

COUNTY OF MOORE  
NORTH CAROLINA

**INFORMAL BID**

ISSUE DATE: October 5, 2016

INFORMAL BID: 2017-03

TITLE: **WPCP Gravity Sewer Main and Flume Upgrade**

ISSUING DEPARTMENT: **COUNTY OF MOORE**  
**Financial Services**  
**206 S. Ray Street**  
**PO Box 905**  
**Carthage, NC, 28327**

**Sealed Bids** will be received until 4:30 PM Thursday October 20, 2016 from qualified firms for a **WPCP Gravity Sewer Main and Flume Upgrade at the Water Pollution Control Plant** for the County of Moore Public Works Department. **A MANDATORY Pre-bid meeting will be held at 10:30 am Wednesday October 12, 2016 at 1094 Addor Rd. Aberdeen, NC 28315.**

All inquiries for information concerning the Bid shall be directed to:

**Terra Vuncannon, Purchasing Manager**  
**PO Box 905**  
**206 South Ray Street**  
**Carthage, NC 28327**  
**(910) 947-7118**  
[tvuncannon@moorecountync.gov](mailto:tvuncannon@moorecountync.gov)

**Sealed Bids** shall be provided to Terra Vuncannon; it is the sole responsibility of the vendor to ensure that its bid reaches the Financial Services by the designated date and hour indicated above.

Firm Name: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

By: \_\_\_\_\_  
(Printed)

By: \_\_\_\_\_  
(Signature)

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**WPCP GRAVITY SEWER MAIN AND FLUME UPGRADE  
MOORE COUNTY PUBLIC WORKS DEPARTMENT**

**INSTRUCTIONS TO BIDDERS**

1. **Sealed Bid shall be submitted to the Issuing Department and include the enclosed Bid Form.** In order for a bid to be considered, it shall be based on the terms, conditions and specifications contained herein and shall be a complete response to this Informal Bid. The County reserves the right to make an award in whole, or in part, and to reject any and/or all bids, and to waive any informality in proposals unless otherwise specified by the Proposer. The Proposer shall sign the bid correctly and bids may be rejected if they show omissions, alterations of form, additions not called for, conditional proposals or any irregularities of any kind.
2. All labor costs, direct and indirect, shall have been determined and included in the proposal. The cost and availability of all equipment, materials, and supplies associated with performing the services described herein shall have been determined and included in the proposal. Do not include sales tax in proposal figures. The County pays sales tax and will add this to your proposal figures separately when invoices are paid. All price quotes shall include delivery to the delivery point, installation and set-up charges, as necessary. Goods shall be set in place ready for owner's use. All goods shall be new and of average quality. No remanufactured, refurbished or used goods will be accepted. Appropriate product information (e.g. brochures, catalog cuts, etc.) shall be included with the proposal.
3. After the Informal Bid issue date, all communications between the Issuing Department and prospective Proposers shall be in writing. No oral questions shall be accepted. Any inquiries, requests for interpretation, technical questions, clarifications, or additional information shall be directed to Terra Vuncannon at the address listed on page one if this solicitation or via e-mail to [tvuncannon@moorecountync.gov](mailto:tvuncannon@moorecountync.gov). All questions concerning this Informal Bid shall reference the section and page number. Questions and responses affecting the scope of goods will be provided to all prospective Bidder by issuance of an Addendum. **A MANDATORY Pre-bid meeting will be held at 10:30 am Wednesday October 12, 2016. All written questions shall be received by the Issuing Department no later than 10:00 pm Friday October 14, 2016. NO EXCEPTIONS.** All addendums pertaining to this Informal Bid will be posted to the County website at [www.moorecountync.gov](http://www.moorecountync.gov) within 24 – 48 business hours after the deadline for questions. **It is the bidder's responsibility to check the website for the addendums.**
4. The County will not be responsible for any oral instructions. Should a Proposer find discrepancies in, or omissions from the documents, or should be in doubt as to their meaning, s/he should at once notify the Issuing Department in writing, and a written addendum shall be issued. Acknowledgement of any Addendum received during the time of the proposal shall be noted on the Bid Form in the spaces provided. In closing of a contract, any Addendum issued shall become a part thereof. **It is the Proposer's responsibility to assure that all addenda have been reviewed and, if need be, signed and returned.**

