these participation goals for a particular contract. When the goals are changed, the change will be noted in the bid or proposal documents.

Each Bidder or Proposer shall make a good faith effort to subcontract with certified CSBs in consistent with the goals prescribed in the bid or proposal documents.

7. **MBE/FBE Certification:**

Each Bidder, Proposer or subcontractor representing itself as a Minority Business Enterprise (MBE) or Female Business Enterprise (FBE) in the OEO Schedules shall be certified with the Office of Equal Opportunity as an MBE and/or FBE prior to the bid opening. Certification applications must be completed online through the City’s Certification and Compliance Monitoring System at [https://cleveland.diversitycompliance.com/](https://cleveland.diversitycompliance.com/).

*Revision Date: May 15, 2015*
A business is eligible for certification as a Minority Business Enterprise (MBE) if:

(1) The Business Enterprise is owned, operated and controlled by one or more Minority Persons who have at least 51% ownership;
(2) The Minority Persons who own the Business Enterprise have operational and managerial control, interest in capital, and earnings commensurate with the percentage of ownership; and
(3) The Business Enterprise is located and doing business in the Cleveland Contracting Market.

A business is eligible for certification as a Female Business Enterprise (FBE) if:

(1) The Business Enterprise is owned, operated and controlled by one or more Females who have at least 51% ownership;
(2) The Female owners have operational and managerial control, interest in capital, and earnings commensurate with the percentage of ownership; and
(3) The Business Enterprise is located and doing business in the Cleveland Contracting Market.

8. MBE and FBE Contract Participation

The City of Cleveland is firmly committed to assisting Minority Business Enterprises (MBEs) and Female Business Enterprises (FBEs) through its contracting activities, and the City intends to Contract with firms that share that commitment. Under this policy, each Contracting Department will use its best efforts to promote the participation of MBEs and FBEs as both prime contractors and subcontractors in all City Contracts. In turn, Bidders and Proposers shall make every effort to use MBEs and FBEs as subcontractors where available and practical.

Some City contracts will have specific MBE and/or FBE subcontractor participation goals. These goals will be expressly stated in the Invitation to Bid (ITB) or Request for Proposal (RFP) in each contract where the goals are applicable. When specific MBE and/or FBE goals are set forth in the ITB or RFP, the Bidder or Proposer shall make a good faith effort to meet them.

When there are specific MBE and/or FBE goals on a City contract, those goals will be considered in lieu of an equivalent portion of the CSB goals for the contract. Please review the bid or proposal documents for the final MBE, FBE and/or CSB subcontracting goals for the project.

9. MBE/FBE Bid Discounts:

Contracting Departments may apply a Bid Discount of five percent (5%) for bids received from certified MBE and FBE Bidders to remediate past or present discrimination, where the City has developed or obtained a legally sufficient basis in evidence to demonstrate past or present discrimination. The CSB/MBE/FBE Registry denotes which MBEs and FBEs are eligible for Bid Discounts.

10. MBE/FBE Evaluation Credits:

Contracting Departments may apply an Evaluation Credit of five percent (5%) of the total points awarded for proposals received from MBE and FBE Proposers to remediate past or present discrimination, where evidence of contracting disparity has been adequately demonstrated.

Revision Date: May 15, 2015
11. **MBE/FBE Subcontracting Bid Discounts and Additional Retainage:**

Contracting departments may apply a bid discount for bids received for public improvement contracts in the amount of five percent (5%) of the portion of the total amount of the goods, labor, and materials that the bidder represents it will subcontract to one or more MBEs and FBEs, where the City has developed or obtained a legally sufficient basis in evidence to demonstrate past or present discrimination.

If a Contracting Department applies the MBE/FBE subcontracting Bid Discount to the bid of a Bidder that would not have otherwise been the lowest and the Bidder is awarded the Public Improvement Contract, the City shall retain as Additional Retainage an amount equal to the total dollar amount by which the bid was adjusted for bid comparison in addition to the contract retainage required under Section 185.41 of the Codified Ordinances of the City of Cleveland. Release of this retainage shall be managed under the provisions established in Section 187.05(e) of the Codified Ordinances.

