

CONTRACTOR'S CHECKLIST – NEW APPLICANTS

[PREQUALIFICATION APPLICATION](#) – Click link to access prequalification application:

- Pages 1 through 10.
 - All pages must be completed.
 - If a question does not apply insert the word NONE or N/A.
- Page 11 - Work Type Request Form.
 - This form must be completed for **each** work type requested. By completing this form you will facilitate a prompt and accurate assignment of work types.
- Pages 13 through 20.
 - These pages must be completed and **signed by the independent CPA** that performed the audit or review.
- Page 20.
 - This page must be **signed by an officer** of the company.
- Page 21.
 - This page must be **signed and notarized**.

ATTACHMENTS:

- Resumes of Key Construction Personnel (see page 12 for sample resume). Be specific with the type of work performed, size and materials used to perform jobs and reference individuals.
- W-9 Form** - Must be completed and returned with an original signature.
- Insurance Certificate - The enclosed form must be completed and signed by an authorized representative, original signature required.
- Certificate issued by the Secretary of State authorizing the company to do business in Ohio (for out of state companies only) must be included in your submission. To apply on-line visit <http://www.state.oh.us/sos/> or call toll free (877)767-3453.
- Submit Independent Certified Public Accountant's report along with the complete footnote disclosures.**
- Applicants who are a member of a consolidated organization, and do not have an individual audited or reviewed financial statement, **must** provide a CONSOLIDATING BALANCE SHEET showing the applicant's financial information in addition to providing an audited or reviewed consolidated financial statement for the consolidated organization.
- Declaration Regarding Material Assistance/Nonassistance To A Terrorist Organization

CONTRACTOR'S CHECKLIST – NEW APPLICANTS

Submit completed packet to:

**Administrator, Contractor Qualification
Ohio Department of Transportation
1980 West Broad Street – 1st Floor
Columbus, Ohio 43223**

Questions:

If you have any questions, please contact the Office of Contracts Prequalification Section, at (800)461-2823 or (614)466-2824.

Document Links

Ohio Administrative Code - <http://codes.ohio.gov/oac/5501%3A2-3>

Prequalification Application –

http://www.dot.state.oh.us/Divisions/ContractAdmin/Contracts/PQ/PQ_App.doc

Request for Taxpayer Identification Number and Certification

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

Print or type See Specific Instructions on page 2.	Name (as shown on your income tax return)	
	Business name/disregarded entity name, if different from above	
	Check appropriate box for federal tax classification: <input type="checkbox"/> Individual/sole proprietor <input type="checkbox"/> C Corporation <input type="checkbox"/> S Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Trust/estate <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ <input type="checkbox"/> Other (see instructions) ▶ _____	
	<input type="checkbox"/> Exempt payee	
	Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
City, state, and ZIP code		
List account number(s) here (optional)		

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Social security number									

Note. If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Employer identification number									

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).

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 4.

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

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

Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

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.

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

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

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

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the 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 withholding on your share of partnership income.

The person who gives 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 is in the following cases:

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

Foreign person. If you are a foreign person, do not use Form W-9. Instead, use the appropriate Form W-8 (see Publication 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.

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

If you are a nonresident alien or a foreign entity not subject to backup withholding, give the requester the appropriate completed Form W-8.

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS a percentage 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, 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 Part II instructions on page 3 for details),
3. The IRS tells the requester that you furnished an incorrect TIN,
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See the instructions below and the separate Instructions for the Requester of Form W-9.

Also see *Special rules for partnerships* on page 1.

Updating Your Information

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

Penalties

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

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

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

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

Specific Instructions

Name

If you are an individual, you must generally enter the name shown on your income tax return. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

Sole proprietor. Enter your individual name as shown on your income tax return on the “Name” line. You may enter your business, trade, or “doing business as (DBA)” name on the “Business name/disregarded entity name” line.

Partnership, C Corporation, or S Corporation. Enter the entity's name on the “Name” line and any business, trade, or “doing business as (DBA) name” on the “Business name/disregarded entity name” line.