5. Proposals will be examined promptly after opening and award will be made at the earliest possible date. The prices quoted must be held firm, and no proposals may be withdrawn until **90 days** after proposal opening date. The County reserves the right to conduct any test/inspection it may deem advisable to ensure services/materials/supplies/equipment, as appropriate, conform to specifications.
6. Pursuant to North Carolina General Statutes Section 143-131, “award shall be made to the lowest responsible, responsive bid or bidders, taking into consideration quality, performance and the time specified in the proposals for the performance of the contract.”
7. The materials/supplies/equipment furnished under any resulting contract shall be covered by the manufacturer’s most favorable commercial warranty. Each Proposer shall plainly set forth the warranty for the goods in the proposal. Operations and maintenance manuals for equipment shall also be provided, as appropriate.
8. All purchases for goods or services are subject to the availability of funds for this particular purpose.
9. The contractor shall not represent itself to be an agent of the County.
10. The General Statutes of the State of North Carolina, insofar as they apply to purchasing and competitive bidding, are made a part hereof.
11. The County of Moore is committed to creating and maintaining an environment free from harassment and other forms of misconduct that fundamentally compromise the working environment of the County. All contractors performing work/services at a County facility shall take all necessary steps to assure that none of its employees engage in harassment or intimidation relating to personal beliefs or characteristics of anyone on the County’s premises, including but not limited to, race, religion, age, color, sex, national origin or disability. Such harassment is unacceptable and will not be condoned in any form at the County of Moore. If such conduct occurs, the contractor will take all necessary steps to stop it and prevent its future occurrence. This policy shall be strictly enforced.
12. For all the work being performed under this Contract, the County of Moore has the right to inspect, examine, and make copies of any and all books, accounts, records and other writing relating to the performance of the work. Audits shall take place at times and locations mutually agreed upon by both parties, although the vendor/contractor must make the materials to be audited available within one (1) week of the request for them.
13. The Proposer agrees that it will not identify the County of Moore as a client in any other proposal, resume, or informational brochure without first requesting and obtaining, in writing, the permission of the County of Moore Board of Commissioners.
14. All Proposers must complete and submit the Vendor Form with their proposal package. This information will be used to create or update the County’s vendor file.

15. Proposers are cautioned that this is an informal bid, not a request for contract, and the County of Moore reserves the right to reject any and/or all proposals. It further reserves the right to waive informalities insofar as it is authorized so to do where it deems it advisable in protection of the best interests of the County.
16. Proposals will be tabulated, evaluated and a recommendation presented to the County of Moore Board of Commissioners for their approval.
17. Any and all exceptions to the Specifications must be stated in writing, giving complete details of what is to be furnished in lieu of requested Specifications.
18. The County of Moore reserves the right to cancel and terminate any resulting contract, in whole or in part, without penalty, upon forty-five (45) days' notice to the Vendor(s). Any contract cancellation shall not relieve the Vendor(s) of the obligation to deliver any outstanding services issued prior to the effective date of the cancellation.
19. **Proposals in one (1) original and two (2) copies will be received from each Proposer in a sealed envelope or package.** Each original shall be signed and dated by an official authorized to bind the form. Unsigned proposals will not be considered.
20. Upon receipt by Moore County Financial Services, your Proposal is considered a public record except for material which qualifies as "trade secret" information under N.C. Gen. Stat. 66-152 et. seq. After the Proposal opening, your Proposal may be reviewed by the County's evaluation committee, as well as other County staff and members of the general public who submit public records requests. To properly designate material as trade secret under these circumstances, each Proposer must take the following precautions: (a) any trade secrets submitted by a Proposer must be submitted in a separate, sealed envelope marked "Trade Secret — Confidential and Proprietary Information — Do Not Disclose Except for the Purpose of Evaluating this Proposal," and (b) the same trade secret/confidentiality designation must be stamped on each page of the trade secret materials contained in the envelope.

In submitting a Proposal, each Proposer agrees that the County may reveal any trade secret materials contained in such response to all County staff and County officials involved in the selection process, and to any outside consultant or other third parties who serve on the evaluation committee or who are hired by the County to assist in the selection process. Furthermore, each Proposer agrees to indemnify and hold harmless the County and each of its officers, employees, and agents from all costs, damages, and expenses incurred in connection with refusing to disclose any material which the Proposer has designated as a trade secret. Any Proposer that designates its entire Proposal as a trade secret may be disqualified.