12. **CSB Bid Discounts:**

If a Contracting Department does not apply an MBE or FBE Bid Discount to one or more bids for the award of a Contract, the Contracting Department may apply a Bid Discount in the following amounts for bids received from CSB prime contractors:

A Bid Discount of five percent (5%) for bids received from CCSBs.
A Bid Discount of five percent (5%) for bids received from RCSBs, provided no bids are received from CCSBs.

13. **CSB Evaluation Credits:**

If a Contracting Department *does not apply an MBE or FBE Evaluation Credit* to one or more proposals for the award of a Contract, the Contracting Department may apply Evaluation Credits as follows for proposals received from CSB prime contractors:

1. An Evaluation Credit of five percent (5%) of the total points awarded for proposals received from CCSBs.
2. An Evaluation Credit of five percent (5%) of the total points awarded for proposals received from RCSBs, provided no proposals are received from CCSBs.

14. **CSB Subcontracting Bid Discounts and Additional Retainage:**

Contracting Departments may apply a Bid Discount to bids received for a Public Improvement Contract in the amount of five percent (5%) of the portion of the total amount of labor and materials that the Bidder represents it will subcontract to one or more CSBs. This provision does not apply, however, if a Bid Discount has been applied for MBE or FBE subcontractor participation.

If a Contracting Department applies the CSB subcontracting Bid Discount to the bid of a Bidder that would not have otherwise been the lowest and the Bidder is awarded the Public Improvement Contract, the City shall retain as Additional Retainage an amount equal to the total dollar amount by which the bid was adjusted for bid comparison in addition to the retainage required under Section 185.41 of the Codified Ordinances. Release of this retainage shall be managed under the provisions established in Section 187.03(d) of the Codified Ordinances.

15. **LPE and SUBE Certification:**

A Bidder or Proposer may qualify as a Local Producer, a Local-Food Purchaser or a Local Sustainable Business under the Local Producer, Local-Food Purchaser, and Sustainable Business Preference Code, Chapter 187A of the Codified Ordinances of the City of Cleveland. Each Bidder or Proposer representing itself as a Local Producer (LPE), or a Local Sustainable Business (SUBE) shall be certified with the Office.

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of Equal Opportunity prior to the bid opening. Certification applications must be completed online through the City’s Certification and Compliance Monitoring System at https://cleveland.diversitycompliance.com/.

16. **LPE and SUBE Bid Discounts:**

The Contracting Department shall apply a Bid Discount in the following amounts for bids received from LPE and/or SUBE prime contractors:

A Bid Discount of two percent (2%) for bids received from LPEs.
A Bid Discount of two percent (2%) for bids received from SUBEs.

17. **LPE and SUBE Evaluation Credits:**

The Contracting Department shall apply an Evaluation Credit in the following amounts for proposals received from LPE and/or SUBE prime contractors:

An Evaluation Credit of two percent (2%) for proposals received from LPEs.
An Evaluation Credit of two percent (2%) for proposals received from SUBEs.

18. **Maximum Annual Subcontracting Program Benefit:**

In an effort to encourage wide participation in the CSB, MBE and FBE subcontracting programs, the City of Cleveland has a policy which may limit the amount of subcontracting credit: that a single CSB, MBE and/or FBE subcontractor can provide in a single year. When the CSB, MBE and/or FBE subcontractor has reached this maximum subcontracting dollar value, its participation in future contracts will not be counted towards a Bidder or Proposer’s CSB, MBE and/or FBE participation goals.

The Director may apply credit toward the CSB, MBE and/or FBE subcontractor participation goals upon written request of a Bidder or Proposer attesting that no other certified CSBs, MBEs or FBEs are available to perform the work or supply the materials required for the Contract, or in an emergency, or for such other reasons that the Director determines require use of that CSB, MBE or FBE.

Nothing prohibits a Bidder or Proposer from subcontracting to a CSB, MBE or FBE that has reached the cap, or prohibits the CSB, MBE or FBE from performing work or supplying materials under any contract. But that participation will not count towards the Bidder or Proposer’s subcontracting goals.

