

**NOTICE OF COMMENCEMENT OF PUBLIC IMPROVEMENT**  
Section 1311.252 Ohio Revised Code

State of Ohio, County of Pickaway

Notice is hereby given by the undersigned public authority ("Ohio Department of Transportation") of the commencement of a public improvement ("Project") as follows:

(1) The Project is identified as:

Project # 200143  
Location : Pickaway      SR 316/SR 752-13.05/00.00

(2) The Public Authority responsible for the Project is:

**Ohio Department of Transportation, Office of Accounting (Mail Stop 2120)**  
**1980 West Broad Street, Columbus, Ohio 43223**

(3) The principal contractor on the project:

AMAAZZ CONSTRUCTION OHIO LLC  
545 METRO PLACE SOUTH, SUITE 201  
DUBLIN, OH 43017  
Trade: TWO LANE RESURFACING

(4) The name and address of the surety for the principal contractor:

Principal Contractor

AMAAZZ CONSTRUCTION OHIO LLC  
545 METRO PLACE SOUTH, SUITE 201  
DUBLIN, OH 43017

Surety

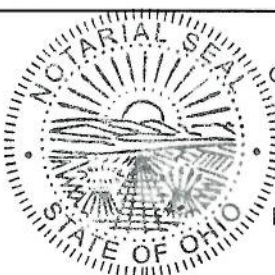
FIDELITY & DEPOSIT CO OF MARYLAND

Agent

AMY M. PERDUE  
1600 WEST LANE AVE, SUITE 200  
COLUMBUS, OH 43221

(5) The name and address of the representative of the Ohio Department of Transportation upon whom service may be made for the purposes of serving an affidavit pursuant to Section 1311.26 of the Ohio Revised Code is:

**Administrator, Division of Construction Management (Mail Stop 4110)**  
**1980 West Broad Street, Columbus, Ohio 43223**



CLAUDETTE R. DURHAM  
NOTARY PUBLIC  
STATE OF OHIO  
Recorded in  
Franklin County  
My Comm. Exp. 9/28/2023

Ohio Department of Transportation  
Public Authority

By: *Dal St*  
Letting Manager  
Division of Construction Management

The signator of this Notice of Commencement of Public Improvement ("Notice") personally appeared before me on behalf of the Ohio Department of Transportation, a notary public in and for said county, and swore that all of the information in the Notice is true and he/she verily believes and further that he/she is fully authorized by the Ohio Department of Transportation to give said notice.

Sworn to and subscribed before me

Mar 26 2020  
(Date)

*Claudette R. Durham*  
Notary Public

EXEMPTION CERTIFICATE

(Construction Contract)

Identification of contract as will appear on orders to be exempted.

Project # 200143  
Contract # 200143  
County: Pickaway

The undersigned hereby certifies, that the articles of tangible personal property or services purchased under this certificate were purchased for incorporation into:

- (x) A structure or improvement to real property under a construction contract with the State of Ohio or a political subdivision thereof.
- ( ) A house of public worship or religious education.
- ( ) A building used exclusively for charitable purposes under a construction contract with a non-profit organization operated exclusively for the relief of poverty, the improvement of health through the alleviation of illness, disease, or injury, or the promotion of education by an institution of learning which maintains a faculty of qualified instructors, teaches regular continuous courses of study and confers a recognized diploma upon completion of a specific curriculum.
- ( ) A structure or improvement to real property which is accepted for ownership by this state or any of its political subdivisions at the time of completion of such structures or improvements.

This certificate shall be considered part of each order for the specific contract identified above and shall be retained by the vendor. The certificate must be signed by both the contractor and the contractee.

Signed AMAAZZ CONSTRUCTION OHIO LLC  
 \_\_\_\_\_  
 By \_\_\_\_\_  
 Title \_\_\_\_\_  
 Address \_\_\_\_\_  
 \_\_\_\_\_  
 Date \_\_\_\_\_  
 (Prime Contractor)

Signed Jack Horvath/DES  
 Director of Transportation  
 Address Ohio Department of Transportation  
 1980 West Broad Street  
 Columbus, Ohio 43223  
 Date 3/19/2020  
 (Contractee)

Signed \_\_\_\_\_  
 By \_\_\_\_\_  
 Title \_\_\_\_\_  
 Address \_\_\_\_\_  
 \_\_\_\_\_  
 Date \_\_\_\_\_  
 (Sub Contractor)

Show name of political subdivision if improvement is to be accepted by one.

Department of Transportation

STATE OF OHIO  
**PURCHASE ORDER**  
OHIO DEPARTMENT OF TRANSPORTATION

PAGE: 1 of 6

P.O. DATE: 4/3/2020

ODOT P.O. NUMBER: 501947

DOCUMENT TYPE: CNTE

CHANGE ORDER: SLD

OAKS P.O. NUMBER:

PID NUMBER	CONTRACT/BID/OIH		CONTROL BOARD NBR	DOC AMOUNT	
107824	DOTP200143-1			\$2,748,793.40	
PROJECT NBR	SIB LOAN NBR	AGREEMENT NBR	COUNTY	ROUTE	SECTION
200143			PIC	316	13.0