Disregarded entity. Enter the owner's name on the “Name” line. The name of the entity entered on the “Name” line should never be a disregarded entity. The name on the “Name” line must be the name shown on the income tax return on which the income will be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a domestic owner, the domestic owner's name is required to be provided on the “Name” line. 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 the “Business name/disregarded entity name” line. If the owner of the disregarded entity is a foreign person, you must complete an appropriate Form W-8.

Note. Check the appropriate box for the federal tax classification of the person whose name is entered on the “Name” line (Individual/sole proprietor, Partnership, C Corporation, S Corporation, Trust/estate).

Limited Liability Company (LLC). If the person identified on the “Name” line is an LLC, check the “Limited liability company” box only and enter the appropriate code for the tax classification in the space provided. If you are an LLC that is treated as a partnership for federal tax purposes, enter “P” for partnership. If you are an LLC that has filed a Form 8832 or a Form 2553 to be taxed as a corporation, enter “C” for C corporation or “S” for S corporation. If you are an LLC that is disregarded as an entity separate from its owner under Regulation section 301.7701-3 (except for employment and excise tax), do not check the LLC box unless the owner of the LLC (required to be identified on the “Name” line) is another LLC that is not disregarded for federal tax purposes. If the LLC is disregarded as an entity separate from its owner, enter the appropriate tax classification of the owner identified on the “Name” line.

Other entities. Enter your business name as shown on required federal tax documents on the "Name" line. 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 the "Business name/disregarded entity name" line.

Exempt Payee

If you are exempt from backup withholding, enter your name as described above and check the appropriate box for your status, then check the "Exempt payee" box in the line following the "Business name/disregarded entity name," sign and date the form.

Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends.

Note. If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

The following payees are exempt from backup withholding:

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 possession of the United States, or any of their political subdivisions or instrumentalities,
 4. A foreign government or any of its political subdivisions, agencies, or instrumentalities, or
 5. An international organization or any of its agencies or instrumentalities.
- Other payees that may be exempt from backup withholding include:
6. A corporation,
 7. A foreign central bank of issue,
 8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States,
 9. A futures commission merchant registered with the Commodity Futures Trading Commission,
 10. A real estate investment trust,
 11. An entity registered at all times during the tax year under the Investment Company Act of 1940,
 12. A common trust fund operated by a bank under section 584(a),
 13. A financial institution,
 14. A middleman known in the investment community as a nominee or custodian, or
 15. A trust exempt from tax under section 664 or described in section 4947.

The following chart shows types of payments that may be exempt from backup withholding. The chart applies to the exempt payees listed above, 1 through 15.

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 9
Broker transactions	Exempt payees 1 through 5 and 7 through 13. Also, C corporations.
Barter exchange transactions and patronage dividends	Exempt payees 1 through 5
Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt payees 1 through 7 ²

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 attorney, and payments for services paid by a federal executive agency.

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 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. However, the IRS prefers that you use your SSN.

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited Liability Company (LLC)* on page 2), 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 the chart on page 4 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 Social Security Administration 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. You can get Forms W-7 and SS-4 from the IRS by visiting IRS.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, 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 domestic 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, below, and items 4 and 5 on page 4 indicate 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 the "Name" line must sign. Exempt payees, see *Exempt Payee* on page 3.

Signature requirements. Complete the certification as indicated in items 1 through 3, below, and items 4 and 5 on page 4.

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

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

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

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments 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), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account)	The actual owner of the account or, if combined funds, the first individual on the account ¹
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor ²
4. a. The usual revocable savings trust (grantor is also trustee) b. So-called trust account that is not a legal or valid trust under state law	The grantor-trustee ¹ The actual owner ¹
5. Sole proprietorship or disregarded entity owned by an individual	The owner ³
6. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulation section 1.671-4(b)(2)(i)(A))	The grantor*
For this type of account:	Give name and EIN of:
7. Disregarded entity not owned by an individual	The owner
8. A valid trust, estate, or pension trust	Legal entity ⁴
9. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
10. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
11. Partnership or multi-member LLC	The partnership
12. A broker or registered nominee	The broker or nominee
13. 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
14. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulation section 1.671-4(b)(2)(i)(B))	The trust

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

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

³ You must show your individual name and you may also enter your business or "DBA" name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

⁴ List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships* on page 1.