19. **CSB/MBE/FBE Manufacturer and Supplier Participation:**

Under the Cleveland Area Business Code, the entire amount of expenditures to certified CSB, MBE, or FBE manufacturers will be counted towards CSB, MBE or FBE participation goals on the contract. A manufacturer is an enterprise that produces goods from raw materials or adds value by substantially altering them before resale.

Sixty percent (60%) of expenditures to certified CSB, MBE or FBE suppliers that are not manufacturers will be counted towards CSB, MBE or FBE participation goals on the contract, provided that the CSB, MBE or FBE supplier performs a commercially useful function in the supply process. A business enterprise is a supplier performing a commercially useful function in the supply process” when it:

1. Assumes the actual and contractual responsibility for furnishing the supplies or materials; and
2. Is recognized as a supplier, distributor or reseller by the manufacturer or producer of the contracted supplies and materials; and
3. Owns or leases a warehouse, yard, building or other facilities or uses such as means as are customary in the industry for the purpose of maintaining an inventory of or supplying such supplies or materials from which it supplies its customers; and
4. Distributes, delivers, and/or services products primarily with its own staff and/or equipment.

Revision Date: May 15, 2015
If a CSB, MBE or FBE supplier is not a manufacturer and is not performing a commercially useful function in the supply process, the supplier's participation will not be counted towards the CSB, MBE or FBE participation on the contract.

20. Joint Ventures:

Participation of CSBs, MBEs and FBEs in joint ventures is encouraged. To receive credit for CSB, MBE and/or FBE participation in a joint venture, the joint venture must be certified by the Office of Equal Opportunity. The CSB/MBE/FBE Joint Venture Certification Application is available from the Office of Equal Opportunity, and applications for joint venture certification must be received by the Office of Equal Opportunity no later than 10 days prior to the bid opening.

21. Use of General Contractors as Subcontractors for CSB/ MBE/FBE Prohibited:

Consistent with the U.S. Bureau of Census Standard Industrial Classifications, the City considers that a "general contractor" assumes responsibility for an entire construction contract, although it may subcontract part or all of the actual work to special trades or other contractors. The City does not consider that certification as a "general contractor" assumes or includes certification for any other trade or work. In order to qualify as a CSB, MBE or FBE Subcontractor, the CSB, MBE or FBE must be certified for the specific type of work indicated on Schedule 1, the Schedule of Subcontractor Participation.

22. Subcontractor Participation Compliance Monitoring

Once a contract is awarded through the bid or proposal process, the winning contractor is obligated to use the certified CSB, MBE or FBE subcontractors listed on the OEO Schedules and in the same participation amount indicated in the OEO Schedules. OEO will monitor this subcontractor participation throughout the course of the contract to ensure that the listed subcontractors are performing work on the project, and that they are being properly compensated for that work.

The City of Cleveland uses a web-based contractor certification and contract compliance monitoring system, colloquially known as B2Gnow, to monitor compliance on City contracts. Contractors can access the system at http://cleveland.diversitycompliance.com, or though a link on the Office of Equal Opportunity’s website at http://city.cleveland.oh.us/oeo.

Each month during the contract, the prime contractor (or direct contract-holder with the City) will report payments to ALL subcontractors through the B2Gnow system. This monthly reporting information includes total payment in dollars made to the subcontractor, record of invoices satisfied, record of checks or other payment methods used to satisfy invoices, payment dates, and any additional information required by OEO to verify payment to subcontractors. The prime contractor will enter this payment information into the B2Gnow system, and the subcontractors will verify this payment information in the system.

OEO offers regular training sessions in the use of the B2Gnow system. Please contact OEO at 216-664-4152 to schedule training. Online training options are also available through the B2Gnow system.

Please note that use of the B2Gnow system requires an email account and access to a personal computer with internet connectivity. This requirement applies to both prime contractors and subcontractors. The City will provide for access to a computer and internet connection at Cleveland City Hall, upon appointment, for those contractors who do not otherwise have access to the required technology.