**VENDOR INFORMATION:**

NAME: AMAAZZ CONSTRUCTION OHIO,  
ADDRESS: 400 W WILSON BRIDGE ROAD, STE 230

OAKS VENDOR NBR: 0000265090  
ADDRESS CODE: 001

CITY, STATE WORTHINGTON, OH  
ZIP CODE: 43085

**DESCRIPTION:**

TWO LANE RESURFACING



STATE OF OHIO  
**PURCHASE ORDER**  
 OHIO DEPARTMENT OF TRANSPORTATION

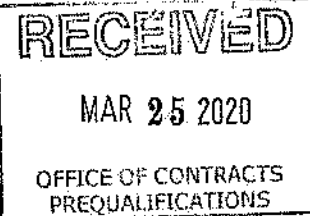
PAGE: 3 of 6

LINE NBR	FUND	FISCAL YEAR	SAC	SPRC	RCAT	ACTIVITY	ACCOUNT CODE
01	7002	2020	4PS7	0006	NOCC	0071	573200
<b>ELIGIBILITY</b>		<b>FAN</b>		<b>STATE JOB NBR</b>		<b>LINE AMOUNT</b>	
E		DOT1E190 000151		468178		\$79,221.93	
LINE NBR	FUND	FISCAL YEAR	SAC	SPRC	RCAT	ACTIVITY	ACCOUNT CODE
02	7002	2020	4PF7	0006	NOCC	0071	573200
<b>ELIGIBILITY</b>		<b>FAN</b>		<b>STATE JOB NBR</b>		<b>LINE AMOUNT</b>	
E		DOT1E190 000151		468178		\$316,887.72	
LINE NBR	FUND	FISCAL YEAR	SAC	SPRC	RCAT	ACTIVITY	ACCOUNT CODE
03	7002	2020	4PS7	0006	NOCC	0071	573200
<b>ELIGIBILITY</b>		<b>FAN</b>		<b>STATE JOB NBR</b>		<b>LINE AMOUNT</b>	
E		DOT1E190 000151		468178		\$237,345.16	
LINE NBR	FUND	FISCAL YEAR	SAC	SPRC	RCAT	ACTIVITY	ACCOUNT CODE
04	7002	2020	4PF7	0006	NOCC	0071	573200
<b>ELIGIBILITY</b>		<b>FAN</b>		<b>STATE JOB NBR</b>		<b>LINE AMOUNT</b>	
E		DOT1E190 000151		468178		\$949,380.66	
LINE NBR	FUND	FISCAL YEAR	SAC	SPRC	RCAT	ACTIVITY	ACCOUNT CODE
05	7002	2020	4PS7	0006	NOCC	0071	573200
<b>ELIGIBILITY</b>		<b>FAN</b>		<b>STATE JOB NBR</b>		<b>LINE AMOUNT</b>	
E		DOT2E190 000151		468178		\$6,742.95	
LINE NBR	FUND	FISCAL YEAR	SAC	SPRC	RCAT	ACTIVITY	ACCOUNT CODE
06	7002	2020	4PF7	0006	NOCC	0071	573200
<b>ELIGIBILITY</b>		<b>FAN</b>		<b>STATE JOB NBR</b>		<b>LINE AMOUNT</b>	
E		DOT2E190 000151		468178		\$26,971.82	
LINE NBR	FUND	FISCAL YEAR	SAC	SPRC	RCAT	ACTIVITY	ACCOUNT CODE
07	7002	2020	4PS7	0006	NOCC	0071	573200
<b>ELIGIBILITY</b>		<b>FAN</b>		<b>STATE JOB NBR</b>		<b>LINE AMOUNT</b>	
E		DOT1E190 000151		468178		\$45,709.75	
LINE NBR	FUND	FISCAL YEAR	SAC	SPRC	RCAT	ACTIVITY	ACCOUNT CODE
08	7002	2020	4PF7	0006	NOCC	0071	573200
<b>ELIGIBILITY</b>		<b>FAN</b>		<b>STATE JOB NBR</b>		<b>LINE AMOUNT</b>	
E		DOT1E190 000151		468178		\$182,839.02	
LINE NBR	FUND	FISCAL YEAR	SAC	SPRC	RCAT	ACTIVITY	ACCOUNT CODE
09	7002	2020	4BG6	0006	NOCC	0071	573200
<b>ELIGIBILITY</b>		<b>FAN</b>		<b>STATE JOB NBR</b>		<b>LINE AMOUNT</b>	
I		DOT1E190 000151		468178		\$900,703.00	
LINE NBR	FUND	FISCAL YEAR	SAC	SPRC	RCAT	ACTIVITY	ACCOUNT CODE
10	7002	2020	4BG7	0006	NOCC	0071	573200
<b>ELIGIBILITY</b>		<b>FAN</b>		<b>STATE JOB NBR</b>		<b>LINE AMOUNT</b>	
I		DOT1E190 000151		468178		\$2,991.39	

STATE OF OHIO  
**PURCHASE ORDER**  
OHIO DEPARTMENT OF TRANSPORTATION

PAGE: 5 of 6

THE DIRECTOR OF BUDGET AND MANAGEMENT HEREBY CERTIFIES THAT THERE IS A BALANCE IN THE APPROPRIATION NOT ALREADY OBLIGATED TO PAY EXISTING OBLIGATIONS IN AN AMOUNT AT LEAST EQUAL TO THE PORTION OF THE CONTRACT, AGREEMENT, OBLIGATION, RESOLUTION OR ORDER TO BE PERFORMED IN THE CURRENT FISCAL YEAR.



Project # 200143  
Contract # 200143  
PID # 107824  
Federal # E190(151)

STATE OF OHIO  
DEPARTMENT OF TRANSPORTATION  
COLUMBUS, OHIO

AGREEMENT, PROPOSAL, AND CONTRACT BOND FOR:

Principal County: Pickaway

Route / Section: SR 316/SR 752-13.05/00.000 (PART 1 AND PART 2)

Contractor: AMAZZ CONSTRUCTION OHIO LLC

545 METRO PLACE SOUTH, SUITE 201  
DUBLIN, OH 43017  
614-454-3303

Contract Price: \$2,748,793.40

\* NOTE \*

The Standard CONSTRUCTION AND MATERIAL SPECIFICATIONS and GENERAL CLAUSES and COVENANTS of the OHIO DEPARTMENT OF TRANSPORTATION referenced in the proposal are incorporated herein as fully and completely as if attached hereto and made a part hereof in accordance with the order of precedence set forth in CMS §105.04.

Project # 200143  
Contract # 200143  
PID # 107824  
Federal # E190(151)

**AGREEMENT**

UNIT CONTRACT PRICE - SEE SECTIONS 5525.11 AND 5531.02 R.C. OF OHIO

This Agreement, made this 26<sup>th</sup> day of March A.D. 20 20  
(Do not fill in above date)

between the State of Ohio, hereinafter called the party of the first part, and  
AMAAZZ CONSTRUCTION OHIO LLC

of DUBLIN, OH 43017

and successors, executors, administrators and assigns, hereinafter called the party of the second part.

WITNESSETH: That for and in consideration of payments hereinafter mentioned, to be made by party  
of the first part, party of the second part agrees to furnish all materials excepting the following:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

and all appliances, tools, and labor, and perform all the work required for  
County Pickaway Route / Section SR 316/SR 752-13.05/00.000 (PART 1 AND PART 2)  
in the State of Ohio, according to the plans and specifications and estimates and to the satisfaction  
and acceptance of the party of the first part \*and subject to inspection at all times and approval of  
the Federal Highway Administration, and in accordance with the laws of the State of Ohio and the  
rules and regulations pursuant to the Federal Highway Act of November 9, 1921 (42 U.S. Statutes at  
large, p. 212) entitled "An Act to provide that the United States shall aid the States in the construction  
of rural post roads, and for other purposes."\*

The party of the second part further covenants and agrees that the following papers shall be bound  
with or accompany, and be an essential part of this contract: Notice to Contractors, plans and  
specifications, Agreement, Contract Performance Bond and Payment Bond, and proposal.