*Note. Grantor also must provide a Form W-9 to trustee of trust.

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

Secure Your Tax Records from Identity Theft

Identity theft occurs when someone uses your personal information such as your name, social security number (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 14039.

For more information, see Publication 4535, Identity Theft Prevention and Victim Assistance.

Victims of identity theft who are experiencing economic harm or a system 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 mimic legitimate business emails and websites. The most common act is sending an email to a user falsely claiming to be an established legitimate enterprise in an attempt to scam the user into surrendering private information that will be used for identity theft.

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

If you receive an unsolicited email claiming to be from the IRS, forward this message to phishing@irs.gov. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at: spam@uce.gov or contact them at www.ftc.gov/idtheft or 1-877-IDTHEFT (1-877-438-4338).

Visit IRS.gov 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. 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.

INSTRUCTIONS FOR COMPLETING THE AUTHORIZATION AGREEMENT FOR DIRECT DEPOSIT OF STATE WARRANTS

PLEASE TYPE

SECTION 1

- A. Enter one of the following characters to indicate the type of transaction:
“A” indicates a new authorization
“C” indicates a change to an existing authorization
“D” indicates a request for termination of direct deposit
- B. Enter the complete name and address of the company or individual participating in the EFT program.
- C. Enter your company’s Federal Tax Identification number or your Security number if you, as an individual are participating.
- D. If application is NOT for an individual, the name and official title of the highest ranking officer of the company must be provided. The application will not be processed without this information.

SECTION 2

- A. Enter the name and address of the ACH member financial institution authorized to conduct transaction. The requirements of the Uniform Depository Act, Chapter 135 of the Ohio Revised Code, are applicable to EFT banking transactions.
- B. Enter the financial institution’s Transit Routing/ABA number in the spaces provided. This is a nine digit number that is shown on your check. It may also be obtained by contacting your financial institution and requesting its Transit Routing/ABA number.
- C. Enter the account number to which the EFT transactions are to be accredited. If less than 17 characters are needed, begin at the left margin and leave any unused spaces blank. “X” the type of account to which funds are to be deposited***

***If you elect to deposit in a checking account, please attach one of your checks with the signature space cut out or marked “void”.

Forward the signed authorization form with voided check (if applicable) to:

STATE AUDITOR’S OFFICE
WIRE UNIT - EFT PROGRAM
P.O. BOX 1140
COLUMBUS, OH 43216-1140

If you have any questions, call the State Auditor’s Office at (614) 728-7163 or 1-800-282-0370.

Minimum Skills Requirements for Work Types

General skills requirement for all work types:

The contractor shall show verifiable knowledge and experience of having satisfactorily performed the work or have on their staff a person or persons who have verifiable knowledge and experience of being in responsible charge of the work. The Contractor shall show the ability to provide all equipment necessary to perform the work.

There are no additional requirements beyond those listed in the general skills requirement for the following work types:

1) Clearing and Grubbing	29) Structure Repairs
6) Incidental Grading	30) Hydrodemolition
7) Soil Stabilization	35) Drainage
9) Aggregate Bases	36) Guardrail/Attenuators
11) Apply Bituminous Treatments	37) Fence
14) Concrete Texturing	38) Miscellaneous Concrete
15) Sawing	39) Maintenance of Traffic
16) Flexible Replacement	40) Waterproofing
17) Rigid Pavement Replacement	41) Raised Pavement Markers
18) Pavement Rubblizing, Breaking, Pulverizing	42) Signing
19) Structure Removal	45) Pavement Markings
23) Reinforcing Steel	46) Landscaping
24) Structural Steel Erection	47) Mowing
25) Stud Welding	48) Trucking
27) Expansion & Contraction Joints, Joint Sealers, Bearing Devices	50) Railroad Track Construction
28) Caissons/Drilled Shafts	53) Piling

In addition to the general skills requirement, the experience cited by the contractor must be recent for the following work types:

2) Building Removal	44) Traffic Signals - Standard
3) Gas, Oil, Water Well Abandonments	51) Micro Tunneling
8) Temporary Soil Erosion and Sediment Control	52) Tunneling
32) Heat Straightening	55) Fiber Optic Cable Installation, Splicing, Termination and Testing - Traffic Signal System
34) Earth Retaining Structures	56) Fiber Optic Cable Installation, Splicing, Termination and Testing - Intelligent Transportation System
43) Highway Lighting	

The following work types have additional requirements as shown:

4) Roadway Excavation and Embankment Construction

In addition to the general skills requirement the contractor must demonstrate experience in performing earth moving projects of over 10,000 c.y. (7646 cubic meters) of the total of excavation and embankment.

5) Major Roadway Excavation

In addition to the general skills requirement the contractor must demonstrate experience in performing earth/rock moving projects of over 750,000 c.y. (573,416 cubic meters) of excavation or projects of over 500,000 c.y. (383,278 cubic meters) of excavation that included a significant amount of rock excavation.

10) Flexible Paving

In addition to the general skills requirement the contractor must demonstrate recent experience in placing bituminous concrete mixtures with equipment using automatic grade control.

12) Rigid Paving

In addition to the general skills requirement the contractor must demonstrate recent experience in placing portland cement concrete pavements in quantities greater than 1,500 square yards per paving location with equipment using automatic line and grade control.

13) Pavement Planing, Milling, Scarification

In addition to the general skills requirement the contractor must demonstrate recent experience in performing this work using equipment with automatic grade control.

20) Level 1 Bridge

In addition to the general skills requirement the contractor must have constructed a minimum of 5 structures of the types listed for this category (no more than two may be retaining walls in excess of 8') within the last eight years.

21) Level 2 Bridge

In addition to the general skills requirement the contractor must have constructed a minimum of 3 structures of the types listed for this category (none shall be level 1 bridge types) within the past eight years or 5 structures of the following types within the past five years:

- Prestressed box beam bridges on capped pile substructures.
- Single span concrete slab.
- Continuous span concrete slab bridges on capped pile substructures.

22) Level 3 Bridge

In addition to the general skills requirement the contractor must demonstrate experience in having constructed at least one structure of the type listed for this category (not a level 1 or level 2 bridge type) or at least 3 multispan rolled beam, plate girder, or concrete beam (not prestressed box beams) bridges that are at least 500 feet (152.4 meters) in length or at least 50 feet (15.2 meters) in height within the past ten years.

26) Structural Steel Painting

Experience. In addition to the general skills requirement, the Contractor must demonstrate successful experience and substantial compliance with all contract requirements on at least three (3) structures within the last five (5) years. The experience on the structures must involve solvent cleaning, debris removal, grinding of flange edges, complete removal of paint by abrasive blasting on a steel structure to a near white condition, removal of fins, tears, and slivers, containment and disposal of solid waste (including hazardous waste), application of multiple coats of a solvent based coating system within specified limits, and caulking. Provide sufficient documentation from the owner that the structures were completed in accordance with the contract requirements.

Failure to satisfactorily perform prior ODOT work in accordance with contract requirements shall be sufficient grounds for the Director to deny the request for a certificate of qualification in accordance with the Ohio Revised Code-Section 5525.03.

Training. All principals within the Contractor's organization must complete a Bridge Painting pre-qualification course once every four (4) years. Principals are defined as owners, officers and key personnel. In addition, the Contractor's superintendent assigned to supervise the Contractor's structural steel painting on a project must complete the Bridge Painting pre-qualification course within not more than four (4) years prior to working on the project.

The Bridge Painting pre-qualification course will be offered twice a year through the Department's Office of Construction Administration. Each individual who successfully completes the training course will receive a course certificate. A copy of the certificate of training must be furnished with the application for qualification for each principal as defined above. Also, a copy of the certificate of training for the superintendent must be furnished before the Contractor will be permitted to commence structural steel painting activities on a project.

Prior to the commencement of bridge painting activities, the Contractor's field supervision personnel and quality control specialist must be trained by a National Association of Corrosion engineers certified coating inspector or by a Society for protective Coatings protective coating specialist as specified in the contract documents.