21. Proposer shall comply with the North Carolina Workers' Compensation Act and shall provide for the payment of workers' compensation to its employees in the manner and to the extent required by such Act. In addition the Provider shall maintain, at its expense,

the following minimum insurance coverage:

General Liability - \$2,000,000  
Auto Liability - \$2,000,000  
Umbrella Coverage - \$5,000,000

22. Contractor must have active North Carolina Public Utilities Contractors License or a PU (Water Lines and Sewer Lines) Specialty License.

## SPECIAL PROVISIONS

1. COMPLETION TIME: Work shall begin with adequate forces and materials after the Service Contract is signed by the County. Work shall progress on a constant productive pace. Substantial Completion shall be within **Two-Hundred and Ten (210)** calendar days and **Two-Hundred and Forty (240)** calendar days for Final Completion.
2. LIQUIDATED DAMAGES: **\$500** per Day after Substantial Completion and **\$200** per Day after Final Completion.
3. CONTRACTOR QUALIFICATIONS: The Contractor shall be required to demonstrate experience in installation of Sanitary Sewer Lines and is a General Contractor certified in Public Utilities.
4. SUBLETTING OF CONTRACT: The Contractor shall not sublet, sell, transfer, assign or otherwise dispose of this contract or any portion thereof; or his right, title, or interest therein; without written consent of the County Engineer.
5. DEFAULT OF CONTRACT: Moore County shall have the right to declare a default of contract for breach by the Contractor of any material, term or condition of the contract.
6. SUPERVISION BY CONTRACTOR: At all times during the life of the project the Contractor shall provide one permanent employee who shall have the authority and capability for overall responsibility of the project and who shall be personally available at the work site within a 24 hour notice. This employee shall be experienced in the type of work being performed and shall be fully capable of managing, direction, and coordination of the work; of reading and thoroughly understanding the contract; and receiving and carrying out directions from the Engineer or his authorized representatives. He shall be an employee of the Contractor unless otherwise approved by the County Engineer.
7. AUTHORITY OF THE ENGINEER: The Engineer for this project shall be the County Engineer for Moore County Public Works Department, acting directly or through the Public Works Director. The County Engineer will answer all questions which may arise as to the quality and acceptability of work performed and as to the rate of progress of the work; all questions which may arise as to the interpretation of the contract; and all questions as to the acceptable fulfillment of the contract on the part of the contractor. The County Engineer's decision shall be final and shall have executive authority to enforce and make effective such decisions and orders if the contractor fails to carry out promptly.
8. PROJECT MEETINGS: The County Engineer shall schedule a pre-construction conference with the contractor, his field supervisor and the County technical staff. The purpose of the meeting shall be to establish project administrative criteria, review the Contractor's submittal and/or approve shop drawings and discuss construction schedules and methods, and other items that may be on the party's agenda. The County Engineer may also schedule

construction progress meetings at various times during the execution of the contract if needed.

9. SAFETY REQUIREMENTS: The Contractor shall comply with the “Rules and Regulations Governing the Construction Industry” as promulgated for the Health, Safety and General Welfare of Employees by the Commission of Labor under North Carolina General Statutes, Section 95-131. In addition, the Contractor shall assume responsibility for and comply with the Department of Labor Safety and Health Act of 1970. Where the requirements of these acts are in excess of those requirements specified, the requirements of these acts shall govern.
10. TRAFFIC CONTROL: The Contractor shall maintain traffic during construction and provide, install, and maintain all traffic control devices in accordance with the project guidelines, the Special Provisions, North Carolina Department of Transportation “Standard Specifications for Roads and Structures”, the current edition of the “Manual of Uniform Traffic Control Devices” (MUTCD) and any special local laws or ordinances.
11. INTERPRETATION OF QUANTITIES IN SCHEDULE OF BID ITEMS: The quantities contained in the Bid Items are approximate only. They are listed for the comparison of Bids. Payment to the contractor will be made only for actual quantities of work performed and accepted in accordance with the contract. The scheduled quantities of work to be performed and materials to be furnished may each be increased, decreased or omitted.
12. SHORING: Sloping or benching will not be allowed in areas where the slopes and spoils would exceed the Easements or of the discretion of the County Engineer. Trench shields shall be used in deeper areas designated by the County Engineer.
13. WORK TIME: Work hours shall be between 7:00 AM to 6:00 PM, Monday - Friday. Moore County does not work on weekend so work that requires inspection is **NOT** allowed on Saturday. Work shall **NOT** be scheduled on County Holidays. See General Conditions for more details.
14. DATA AND MEASUREMENTS: The data given in the Invitation for Bids and shown on the Plans is believed to be accurate but the accuracy is not guaranteed. The Contractor must take all levels, locations, measurements and verify all dimensions of the job site prior to construction and must adapt his work into the exact construction.
15. AS-BUILT PLANS: The Contractor shall maintain, in readable condition at the job site, one complete set of working drawings. Upon completion of the project, the Contractor shall provide the County Engineer one complete set of as-built drawings.
16. LIABILITY: The Contractor shall be liable for any wastewater spills, damage to adjacent property, other utilities or other properties.
17. WATER OUTAGE: The Contractor shall coordinate water outages with County Engineer. The water outages shall be advertised and notices sent to customers at a minimum of 3 days