\* - \* This part of agreement applies to Federal Aid Projects only.



In consideration of the premises the party of the first part agrees to pay to the party of the second part the appropriate sum of

TWO MILLION SEVEN HUNDRED FORTY EIGHT THOUSAND SEVEN HUNDRED NINETY THREE AND 40/100 DOLLARS

( \$2,748,793.40 ) The actual sum to be paid, however, will be the aggregate total determined by the work actually performed by the party of the second part, calculated upon the unit price set out in his proposal hereto attached and made a part hereof.

IN WITNESS WHEREOF, the party of the first part has hereunto subscribed by its Director of Transportation or the duly authorized Director's Designee under Ohio Revised Code §5501.43, and the party of the second part has affixed its name.

Attest Karen Crago  
Witness to the Director

STATE OF OHIO  
By Jack Harribanks  
Director of Transportation

**Important Notice**  
If an individual doing business under a firm name, so state, giving both names.  
If a partnership, so state, giving names and post office addresses of all partners, on lines opposite.  
If a corporation, give full corporation name and state under the laws of what state you are incorporated; officer signing should add his title after his signature and furnish certificate of power to sign.

**CONTRACTOR**  
Amaazz Construction Ohio, LLC  
By James A. Barna  
545 Metro Place South, Suite 201  
Dublin, OH 43017  
An Ohio Corporation  
March 23, 2023  
(Date Signed by Contractor)

**NOTICE**

**Instructions to Contractors in regard to furnishing Contract Performance and Payment Bonds.**

If a surety company bond is furnished, each bond must be accompanied by a Power of Attorney of the Agent of the Company signing same, showing that said agent is authorized to execute bonds in a sum sufficient to cover the amount of the bond in each particular case. Each bond must also be accompanied by certificates signed by the Superintendent of the Division of Insurance, State of Ohio, showing that said Company is authorized to do business in Ohio and by a recent financial statement of said Surety Company.

If personal bonds are given, it is necessary that the "Justification of Sureties" which will be found immediately following the Contract Bond, be filled out and properly executed, or in lieu of that, the printed "Auditor's Certificate" which is made a part of each contract, must be filled out by the County Auditor of the County in which the individual sureties reside.

**IN FURNISHING CONTRACT PERFORMANCE AND PAYMENT BONDS, EACH CONTRACTOR WILL PLEASE SEE THAT THE ABOVE PROVISIONS ARE COMPLIED WITH BY THE BONDSMAN IN EACH CASE.**



**CONTRACT PERFORMANCE BOND  
(5525.16)**

**KNOW ALL MEN BY THE PRESENTS:**

THAT WE (1) AMAazz CONSTRUCTION OHIO LLC A corporation organized under the laws of the State of Ohio with its principal place of business at 545 Metro Place South, Dublin, OH 43017

as principal, and (2) Fidelity and Deposit Company of Maryland a corporation organized under the laws of the State of Illinois and duly authorized to transact business within the State of Ohio

as sureties, are held and firmly bound unto the State of Ohio

in the penal sum of

TWO MILLION SEVEN HUNDRED FORTY EIGHT THOUSAND SEVEN HUNDRED NINETY THREE AND 40/100  
\$2,748,793.40 ) for the payment of which, well and truly to be made, we hereby jointly and severally bind ourselves, our heirs, executors, administrators, successors and assigns.

THE CONDITION OF THIS OBLIGATION IS SUCH, THAT:

WHEREAS, said principal has heretofore filed with the Director of Transportation of the State of Ohio, a written bid or proposal for the construction and completion of

Route / Section SR 316/SR 752-13:05/00.000 (PART 1 AND PART 2)

of County Pickaway Ohio, and

See Proposal for Project # 200143

WHEREAS, said Director of Transportation has accepted said bid or proposal and has awarded to said principal the contract for the construction and completion of the aforesaid work:

Now, if the said principal shall well, truly and faithfully comply with and perform each and all of the terms, covenants and conditions of such contract on his (its) part to be kept and performed, according to the tenor thereof, and within the time prescribed and will perform the work embraced therein upon the terms proposed and within the time prescribed and in accordance with the plans, specifications and estimates furnished therefor, to which reference is here made, the same being a part hereof, as if fully incorporated herein, and will indemnify the State, County, Municipality and Township against any damage that may result from any failure of the contractor to so perform, and in case of a railroad grade separation, the railroad company (or companies) involved against any damage that may result by reason of the negligence of the contractor in making said improvement or doing said work, then this obligation shall be void, otherwise the same shall remain in full force and effect; it being expressly understood and agreed that the liability of the surety for any or all claims hereunder shall in no event exceed the penal amount of this obligation as herein stated. It is further expressly understood and agreed that the liability of the surety for any or all claims hereunder is governed by Ohio Revised Code section 5525.16, and nothing stated herein shall operate as a limitation upon the obligations of the surety under that statute.

The said sureties hereby stipulate and agree that any failure to complete work at the time named in the contract, or extensions of time for completion, or modifications, omissions or additions in or to the terms of said contract, or in or to the plans, specifications and estimates, shall not in any wise affect the obligation of said sureties on their bond.

Signed this 23rd day of March, 2020

In presence of (MUST BE WITNESSED)

James A. Kunkel  
Witness to Principal  
545 Metro Place South, Suite 201, Dublin, OH 43017  
Address of Witness

Stephanie M. White  
Witness to Attorney-in-fact  
1600 W. Lane Ave, Suite 200, Columbus, OH 43221  
Address of Witness

Amaazz Construction Ohio, LLC  
Principal

By [Signature]  
Fidelity and Deposit Company of Maryland  
Name of Surety Company

1299 Zurich Way, Schaumburg, IL 60196  
Address of Surety Company

[Signature]  
Signature of Attorney-in-fact

Overmyer Hall Associates  
Company of Attorney-in-fact

1600 W. Lane Ave, Suite 200, Columbus, OH 43221  
Address of Attorney-in-fact (include phone #)

614-453-4400  
Sureties

INSTRUCTIONS

Attach corporate seal of principal if corporation.

Attach corporate seal if surety company is signing as surety.

(1) If a corporation, insert on page 3, "A corporation organized under the laws of the State of (Name of State) with its principal place of business at (Address)."