31) Structural Steel Repairs

In addition to the general skills requirement the contractor must demonstrate past history of the ability to design or provide designs for temporary support systems and ability to install temporary support systems.

33) Tieback Installation

In addition to the general skills requirement the contractor must provide evidence of preparing or providing designs for tieback bond zones and conducting various performance tests.

49) Herbicidal Spraying

In addition to the general skills requirement the contractor must be a licensed applicator by the Department of Agriculture.

54) Post-Tensioning Bridge Members

In addition to the general skills requirement the contractor must demonstrate satisfactory successful experience in performing post-tensioning operations for bridge members on at least four previous bridge projects within the last ten years. These bridges must have been over 250 ft. total length and have multi-strand bonded (grouted in duct) tendons. The contractor must furnish an experienced grouting supervisor on the site during all grouting operations. The contractor's grouting supervisor must have supervisory experience grouting post-tensioning ducts on at least four bridge projects as described above and hold a current American Segmental Bridge Institute (ASBI) Certified Grouting Technician certificate.

55) Fiber Optic Cable Installation, Splicing, Termination and Testing – Traffic Signal System

In addition to the general skills requirement, the Contractor must demonstrate successful experience in the splicing of at least 200 single-mode and/or multimode fiber.

The Contractor must furnish a Supervising Fiber Optic Technician (SFOT) who has successfully completed a comprehensive training course for inside or outside plant installation, splicing, termination, and performance testing of single mode and multimode fiber optic cable. The course must be a minimum of 32 hours total of instruction of which a minimum of 16 hours must be hands-on instruction. The Contractor must demonstrate that the course curriculum included, at a minimum, the following topics:

- Fiber optic theory and principles
- Fiber types
- Cable types
- Panels and enclosures
- Design
- Safety
- Inside and outside plant installation
- Cable preparation
- Connectors and connectorization
- Splicing and terminations
- OTDR and test equipment theory, setup, measurement, and documentation
- Restoration and repair

In addition, the SFOT must have a minimum of one (1) year of work experience in the installation, splicing, and termination of fiber optic cable and in the testing of fiber optic cable using an optical time domain reflectometer (OTDR) and a power meter as primary job responsibilities.

The Contractor's installers performing any type of fiber optic work shall have successfully completed a minimum 16 hours total of instruction of which a minimum

of 8 hours must be hands-on instruction. The Contractor must demonstrate that the course curriculum included, at a minimum, the following topics:

- Fiber optic theory and principles
- Fiber types
- Cable types
- Safety
- Cable preparation
- Connectors and connectorization
- Splicing and terminations
- ODTR operation
- Restoration and repair

Detailed course curricula showing topics, total hours of instruction and hours of hands-on instruction along with a copy of a certificate of completion of the courses must be submitted for evaluation purposes.

56) Fiber Optic Cable Installation, Splicing, Termination and Testing – Intelligent Transportation System

In addition to the general skills requirement and the minimum skill requirements for Work Type 55 – Fiber Optic Cable Installation, Splicing, Termination and Testing – Traffic Signal System, the Contractor must demonstrate successful experience in performing each of the following:

1. a minimum of one thousand (1,000) splices of single mode and/or multimode fiber;
2. a minimum of two hundred (200) terminations of single mode and/or multimode fiber;
3. a minimum of five (5) miles in length of installation of outside plant fiber optic cable including at least one (1) contiguous segment at least one (1) mile in length.

57) Sealing of Concrete Surfaces with Epoxy or Non-epoxy Sealers

Experience. In addition to the general skills requirement, the Contractor must demonstrate successful experience and substantial compliance with all contract requirements on at least three (3) projects within the last five (5) years. The experience on the projects must involve the surface preparation and the application of the sealer.

Training. All supervisory personnel within the Contractor's organization that will direct and be responsible for the performance of this work must complete a Concrete Sealing pre-qualification course once every four (4) years. In addition, the Contractor's person assigned to supervise the Contractor's concrete sealing on a project must complete the Concrete Sealing pre-qualification course within not more than four (4) years prior to working on the project.