(72 hours) before outage occurs. All valves shall be closed or opened **ONLY** by Moore County.

#### 18. BY-PASS PUMPING:

##### By-Pass Pump #1

- 1) Install Plug on the influent side of Manhole #1 (See Project Drawings).
- 2) Install the By-Pass pump to pull from Manhole #2 (The manhole upstream from Manhole #1) and discharge into the WPCP Influent Control Box.
- 3) **\*\*Install the pipe section between Manhole #1 and Manhole #10.**
- 4) Test the pipe section between Manhole #1 and Manhole #10 and get Moore County approval for use.
- 5) Remove the plug from Manhole #1 and install the plug on the influent side of Manhole #10.
- 6) Install the By-Pass pump to pull from Manhole #10 and discharge into the WPCP Influent Control Box.

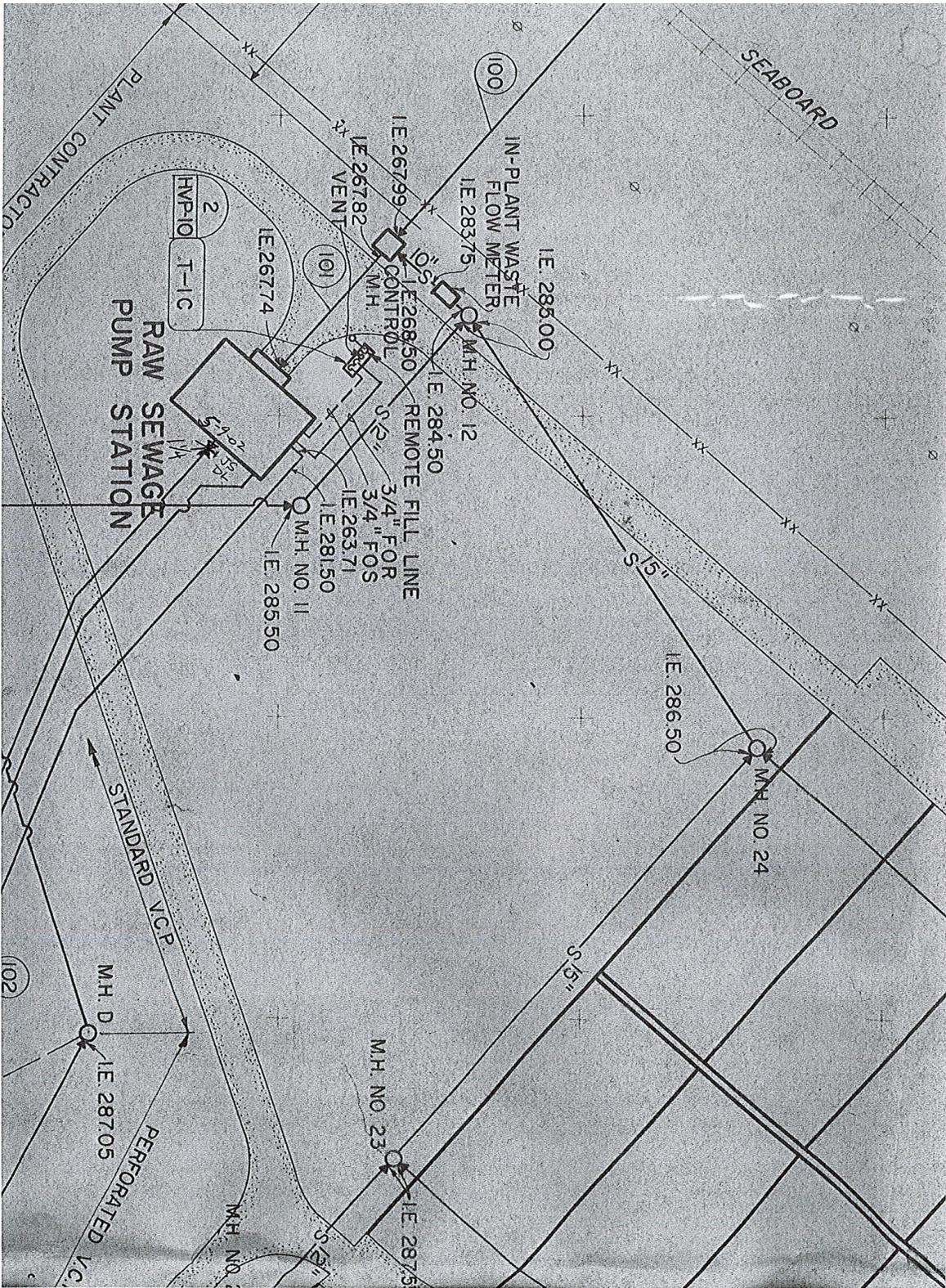
##### By-Pass Pump #2

- 7) Install both Plugs on the influent side of Manhole #24. One will be for the sewer main and one will be for the drain pipe (See Picture Below).
- 8) Install the By-Pass pump to pull from Manhole #23 (The manhole upstream from Manhole #24) and discharge into the WPCP Influent Control Box.
- 9) The drain line will be allowed to back up. If the drain pipe needs to be By-Passed, then that will be the responsibility of Moore County.

##### Construction Period

- 10) Install the remainder of the project.
- 11) Test the remainder of the project and get Moore County approval for use.
- 12) Put new gravity sewer mains and flume into operation.
- 13) Remove all By-Pass Pumping equipment.

**\*\*The existing Sand Filters cannot be down more than 18 hours so this section of pipe cannot take more than 18 hours to install, test, get approval and put back on line. The contractor must submit a detailed By-Pass Pumping Plan for this section specifically what construction steps will be taken before pipe is taken off line and what construction steps will be taken during the By-Pass Pumping.**



**WPCP GRAVITY SEWER MAIN AND FLUME UPGRADE  
MOORE COUNTY PUBLIC WORKS DEPARTMENT**