(2) If a surety company, insert on page 3, "A corporation organized under the laws of the State of (Name of State) and duly authorized to transact business within the State of Ohio."

If the above bond is executed by private individuals as sureties, the affidavits in justification of sureties must be filled out in detail; in lieu of said affidavits, a certificate of the County Auditor of the County in which said sureties, or one of them, reside, or have property, may be furnished to the effect that in his judgement such sureties possess the qualifications required by Section 1341.01 Ohio Revised Code which reads as follows:

"Sureties must be residents of this State, and worth, in the aggregate, double the sum to be secured, beyond the amount of their debts, and have property liable to execution in this State equal to the sum to be secured."

If signed by a surety company said bond must be accompanied by (1) a certificate of the superintendent of insurance, that such surety company is authorized to transact business in this State; and (2) the power of attorney of the agent of such company showing his authority to execute said bond on its behalf, which power of attorney must be dated not more than ninety days previous to the signing of the contract; and (3) a recent financial statement of the surety company. In the event the bond exceeds 10% of the capital and surplus of the surety company signing the bond, the excess amount must be reinsured in some other surety company licensed to do business in Ohio and a certificate showing such reinsurance must accompany said bond.

PAYMENT BOND

(5525.16, 153.54 et seq. O.R.C., also see 1311.27, 5525.12)

KNOW ALL MEN BY THE PRESENTS:

THAT WE (1) AMAAZZ CONSTRUCTION OHIO LLC A corporation organized under the laws of the State of Ohio with its principal place of business at 545 Metro Place South, Dublin, OH 43017 as principal, and (2) Fidelity and Deposit Company of Maryland a corporation organized under the laws of the State of Illinois and duly authorized to transact business within the State of Ohio as sureties, are held and firmly bound unto the State of Ohio

in the penal sum of

TWO MILLION SEVEN HUNDRED FORTY EIGHT THOUSAND SEVEN HUNDRED NINETY THREE AND 40/1 ( \$2,748,793.40 ) for the payment of which, well and truly to be made, we hereby jointly and severally bind ourselves, our heirs, executors, administrators, successors and assigns.

THE CONDITION OF THIS OBLIGATION IS SUCH, THAT:

WHEREAS, said principal has heretofore filed with the Director of Transportation of the State of Ohio, a written bid or proposal for the construction and completion of

Route / Section SR 316/SR 752-13:05/00.000 (PART 1 AND PART 2)

of County Pickaway Ohio, and

See Proposal for Project # 200143

WHEREAS, said Director of Transportation has accepted said bid or proposal and has awarded to said principal the contract for the construction and completion of the aforesaid work:

Now, if the said principal shall pay all lawful claims of any subcontractors, materialmen, laborers or mechanics who have performed labor or furnished material, fuel, tools or machinery and for the use of and repairs to machinery and equipment used in carrying forward, performing or completing said contract, said principal and sureties agreeing and assenting that this undertaking shall be for the benefit of any subcontractor, materialman, laborer or mechanic, having a just claim, then this obligation shall be void, otherwise the same shall remain in full force and effect; it being expressly understood and agreed that the liability of the surety for any or all claims hereunder shall in no event exceed the penal amount of this obligation as herein stated.



The said sureties hereby stipulate and agree that any failure to complete work at the time named in the contract, or extensions of time for completion, or modifications, omissions or additions in or to the terms of said contract, or in or to the plans, specifications and estimates, shall not in any wise affect the obligations of said sureties on their bond.

Signed this 23rd day of March, 2020

In presence of (MUST BE WITNESSED)

Amaazz Construction Ohio, LLC  
Principal

James Adkins  
Witness to Principal

By [Signature]

545 Metro Plca South Suite 201, Dublin, OH 43017  
Address of Witness

Fidelity and Deposit Company of Maryland  
Name of Surety Company

1299 Zurich Way, Schaumburg, IL 60196  
Address of Surety Company

Stephanie M. White  
Witness to Attorney-in-fact

[Signature]  
Signature of Attorney-in-fact

1600 W. Lane Ave, Suite 200, Columbus, OH 43221  
Address of Witness

Overmyer Hall Associates  
Company of Attorney-in-fact

1600 W. Lane Ave, Suite 200, Columbus, OH 43221  
Address of Attorney-in-fact (include phone #)

614-453-4400  
Sureties

**INSTRUCTIONS**

Attach corporate seal of principal if corporation.

Attach corporate seal if surety company is signing as surety.

(1) If a corporation, insert on page 5, "A corporation organized under the laws of the State of (Name of State) with its principal place of business at (Address)."

(2) If a surety company, insert on page 5, "A corporation organized under the laws of the State of (Name of State) and duly authorized to transact business within the State of Ohio."

If the above bond is executed by private individuals as sureties, the affidavits in justification of sureties must be filled out in detail; in lieu of said affidavits, a certificate of the County Auditor of the County in which said sureties, or one of them, reside, or have property, may be furnished to the effect that in his judgement such sureties posses the qualifications required by Section 1341.01 Ohio Revised Code which reads as follows:

"Sureties must be residents of the State, and worth, in the aggregate, double the sum to be secured, beyond the amount of their debts, and have property liable to execution in this State equal to the sum to be secured."

If signed by a surety company said bond must be accompanied by (1) a certificate of the superintendent of insurance, that such surety company is authorized to transact business in this State; and (2) the power of attorney of the agent of such company showing his authority to execute said bond on its behalf, which power of attorney must be dated not more than ninety days previous to the signing of the contract; and (3) a recent financial statement of the surety company. In the event the bond exceeds 10% of the capital and surplus of the surety company signing the bond, the excess amount must be reinsured in some other surety company licensed to do business in Ohio and a certificate showing such reinsurance must accompany said bond.

ONE POWER OF ATTORNEY, ONE CERTIFICATE OF COMPLIANCE AND ONE FINANCIAL STATEMENT ARE SUFFICIENT TO COVER BOTH BONDS, SINCE BOTH BONDS MUST BE EXECUTED BY THE SAME SURETY.