Community Benefit Policies:

- CODIFIED ORDINANCE 123  PREVAILING WAGE
- CODIFIED ORDINANCE 187  CLEVELAND SMALL BUSINESS
- CODIFIED ORDINANCE 187A LOCAL PRODUCER SUSTAINABLE DEVELOPMENT
- CODIFIED ORDINANCE 188  CLEVELAND RESIDENT EMPLOYMENT LAW

Revision Date: May 15, 2015
Questions about the certification process or the OEO Schedules should be directed to the Office of Equal Opportunity (OEO) at (216) 664-4152.
City of Cleveland
Office of Equal Opportunity
Schedules Checklist

This checklist will guide you through the Office of Equal Opportunity Schedules that must be completed and submitted as part of your bid or proposal.

Schedule 1: Project Contact Information Form
☐ Is all requested contact information included?
☐ Is the form complete and signed?

Schedule 2: Schedule of Subcontractor Participation
☐ Did you specify the total dollar amounts for each subcontract?
☐ Did you verify that each subcontractor is certified for the type of work to be performed?
☐ Is the form complete and signed?

Schedule 3: Statement of Intent to Perform as a Subcontractor
☐ Did the subcontractor specify the total dollar amount of the subcontract?
☐ If applicable, has the re-subcontracting section been completed?
☐ Is the form complete and signed by the subcontractor?

Schedule 4: CSB/MBE/FBE Subcontractor Unavailability/Impracticality Certification
☐ Did you list all companies you have contacted? (If additional space is needed, attach a separate sheet)
☐ If you are claiming that subcontracting is not available or practical on this contract, have you provided an explanation on a separate, attached sheet?
☐ Is the form complete and signed?
### City of Cleveland - Office of Equal Opportunity
### SCHEDULE 1: PROJECT CONTACT INFORMATION FORM

#### Part I: Bidder Information

<table>
<thead>
<tr>
<th>Field</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Project Name</td>
<td></td>
</tr>
<tr>
<td>Bidder/Proposer Name</td>
<td></td>
</tr>
<tr>
<td>Contractor's Full Legal Name</td>
<td></td>
</tr>
<tr>
<td>Contractor's Address</td>
<td></td>
</tr>
<tr>
<td>City</td>
<td></td>
</tr>
<tr>
<td>Contractor's Principal Officer Name</td>
<td></td>
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<tr>
<td>Contractor's Main Email Address</td>
<td></td>
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<tr>
<td>Contractor's Authorized OEO Representative Name</td>
<td></td>
</tr>
<tr>
<td>Authorized OEO Representative Email Address</td>
<td></td>
</tr>
</tbody>
</table>

**Are you Certified with the Office of Equal Opportunity?** Check all that apply:

- [ ] CSB
- [ ] MBE
- [ ] FBE
- [ ] SUBE
- [ ] LPE
- [ ] SFP

**Signature:** ____________________________  **Date:** ______________

Bidder/Proposer Representative: ____________________________

**Title:** ____________________________
City of Cleveland - Office of Equal Opportunity

SCHEDULE 2: SCHEDULE OF SUBCONTRACTOR PARTICIPATION

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<tr>
<td>City, State, Zip:</td>
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<tr>
<td>OEO Compliance Contact:</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Contact Email Address:</td>
<td></td>
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<td></td>
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<tr>
<td>Contact Phone:</td>
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<td></td>
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<tr>
<td>Company Type:</td>
<td>CSB □ MBE □ FBE □ Other □ Non-Certified □</td>
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<tr>
<td>Federal Tax ID#/EIN:</td>
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<td>TOTAL $</td>
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<tr>
<td>Company Type:</td>
<td>CSB □ MBE □ FBE □ Other □ Non-Certified □</td>
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<tr>
<td>Federal Tax ID#/EIN:</td>
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<td>TOTAL $</td>
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</table>

The prime contractor may not substitute subcontractors between the submission of bids and award of the contract. After the contract is awarded, the prime contractor may not substitute or shift subcontractors without written approval of the Director of OEO. When there are CSB, MBE and/or FBE goals established in the bid specifications, subcontractor substitutions must preserve the original bid participation percentage, unless the Director waives the requirement. The undersigned agrees that if awarded a contract, it will enter into a written agreement with each subcontractor listed above. If the total contract amount increases, the contractor shall use its best efforts to preserve the original CSB, MBE and/or FBE participation percentages for that increased amount.