**BID FORM**

This Bid consist of equipment, labor, materials, and traffic control for the **WPCP Gravity Sewer Main and Flume Upgrade** project. Use this form for submitting Bids. No alterations, changes in Bid format will be allowed. All items should be priced for the units and quantities specified. The County of Moore shall reserve the right to reject any or all Bids. Opening will not be public.

<b>WPCP Gravity Sewer Main and Flume Upgrade</b>					
	Item Description	Quantity	Unit	Unit Cost	Total Cost
1	Mobilization	1	LS		
2	18" SDR 26 (0' - 6' Cut)	200	LF		
3	18" SDR 26 (10' - 12' Cut)	110	LF		
4	18" SDR 26 (14' - 16' Cut)	70	LF		
5	18" Cores in Manholes	7	EA		
6	Precast Concrete Box for Flume (Materials & Installation)	1	LS		
7	9" Parshall Flume (Materials & Installation)	1	LS		
8	Cast-In-Place Channel	1	LS		
9	Grating	1	LS		
10	Control Box 18" Inside Drop	1	LS		
11	Control Box 18" Suction Line	1	LS		
12	Concrete Pier for Suction Line	1	EA		
13	Stainless Steel Bracket and Straps	11	EA		
14	Concrete Block Retaining Wall	1	LS		
15	Seed & Mulch	0.2	AC		
16	Stone	90	TON		
17	Asphalt Patch	30	SY		
18	Temporary Silt Fence	300	LF		
19	Testing	380	LF		
<b>Total Construction Cost</b>					

**Responsive Bid must include the following documents:**

- 1. Signed Bid Form**
- 2. Notarized Non-Collusion Affidavit**
- 3. Notarized E-Verify Affidavit**
- 4. Iran Divestment Act Certification**
- 5. Current W-9 Form**
- 6. Vendor Application (including references, equipment and resumes)**
- 7. Copy of all pertinent licenses**
- 8. Proof of Insurance**

On behalf of \_\_\_\_\_ (Bidder), I am submitting a bid for the **WPCP Gravity Sewer Main and Flume Upgrade** project. This Bid covers equipment, labor, materials, traffic control and all other incidentals to complete the project. I certify that the contents of this Bid are known to no one outside the undersigned, and to the best of my knowledge all requirements have been complied with.