OHIO DEPARTMENT OF TRANSPORTATION

Evidence of Authority to Sign Corporate Instrument

I Sugh Sugness, Secretary of AMAAZZ CONSTRUCTION OHIO LLC  
a corporation organized and existing under the laws of the State of Ohio

with its principal place of business and post office address at:

545 METRO PLACE SOUTH, SUITE 201  
DUBLIN, OH 43017

do hereby certify that at a duly called meeting of the Board of Directors of said Company, at which a  
quorum of said Directors was present, held at 545 Metro Place South, Suite 201, Dublin, OH 43017  
on the 24 day of March, 20 20 a resolution was adopted, of which the  
following is a copy:

BE IT RESOLVED, That James Barna as Exec Vice President  
of AMAAZZ CONSTRUCTION OHIO LLC be and he hereby is authorized and empowered  
to execute, on the part of said Company, a certain contract between the State of Ohio and this Company,  
providing for and covering the construction of:

Route / Section: SR 316/SR 752-13.05/00.000 (PART 1 AND PART 2)  
County: Pickaway Ohio,

a letting for which project was held by the Department of Transportation of the State of Ohio on  
Thursday, March 12, 2020

the contract covering said project having been awarded to this Company by the Director of Transportation  
of the State of Ohio, for the contract price of  
\$2,748,793.40

BE IT FURTHER RESOLVED, That James Barna as Exec Vice President  
of this Company, be and he hereby is authorized and empowered to execute, on the part of this Company,  
all bonds or other instruments of writing required by the Department of Transportation, incident to and in  
connection with the above described contract.

I further certify that on the 24 day of March, 20 20  
(Date of Execution of Contract by Contractor)

the above resolution was still in force and that on said 24 day of  
March, 20 20, James Barna was the  
(Date of Execution of Contract)  
Exec Vice President of said company.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the seal of said Company this  
24 day of March, 20 20

Sugh Sugness  
Secretary

**Ohio****Bureau of Workers'  
Compensation**30 W. Spring St.  
Columbus, OH 43215**Certificate of Ohio Workers' Compensation**

This certifies that the employer listed below participates in the Ohio State Insurance Fund as required by law. Therefore, the employer is entitled to the rights and benefits of the fund for the period specified. This certificate is only valid if premiums and assessments, including installments, are paid by the applicable due date. To verify coverage, visit [www.bwc.ohio.gov](http://www.bwc.ohio.gov), or call 1-800-644-6292.

This certificate must be conspicuously posted.

Policy number and employer  
80060629

Period Specified Below  
08/12/2019 to 07/01/2020

Amaazz Construction Ohio, LLC  
400 W WILSON BRIDGE RD STE 230  
WORTHINGTON, OH 43085-5214



[www.bwc.ohio.gov](http://www.bwc.ohio.gov)  
Issued by: BWC

*Stephanie McCloud*

Administrator/CEO

You can reproduce this certificate as needed.

**Ohio Bureau of Workers' Compensation****Required Posting**

Section 4123.54 of the Ohio Revised Code requires notice of rebuttable presumption. Rebuttable presumption means an employee may dispute or prove untrue the presumption (or belief) that alcohol, marihuana or a controlled substance not prescribed by the employee's physician is the proximate cause (main reason) of the work-related injury.

The burden of proof is on the employee to prove the presence of alcohol, marihuana or a controlled substance was not the proximate cause of the work-related injury. An employee who tests positive or refuses to submit to chemical testing may be disqualified for compensation and benefits under the Workers' Compensation Act.

**Ohio****Bureau of Workers'  
Compensation**

You must post this language with the Certificate of Ohio Workers' Compensation.



# CERTIFICATE OF LIABILITY INSURANCE

DATE (MM/DD/YYYY)  
3/23/2020

THIS CERTIFICATE IS ISSUED AS A MATTER OF INFORMATION ONLY AND CONFERS NO RIGHTS UPON THE CERTIFICATE HOLDER. THIS CERTIFICATE DOES NOT AFFIRMATIVELY OR NEGATIVELY AMEND, EXTEND OR ALTER THE COVERAGE AFFORDED BY THE POLICIES BELOW. THIS CERTIFICATE OF INSURANCE DOES NOT CONSTITUTE A CONTRACT BETWEEN THE ISSUING INSURER(S), AUTHORIZED REPRESENTATIVE OR PRODUCER, AND THE CERTIFICATE HOLDER.

**IMPORTANT:** If the certificate holder is an ADDITIONAL INSURED, the policy(ies) must have ADDITIONAL INSURED provisions or be endorsed. If SUBROGATION IS WAIVED, subject to the terms and conditions of the policy, certain policies may require an endorsement. A statement on this certificate does not confer rights to the certificate holder in lieu of such endorsement(s).

<b>PRODUCER</b> Overmyer Hall Associates 1600 W Lane Ave, Ste 200 Columbus OH 43221		<b>CONTACT NAME:</b> Brandy Vanderwood <b>PHONE (A/C No, Ext):</b> 614-453-4400 <b>E-MAIL ADDRESS:</b> ohcertificates@oh-ins.com <b>FAX (A/C, No):</b> 614-453-9360	
<b>INSURED</b> Amaazz Construction Ohio, LLC 545 Metro Place South, Suite 201 Dublin OH 43017		<b>INSURER(S) AFFORDING COVERAGE</b> <b>INSURER A:</b> Cincinnati Insurance Company <b>INSURER B:</b> <b>INSURER C:</b> <b>INSURER D:</b> <b>INSURER E:</b> <b>INSURER F:</b>	
		<b>NAIC #</b> 10677	


**COVERAGES**                      **CERTIFICATE NUMBER: 2059691103**                      **REVISION NUMBER:**

THIS IS TO CERTIFY THAT THE POLICIES OF INSURANCE LISTED BELOW HAVE BEEN ISSUED TO THE INSURED NAMED ABOVE FOR THE POLICY PERIOD INDICATED. NOTWITHSTANDING ANY REQUIREMENT, TERM OR CONDITION OF ANY CONTRACT OR OTHER DOCUMENT WITH RESPECT TO WHICH THIS CERTIFICATE MAY BE ISSUED OR MAY PERTAIN, THE INSURANCE AFFORDED BY THE POLICIES DESCRIBED HEREIN IS SUBJECT TO ALL THE TERMS, EXCLUSIONS AND CONDITIONS OF SUCH POLICIES. LIMITS SHOWN MAY HAVE BEEN REDUCED BY PAID CLAIMS.