Authorized Representative:  
Signature:                     Date:
## City of Cleveland - Office of Equal Opportunity

**SCHEDULE 2: SCHEDULE OF SUBCONTRACTOR PARTICIPATION**

**ADDITIONAL SUBCONTRACTOR FORM**

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<td>OEO Compliance Contact:</td>
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<tr>
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<td>Federal Tax ID#/EIN:</td>
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<td>City, State, Zip:</td>
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<td>OEO Compliance Contact:</td>
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<td>Contact Email Address:</td>
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<td>Contact Phone:</td>
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<td>Company Type: CSB □ MBE □ FBE □ Other □ Non-Certified □</td>
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<tr>
<td>Federal Tax ID#/EIN:</td>
<td>TOTAL</td>
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<td></td>
</tr>
</tbody>
</table>

Page _________ of ________
# City of Cleveland - Office of Equal Opportunity
## SCHEDULE 3: STATEMENT OF INTENT TO PERFORM AS A SUBCONTRACTOR

<table>
<thead>
<tr>
<th>Subcontractor Name:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Bidder/Proposer Name:</td>
<td></td>
</tr>
<tr>
<td>Project Name:</td>
<td></td>
</tr>
</tbody>
</table>

Subcontractor is a:  
- [ ] CSB  
- [ ] MBE  
- [ ] FBE  

Have you (subcontractor) been notified by the Office of Equal Opportunity that you have met the annual subcontracting participation maximum for this calendar year?  
[ ] Yes  
[ ] No

The undersigned prospective subcontractor intends to perform work or furnish supplies/materials in connection with the contract as a (check all that apply):  
- [ ] Individual  
- [ ] Corporation organized and existing under the laws of the State of__________  
- [ ] Proprietorship,  
- [ ] Partnership, or  
- [ ] Joint Venture consisting of ____________________

The CSB, MBE or FBE status of the undersigned contractor is confirmed in the Office of Equal Opportunity’s registry of certified CSBs, MBEs and FBEs. The contractor is prepared to perform the following work items or parts thereof for the above contract:

<table>
<thead>
<tr>
<th>Part 1: SPEC ITEM #s</th>
<th>Part 2: TYPE OF WORK OR SUPPLIES/MATERIALS</th>
<th>Part 3: TOTAL SUBCONTRACT AMOUNT IN DOLLARS</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>$</td>
</tr>
</tbody>
</table>

### RE-SUBCONTRACTING

The undersigned prospective subcontractor will re-subcontract work on this contract:  
[ ] Yes (If Yes, fill out a “Blank” Schedule 2 and indicate the subcontractors being used as 2nd Tier subcontractors.)  
[ ] No

The undersigned prospective subcontractor will enter into a written agreement with the Bidder or Proposer for the above work items after the award, but prior to the execution of the contract with the City of Cleveland.

<table>
<thead>
<tr>
<th>Authorized Subcontractor Representative:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature:</td>
<td>Date:</td>
</tr>
</tbody>
</table>
City of Cleveland - Office of Equal Opportunity
SCHEDULE 4: CSB/MBE/FBE SUBCONTRACTOR UNAVAILABILITY/IMPracticality CERTIFICATION

| Project Name: |  |
| Bidder/Proposer Name: |  |

Note: Prime contractors are expected to use good faith efforts in utilizing CSBs, MBEs and FBEs as subcontractors whenever there are CSB, MBE and/or FBE participation goals established in the bid specifications. There may be instances, however, where Prime Contractors will not be able to achieve the prescribed CSB, MBE and/or FBE participation goals for a particular contract. This Schedule 4 allows Prime Contractors to demonstrate their good faith efforts in finding and soliciting CSBs, MBEs and FBEs to work on the contract. If the subcontracting goals for this contract are not met, failure to complete this schedule fully and completely may impact the evaluation of this bid or proposal.