By: \_\_\_\_\_  
(Printed)

By: \_\_\_\_\_  
(Signature)

Date: \_\_\_\_\_

Receipt of the following addendum is acknowledged:

Addendum No. \_\_\_\_\_ Received: (circle) YES / NO Date: \_\_\_\_\_

Addendum No. \_\_\_\_\_ Received: (circle) YES / NO Date: \_\_\_\_\_

Addendum No. \_\_\_\_\_ Received: (circle) YES / NO Date: \_\_\_\_\_

**NON-COLLUSION AFFIDAVIT**

State of North Carolina  
County of Moore

I \_\_\_\_\_, being first duly sworn, deposes and says that:

He/She is the \_\_\_\_\_ of \_\_\_\_\_, the proposer that has submitted the attached proposal;

He/She is fully informed respecting the preparation and contents of the attached proposal and of all pertinent circumstances respecting such proposal;

Such proposal is genuine and is not a collusive or sham proposal;

Neither the said Proposer nor any of its officers, partners, owners, agents, representatives, Employees or parties of interest, including this affiant, has in any way colluded, conspired, connived or agreed, directly or indirectly, with any other Proposer, firm or person to submit a collusive or sham proposal in connections with the contract for which the attached proposal has been submitted or to refrain from bidding in connection with such contract, or has in any manner, directly or indirectly, sought by agreement or collusion or communication or conference with any other Proposer, firm or person to fix the price or prices in the attached proposal or of any other Proposer or to fix overhead, profit or cost element of the proposal price of any other Proposer or to secure through collusion, conspiracy, connivance or unlawful agreement any advantage against the County of Moore or any person interested in the proposed contract; and

The price or prices quoted in the attached bid are fair, proper and are not tainted by any collusion, conspiracy, connivance or unlawful agreement on the part of the Proposer or any of its agents, representatives, owners, employees, or parties in interest, including this affiant.

\_\_\_\_\_  
Signature and Title

State of North Carolina  
County of \_\_\_\_\_  
Subscribed and sworn before me,  
This \_\_\_\_ day of \_\_\_\_\_, 2016

\_\_\_\_\_  
Notary Public  
My commission expires \_\_\_\_\_

**Moore County E-Verify Affidavit**

STATE OF NORTH CAROLINA

AFFIDAVIT

COUNTY OF MOORE

I, \_\_\_\_\_ (the individual attesting below), being duly authorized by and on behalf of \_\_\_\_\_ (the entity bidding on project hereinafter "Employer") after first being duly sworn hereby swears or affirms as follows:

1. Employer understands that E-Verify is the federal E-Verify program operated by the United States Department of Homeland Security and other federal agencies, or any successor or equivalent program used to verify the work authorization of newly hired employees pursuant to federal law in accordance with NCGS §64-25(5).
2. Employer understands that Employers Must Use E-Verify. Each employer, after hiring an employee to work in the United States, shall verify the work authorization of the employee through E-Verify in accordance with NCGS§64-26(a).
3. Employer is a person, business entity, or other organization that transacts business in this State and that employs 25 or more employees in this State. (mark Yes or No)
  - a. YES \_\_\_\_\_, or
  - b. NO \_\_\_\_\_
4. Employer's subcontractors comply with E-Verify, and if Employer is the winning bidder on this project Employer will ensure compliance with E-Verify by any subcontractors subsequently hired by Employer.

Executed, this \_\_\_\_ day of \_\_\_\_\_, 2016.

\_\_\_\_\_  
Signature of Affiant  
Print or Type Name: \_\_\_\_\_

State of North Carolina  
County of \_\_\_\_\_

Signed and sworn to (or affirmed) before me, this the \_\_\_\_  
day of \_\_\_\_\_, 2016.

My Commission Expires:

\_\_\_\_\_  
Notary Public

(Affix Official/Notarial Seal)

RFP Number (if applicable): \_\_\_\_\_

Name of Vendor or Bidder: \_\_\_\_\_  
\_\_\_\_\_

**IRAN DIVESTMENT ACT CERTIFICATION  
REQUIRED BY N.C.G.S. 147-86.59**

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As of the date listed below, the vendor or bidder listed above is not listed on the Final Divestment List created by the State Treasurer pursuant to N.C.G.S. 147-86.58.