INSR LTR	TYPE OF INSURANCE	ADDL SUBR INSD WVD	POLICY NUMBER	POLICY EFF (MM/DD/YYYY)	POLICY EXP (MM/DD/YYYY)	LIMITS
A	<input checked="" type="checkbox"/> COMMERCIAL GENERAL LIABILITY <input type="checkbox"/> CLAIMS-MADE <input checked="" type="checkbox"/> OCCUR  GEN'L AGGREGATE LIMIT APPLIES PER: <input type="checkbox"/> POLICY <input checked="" type="checkbox"/> PRO-JECT <input checked="" type="checkbox"/> LOC OTHER:	Y	EPP 0572569	3/17/2020	3/17/2021	EACH OCCURRENCE \$ 1,000,000 DAMAGE TO RENTED PREMISES (Ea occurrence) \$ 500,000 MED EXP (Any one person) \$ 10,000 PERSONAL & ADV INJURY \$ 1,000,000 GENERAL AGGREGATE \$ 2,000,000 PRODUCTS - COMP/OP AGG \$ 2,000,000 \$
A	<input checked="" type="checkbox"/> AUTOMOBILE LIABILITY <input checked="" type="checkbox"/> ANY AUTO: <input type="checkbox"/> OWNED AUTOS ONLY <input type="checkbox"/> SCHEDULED AUTOS NON-OWNED AUTOS ONLY <input type="checkbox"/> HIRED AUTOS ONLY		EPP 0572569	3/17/2020	3/17/2021	COMBINED SINGLE LIMIT (Ea accident) \$ 1,000,000 BODILY INJURY (Per person) \$ BODILY INJURY (Per accident) \$ PROPERTY DAMAGE (Per accident) \$ \$
A	<input checked="" type="checkbox"/> UMBRELLA LIAB <input checked="" type="checkbox"/> OCCUR <input type="checkbox"/> EXCESS LIAB <input type="checkbox"/> CLAIMS-MADE <input type="checkbox"/> DED <input checked="" type="checkbox"/> RETENTION \$ 0		EPP 0572569	3/17/2020	3/17/2021	EACH OCCURRENCE \$ 2,000,000 AGGREGATE \$ 2,000,000 \$
A	WORKERS COMPENSATION AND EMPLOYERS' LIABILITY ANY PROPRIETOR/PARTNER/EXECUTIVE OFFICER/MEMBER EXCLUDED? (Mandatory in NH) If yes, describe under DESCRIPTION OF OPERATIONS below	Y/N <input type="checkbox"/>	EPP 0572569	3/17/2020	3/17/2021	<input type="checkbox"/> PER STATUTE <input checked="" type="checkbox"/> OTHER OH Stop Gap E.L. EACH ACCIDENT \$ 1,000,000 E.L. DISEASE - EA EMPLOYEE \$ 1,000,000 E.L. DISEASE - POLICY LIMIT \$ 1,000,000

DESCRIPTION OF OPERATIONS / LOCATIONS / VEHICLES (ACORD 101, Additional Remarks Schedule, may be attached if more space is required)  
This is to certify that the policies of insurance required by Section 107.12 of the Construction and Materials Specifications and listed below have been issued to the insured named above for Project 200143

The State of Ohio, Department of Transportation, its officers, agents and employees are Additional Insured per attached General Liability Blanket Additional Insured endorsement GA 472 09 18. Subject to signed written contract, policy terms, conditions, and exclusions. XCU coverage is included under the General Liability.

<b>CERTIFICATE HOLDER</b>  Ohio Department of Transportation Attn: Administrator, Office Contracts 1980 West Broad Street Columbus OH 43223	<b>CANCELLATION</b>  SHOULD ANY OF THE ABOVE DESCRIBED POLICIES BE CANCELLED BEFORE THE EXPIRATION DATE THEREOF, NOTICE WILL BE DELIVERED IN ACCORDANCE WITH THE POLICY PROVISIONS.  AUTHORIZED REPRESENTATIVE 
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Department of  
Administrative Services

Mike DeWine, Governor  
Jon Husted, Lt. Governor

Matt Damschroder, Director

03/23/2020

Sugu Suguness  
Amaazz Construction Ohio LLC  
400 W Wilson Bridge Road Suite 230  
Worthington, OH 43085

Subject: Certificate of Compliance Certification  
Status: In Compliance  
Effective Dates: 03/23/2020 through 09/19/2020

Dear Sugu Suguness:

The Equal Opportunity Division of the Ohio Department of Administrative Services (Division) hereby issues Amaazz Construction Ohio LLC a Certificate of Compliance. The Certificate shall be in force for 180 days from the date of issuance.

Section 9.47 of the Revised Code requires the Division to review affirmative action programs and plans of each company desiring to participate on state-assisted construction contracts and determine whether that company has violated any affirmative action programs and goals for which that company was obligated to meet during the preceding five years. Based on the above-referenced review, the Division has found no such violation(s).

Please be advised that for Amaazz Construction Ohio LLC to maintain certification status, Amaazz Construction Ohio LLC must continue to ensure equal employment opportunities in accordance with applicable State and Federal EEO laws, rules, regulations and guidelines, and meet those contractual obligations for which Amaazz Construction Ohio LLC has agreed.

Sincerely,

Eric M. Seabrook  
Deputy Director  
State EEO Coordinator



**ZURICH AMERICAN INSURANCE COMPANY  
COLONIAL AMERICAN CASUALTY AND SURETY COMPANY  
FIDELITY AND DEPOSIT COMPANY OF MARYLAND  
POWER OF ATTORNEY**

KNOW ALL MEN BY THESE PRESENTS: That the ZURICH AMERICAN INSURANCE COMPANY, a corporation of the State of New York, the COLONIAL AMERICAN CASUALTY AND SURETY COMPANY, a corporation of the State of Illinois, and the FIDELITY AND DEPOSIT COMPANY OF MARYLAND a corporation of the State of Illinois (herein collectively called the "Companies"), by **Robert D. Murray, Vice President**, in pursuance of authority granted by Article V, Section 8, of the By-Laws of said Companies, which are set forth on the reverse side hereof and are hereby certified to be in full force and effect on the date hereof, do hereby nominate, constitute, and appoint **Gregory R. OVERMYER, Stephanie M. WHITE, Amy M. PERDUE, Jack KEHL and David CATANESE, all of Columbus, Ohio, EACH**, its true and lawful agent and Attorney-in-Fact, to make, execute, seal and deliver, for, and on its behalf as surety, and as its act and deed: any and all **bonds and undertakings**, and the execution of such bonds or undertakings in pursuance of these presents, shall be as binding upon said Companies, as fully and amply, to all intents and purposes, as if they had been duly executed and acknowledged by the regularly elected officers of the ZURICH AMERICAN INSURANCE COMPANY at its office in New York, New York, the regularly elected officers of the COLONIAL AMERICAN CASUALTY AND SURETY COMPANY at its office in Owings Mills, Maryland, and the regularly elected officers of the FIDELITY AND DEPOSIT COMPANY OF MARYLAND at its office in Owings Mills, Maryland, in their own proper persons.