Section A:

Please check one of the following:

☐ 1. Prime Contractor has submitted Schedules 1 and 2 indicating CSB/MBE/FBE Subcontractor participation MEETING OR EXCEEDING the goals set forth in the bid documents.

☐ 2. Prime contractor has submitted Schedules 1 and 2 indicating CSB/MBE/FBE Subcontractor participation that DOES NOT MEET the goals set forth in the bid documents.

If Box 1 is checked, no further documentation is necessary. Where Box 2 is checked, the Prime Contractor must provide a detailed explanation in Section B.

Section B:

If you checked Box 2 on Section A, you must check one of the following:

The Prime Contractor did not meet the CSB, MBE and/or FBE subcontractor participation goals for this contract because:

☐ 1. The Prime Contractor has made an honest, purposeful attempt to solicit CSB, MBE and/or FBE subcontractor participation, but was unable to find subcontractors to perform the work for the reasons noted below. Please use the unavailability letter codes found on the following page.

<table>
<thead>
<tr>
<th>CONTACTED CONTRACTOR</th>
<th>PROPOSED WORK/SUPPLIES</th>
<th>REASON FOR UNAVAILABILITY</th>
<th>DATE OF CONTACT</th>
<th>DATE RESPONSE RECEIVED</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
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</table>

☐ 2. The Prime Contractor made an honest, purposeful attempt to solicit CSB, MBE and/or FBE subcontractor participation, but due to the nature of the work, service, or product contracted, additional subcontracting with CSBs, MBEs or FBEs is either impossible or impractical. The Prime Contractor has provided a detailed explanation of the nature of the work and the reasons that additional subcontracting is not possible on a separate attached page.

Authorized Representative:  

Signature:  Date:
SCHEDULE 4
CSB/MBE/FBE SUBCONTRACTOR UNAVAILABILITY/IMPRacticalITY CERTIFICATION

REASONS FOR CSB/MBE/FBE SUBCONTRACTOR UNAVAILABILITY

Instructions:
You may insert in Schedule 4, under the column Reasons for Unavailability, all letters identifying the reason why each prospective subcontractor listed on Schedule 4 was unable to prepare a bid or unavailable to participate on the City contract for which you are bidding.

Example Reasons for Unavailability

A. Subcontractor did not respond to the Bidder’s request for a quotation.
B. Subcontractor responded to the Bidder’s request but not as to the type of work or supplies for which requested.
C. Subcontractor does not perform the specific work or furnish the specific supplies the Bidder requested, as part of the type(s) of work or supplies for which OEO has certified it as a CSB/MBE/FBE.
D. Subcontractor is unavailable because its workforce is or will be fully employed on other work during time of contract performance.
E. Subcontractor stated it had insufficient time or information on which to prepare a bid. F. Subcontractor’s bid price(s) were too high to be competitive (Explain in detail).
G. Other. (Explain in detail)
Office of Equal Opportunity
2019 Submission Schedule

Monthly Subcontractor Payment Reports
Certified Payroll Reports

All required Office of Equal Opportunity (OEO) monthly reporting shall be submitted via the B2Gnow Contract Compliance Monitoring System (Cleveland.DiversityCompliance.com) and the LCPtracker Certified Payroll Tracking System (www.LCPtracker.net – for Construction Contracts over $100,000) according to the following schedule:

<table>
<thead>
<tr>
<th>REPORTING MONTH</th>
<th>DATE DUE</th>
</tr>
</thead>
<tbody>
<tr>
<td>DECEMBER 2018</td>
<td>JANUARY 23, 2019</td>
</tr>
<tr>
<td>JANUARY 2019</td>
<td>FEBRUARY 21, 2019</td>
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<tr>
<td>FEBRUARY 2019</td>
<td>MARCH 21, 2019</td>
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<td>MARCH 2019</td>
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<tr>
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