GOVERNMENT BUSINESS AND FUNDING CONTRACTS
In accordance with section 2909.33 of the Ohio Revised Code

DECLARATION REGARDING MATERIAL ASSISTANCE/NONASSISTANCE TO A TERRORIST ORGANIZATION

This form serves as a declaration of the provision of material assistance to a terrorist organization or organization that supports terrorism as identified by the U.S. Department of State Terrorist Exclusion List (see the Ohio Homeland Security Division website for a reference copy of the Terrorist Exclusion List).

Any answer of "yes" to any question, or the failure to answer "no" to any question on this declaration shall serve as a disclosure that material assistance to an organization identified on the U.S. Department of State Terrorist Exclusion List has been provided. Failure to disclose the provision of material assistance to such an organization or knowingly making false statements regarding material assistance to such an organization is a felony of the fifth degree.

For the purposes of this declaration, "material support or resources" means currency, payment instruments, other financial securities, funds, transfer of funds, and financial services that are in excess of one hundred dollars, as well as communications, lodging, training, safe houses, false documentation or identification, communications equipment, facilities, weapons, lethal substances, explosives, personnel, transportation, and other physical assets, except medicine or religious materials.

Form with fields: LAST NAME, FIRST NAME, MIDDLE INITIAL, HOME ADDRESS, CITY, STATE, ZIP, COUNTY, HOME PHONE, WORK PHONE.

COMPLETE THIS SECTION ONLY IF YOU ARE A COMPANY, BUSINESS OR ORGANIZATION

Form with fields: BUSINESS/ORGANIZATION NAME, BUSINESS ADDRESS, CITY, STATE, ZIP, COUNTY, PHONE NUMBER.

DECLARATION

In accordance with division (A)(2)(b) of section 2909.32 of the Ohio Revised Code

For each question, indicate either "yes," or "no" in the space provided. Responses must be truthful to the best of your knowledge.

- 1. Are you a member of an organization on the U.S. Department of State Terrorist Exclusion List?
2. Have you used any position of prominence you have with any country to persuade others to support an organization on the U.S. Department of State Terrorist Exclusion List?

GOVERNMENT BUSINESS AND FUNDING CONTRACTS - CONTINUED

- 3. Have you knowingly solicited funds or other things of value for an organization on the U.S. Department of State Terrorist Exclusion List?
 Yes No

- 4. Have you solicited any individual for membership in an organization on the U.S. Department of State Terrorist Exclusion List?
 Yes No

- 5. Have you committed an act that you know, or reasonably should have known, affords "material support or resources" to an organization on the U.S. Department of State Terrorist Exclusion List?
 Yes No

- 6. Have you hired or compensated a person you knew to be a member of an organization on the U.S. Department of State Terrorist Exclusion List, or a person you knew to be engaged in planning, assisting, or carrying out an act of terrorism?
 Yes No

In the event of a denial of a government contract or government funding due to a positive indication that material assistance has been provided to a terrorist organization, or an organization that supports terrorism as identified by the U.S. Department of State Terrorist Exclusion List, a review of the denial may be requested. The request must be sent to the Ohio Department of Public Safety's Division of Homeland Security. The request forms and instructions for filing can be found on the Ohio Homeland Security Division website.

CERTIFICATION

I hereby certify that the answers I have made to all of the questions on this declaration are true to the best of my knowledge. I understand that if this declaration is not completed in its entirety, it will not be processed and I will be automatically disqualified. I understand that I am responsible for the correctness of this declaration. I understand that failure to disclose the provision of material assistance to an organization identified on the U.S. Department of State Terrorist Exclusion List, or knowingly making false statements regarding material assistance to such an organization is a felony of the fifth degree. I understand that any answer of "yes" to any question, or the failure to answer "no" to any question on this declaration shall serve as a disclosure that material assistance to an organization identified on the U.S. Department of State Terrorist Exclusion List has been provided by myself or my organization. If I am signing this on behalf of a company, business or organization, I hereby acknowledge that I have the authority to make this certification on behalf of the company, business or organization referenced on page 1 of this declaration.

X _____
Signature

Date