The said Vice President does hereby certify that the extract set forth on the reverse side hereof is a true copy of Article V, Section 8, of the By-Laws of said Companies, and is now in force.

IN WITNESS WHEREOF, the said Vice-President has hereunto subscribed his/her names and affixed the Corporate Seals of the said ZURICH AMERICAN INSURANCE COMPANY, COLONIAL AMERICAN CASUALTY AND SURETY COMPANY, and FIDELITY AND DEPOSIT COMPANY OF MARYLAND, this 30th day of April, A.D. 2019.



**ATTEST:**  
ZURICH AMERICAN INSURANCE COMPANY  
COLONIAL AMERICAN CASUALTY AND SURETY COMPANY  
FIDELITY AND DEPOSIT COMPANY OF MARYLAND

By: *Robert D. Murray*  
Vice President

By: *Dawn E. Brown*  
Secretary

**State of Maryland  
County of Baltimore**

On this 30th day of April, A.D. 2019, before the subscriber, a Notary Public of the State of Maryland, duly commissioned and qualified, **Robert D. Murray, Vice President and Dawn E. Brown, Secretary** of the Companies, to me personally known to be the individuals and officers described in and who executed the preceding instrument, and acknowledged the execution of same, and being by me duly sworn, deposed and saith, that he/she is the said officer of the Company aforesaid, and that the seals affixed to the preceding instrument are the Corporate Seals of said Companies, and that the said Corporate Seals and the signature as such officer were duly affixed and subscribed to the said instrument by the authority and direction of the said Corporations.

IN TESTIMONY WHEREOF, I have hereunto set my hand and affixed my Official Seal the day and year first above written.



Constance A. Dunn, Notary Public  
My Commission Expires: July 9, 2019

## EXTRACT FROM BY-LAWS OF THE COMPANIES

"Article V, Section 8, Attorneys-in-Fact. The Chief Executive Officer, the President, or any Executive Vice President or Vice President may, by written instrument under the attested corporate seal, appoint attorneys-in-fact with authority to execute bonds, policies, recognizances, stipulations, undertakings, or other like instruments on behalf of the Company, and may authorize any officer or any such attorney-in-fact to affix the corporate seal thereto; and may with or without cause modify or revoke any such appointment or authority at any time."

### CERTIFICATE

I, the undersigned, Vice President of the ZURICH AMERICAN INSURANCE COMPANY, the COLONIAL AMERICAN CASUALTY AND SURETY COMPANY, and the FIDELITY AND DEPOSIT COMPANY OF MARYLAND, do hereby certify that the foregoing Power of Attorney is still in full force and effect on the date of this certificate; and I do further certify that Article V, Section 8, of the By-Laws of the Companies is still in force.

This Power of Attorney and Certificate may be signed by facsimile under and by authority of the following resolution of the Board of Directors of the ZURICH AMERICAN INSURANCE COMPANY at a meeting duly called and held on the 15th day of December 1998.

RESOLVED: "That the signature of the President or a Vice President and the attesting signature of a Secretary or an Assistant Secretary and the Seal of the Company may be affixed by facsimile on any Power of Attorney...Any such Power or any certificate thereof bearing such facsimile signature and seal shall be valid and binding on the Company."

This Power of Attorney and Certificate may be signed by facsimile under and by authority of the following resolution of the Board of Directors of the COLONIAL AMERICAN CASUALTY AND SURETY COMPANY at a meeting duly called and held on the 5th day of May, 1994, and the following resolution of the Board of Directors of the FIDELITY AND DEPOSIT COMPANY OF MARYLAND at a meeting duly called and held on the 10th day of May, 1990.

RESOLVED: "That the facsimile or mechanically reproduced seal of the company and facsimile or mechanically reproduced signature of any Vice-President, Secretary, or Assistant Secretary of the Company, whether made heretofore or hereafter, wherever appearing upon a certified copy of any power of attorney issued by the Company, shall be valid and binding upon the Company with the same force and effect as though manually affixed.

IN TESTIMONY WHEREOF, I have hereunto subscribed my name and affixed the corporate seals of the said Companies, this 23rd day of March, 2020.



Brian M. Hodges, Vice President

**TO REPORT A CLAIM WITH REGARD TO A SURETY BOND, PLEASE SUBMIT A COMPLETE DESCRIPTION OF THE CLAIM INCLUDING THE PRINCIPAL ON THE BOND, THE BOND NUMBER, AND YOUR CONTACT INFORMATION TO:**

Zurich Surety Claims  
1299 Zurich Way  
Schaumburg, IL 60196-1056  
[www.reportsforclaims@zurichna.com](http://www.reportsforclaims@zurichna.com)  
800-626-4577

Office of Risk Assessment  
50 West Town Street  
Third Floor - Suite 300  
Columbus, Ohio 43215  
(614)644-2658  
Fax(614)644-3256  
www.insurance.ohio.gov

## Ohio Department of Insurance

Mike DeWine - Governor

Jillian Froment - Director



### Certificate of Compliance

Issued 03/22/2019

Effective 04/02/2019

Expires 04/01/2020

I, Jillian Froment, hereby certify that I am the Director of Insurance in the State of Ohio and have supervision of insurance business in said State and as such I hereby certify that

#### FIDELITY AND DEPOSIT COMPANY OF MARYLAND, THE

of Illinois is duly organized under the laws of this State and is authorized to transact the business of insurance under the following section(s) of the Ohio Revised Code:

##### Section 3929.01 (A)

Allied Lines

Workers Compensation

Boiler & Machinery

Burglary & Theft

Commercial Auto - Liability

Commercial Auto - No Fault

Commercial Auto - Physical Damage

Credit

Earthquake

Fidelity

Financial Guaranty

Fire

Glass

Inland Marine

Multiple Peril - Commercial

Multiple Peril - Homeowners

Other Liability

Surety

FIDELITY AND DEPOSIT COMPANY OF MARYLAND, THE certified in its annual statement to this Department as of December 31, 2018 that it has admitted assets in the amount of \$349,290,478, liabilities in the amount of \$75,580,762, and surplus of at least \$273,709,716.

IN WITNESS WHEREOF, I have hereunto subscribed my name and caused my seal to be affixed at Columbus, Ohio, this day and date.