The undersigned hereby certifies that he or she is authorized by the vendor or bidder listed above to make the foregoing statement.

---

Signature \_\_\_\_\_ Date \_\_\_\_\_

---

Printed Name \_\_\_\_\_ Title \_\_\_\_\_

*Notes to persons signing this form:*

N.C.G.S. 147-86.59(a) requires this certification for bids or contracts with the State of North Carolina, a North Carolina local government, or any other political subdivision of the State of North Carolina. The certification is required at the following times:

- When a bid is submitted
- When a contract is entered into (if the certification was not already made when the vendor made its bid)
- When a contract is renewed or assigned

N.C.G.S. 147-86.59(b) requires that contractors with the State, a North Carolina local government, or any other political subdivision of the State of North Carolina must **not** utilize any subcontractor found on the State Treasurer's Final Divestment List.

The State Treasurer's Final Divestment List can be found on the State Treasurer's website at the address [www.nctreasurer.com/iran](http://www.nctreasurer.com/iran) and will be updated every 180 days.



# Vendor Application

**County of Moore**  
 Financial Services – Purchasing Division  
 PO Box 905  
 Carthage, NC 28327  
 Phone: (910) 947 - 7118  
 Fax: (910) 947 - 6311

Please Type or Print Legibly

Federal ID # \_\_\_\_\_ SS # \_\_\_\_\_ Vendor

Vendor Name \_\_\_\_\_

Date \_\_\_\_\_

# \_\_\_\_\_

ORDER ADDRESS		PAY ADDRESS	
Street		Street	
Street		Post Office Box	
City		City	
State	Zip Code	State	Zip Code

CONTACT PERSON	TELEPHONE NUMBER	FAX NUMBER
----------------	------------------	------------

YEAR ESTABLISHED	TERMS	DISCOUNT
------------------	-------	----------

CONTRACTOR'S LICENSE # (if applicable)	SIGNATURE
	EMAIL ADDRESS:

This firm certifies that it is a: (if applicable)

- Disabled Enterprise     
  Minority Business Enterprise     
  Women Business Enterprise

To qualify for MWBE status, 51% of the company must be owned and controlled by minority groups or women. For the purpose of this definition, minority group members are Black Americans, Hispanic Americans, American Indians and/or American Women. To qualify for Disabled status, 51% of the company must be owned and controlled by disabled persons.

## Product(s) and/or Service(s)

Please list the type product(s) and/or Service(s) that your company can provide.

\_\_\_\_\_

\_\_\_\_\_

**WPCP SEWER MAIN AND FLUME UPGRADE  
MOORE COUNTY PUBLIC WORKS DEPARTMENT**

**REFERENCES, EQUIPMENT AND RESUMES**

Please list references, available equipment and resumes.

**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.	1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.	
	2 Business name/disregarded entity name, if different from above	
	3 Check appropriate box for federal tax classification; check only one of the following seven boxes: <input type="checkbox"/> Individual/sole proprietor or single-member LLC <input type="checkbox"/> Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ _____ <b>Note.</b> For a single-member LLC that is disregarded, do not check LLC; check the appropriate box in the line above for the tax classification of the single-member owner. <input type="checkbox"/> Other (see Instructions) ▶ _____	4 Exemptions (codes apply only to certain entities, not individuals; see Instructions on page 3): Exempt payee code (if any) _____ Exemption from FATCA reporting code (if any) _____ (Applies to accounts maintained outside the U.S.)
	5 Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
	6 City, state, and ZIP code	
	7 List account number(s) here (optional)	

**Part I Taxpayer Identification Number (TIN)**

Enter your TIN in the appropriate box. The TIN provided must match the name given on line 1 to avoid backup withholding. For individuals, this is generally your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the 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.

**Note.** If the account is in more than one name, see the instructions for line 1 and the chart on page 4 for guidelines on whose number to enter.

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

**Part II Certification**

Under penalties of perjury, I certify that:

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

**Certification instructions.** You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 3.

<b>Sign Here</b>	Signature of U.S. person ▶	Date ▶
------------------	----------------------------	--------

**General Instructions**

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

**Future developments.** Information about developments affecting Form W-9 (such as legislation enacted after we release it) is at [www.irs.gov/w9](http://www.irs.gov/w9).

**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 might be subject to backup withholding. See *What is backup withholding?* on page 2.

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?* on page 2 for further information.