Handwritten signature of Jillian Froment.

Jillian Froment, Director



# THE FIDELITY AND DEPOSIT COMPANY

OF MARYLAND  
1299 Zurich Way, Schaumburg, IL 60196

## Statement of Financial Condition As Of December 31, 2018

### ASSETS

Bonds .....	\$ 245,255,635
Stocks .....	22,855,569
Cash and Short Term Investments .....	3,092,872
Reinsurance Recoverable .....	73,242,781
Federal Income Tax Recoverable .....	42,258
Other Accounts Receivable .....	4,801,363
<b>TOTAL ADMITTED ASSETS .....</b>	<b>\$ 349,290,278</b>

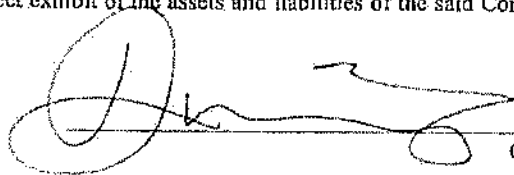
### LIABILITIES, SURPLUS AND OTHER FUNDS

Reserve for Taxes and Expenses .....	\$ 106,785
Ceded Reinsurance Premiums Payable .....	46,727,605
Remittances and Items Unallocated .....	125,000
Payable to parents, subs and affiliates .....	28,621,373
Securities Lending Collateral Liability .....	0
<b>TOTAL LIABILITIES .....</b>	<b>\$ 75,580,762</b>
Capital Stock, Paid Up .....	\$ 5,000,000
Surplus .....	268,709,716
Surplus as regards Policyholders .....	273,709,716
<b>TOTAL .....</b>	<b>\$ 349,290,478</b>

Securities carried at \$162,739,508 in the above statement are deposited with various states as required by law.

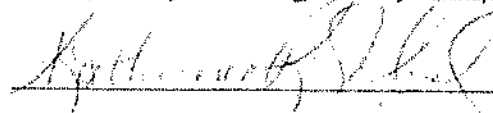
Securities carried on the basis prescribed by the National Association of Insurance Commissioners. On the basis of market quotations for all bonds and stocks owned, the Company's total admitted assets at December 31, 2018 would be \$349,736,423 and surplus as regards policyholders \$274,155,661.

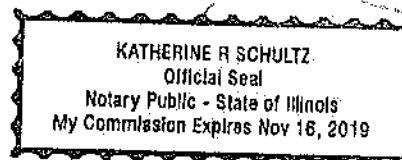
I, DENNIS F. KERRIGAN, Corporate Secretary of the FIDELITY AND DEPOSIT COMPANY OF MARYLAND, do hereby certify that the foregoing statement is a correct exhibit of the assets and liabilities of the said Company on the 31st day of December, 2018.

  
Corporate Secretary

State of Illinois }  
City of Schaumburg } SS:

Subscribed and sworn to, before me, a Notary Public of the State of Illinois, in the City of Schaumburg, this 20<sup>th</sup> day of March, 2019.

  
Notary Public





### Reference # Listing for Project 200143

Let Date: 3/12/2020

PID # 107824

Federal TWO LANE RESURFACING

PIC - SR 316/SR 752-13.05/00.000 (PART 1 AND PART 2)

Prime: AMAAZZ CONSTRUCTION OHIO LLC

545 METRO PLACE SOUTH, SUITE 201

DUBLIN, OH 43017

Ref #	Bid Amt:	Item Code:	Work Type Required:	Prime Can Do This Work?
1	\$7,312.50	202E38001	GUARDRAIL REMOVED, AS PER PLAN	0 (No WT Req) Yes
2	\$7,507.50	202E42001	ANCHOR ASSEMBLY REMOVED, TYPE	0 (No WT Req) Yes
3	\$843.20	202E47001	BRIDGE TERMINAL ASSEMBLY REMOVE	0 (No WT Req) Yes
4	\$8,850.00	203E20001	EMBANKMENT, AS PER PLAN	6 Incidental Grading Yes
5	\$3,014.44	209E60200	LINEAR GRADING	6 Incidental Grading Yes
6	\$34,637.50	606E15050	GUARDRAIL, TYPE MGS	36 Guardrail / Attenuators » No
7	\$12,832.50	606E15100	GUARDRAIL, TYPE MGS WITH LONG PO	36 Guardrail / Attenuators » No
8	\$56,640.00	606E26150	ANCHOR ASSEMBLY, MGS TYPE E(NCH	36 Guardrail / Attenuators » No
9	\$8,430.40	606E35141	BRIDGE TERMINAL ASSEMBLY, TYPE 4,	36 Guardrail / Attenuators » No
10	\$790.00	606E98000	GUARDRAIL, MISC.:ALTERNATIVE GUAR	36 Guardrail / Attenuators » No
11	\$2,685.20	623E39500	MONUMENT BOX ADJUSTED TO GRADE	0 (No WT Req) Yes
12	\$316.20	690E50350	SPECIAL - MAILBOX REMOVED AND RE	0 (No WT Req) Yes
13	\$4,395.60	659E00300	TOPSOIL	46 Landscaping Yes
14	\$4,680.00	659E10000	SEEDING AND MULCHING	46 Landscaping Yes
15	\$107.80	659E14000	REPAIR SEEDING AND MULCHING	46 Landscaping Yes
16	\$107.80	659E15000	INTER-SEEDING	46 Landscaping Yes
17	\$115.70	659E20000	COMMERCIAL FERTILIZER	46 Landscaping Yes
18	\$10.52	659E31000	LIME	46 Landscaping Yes
19	\$12.10	659E35000	WATER	46 Landscaping Yes
20	\$1,000.00	832E30000	EROSION CONTROL	8 Temporary Soil Erosion & Sediment Co Yes
21	\$3,241.20	611E99654	MANHOLE ADJUSTED TO GRADE	35 Drainage (Culverts, Misc.) Yes
22	\$23,614.50	251E01041	PARTIAL DEPTH PAVEMENT REPAIR (A	16 Flexible Replacement Yes
23	\$187,473.60	251E01041	PARTIAL DEPTH PAVEMENT REPAIR (A	16 Flexible Replacement Yes
24	\$38,851.80	254E01000	PAVEMENT PLANING, ASPHALT CONCR	13 Pavement Planing, Milling, Scarification Yes
25	\$35,603.10	407E20000	NON-TRACKING TACK COAT	10 Flexible Paving Yes
26	\$510,910.00	424E12000	FINE GRADED POLYMER ASPHALT CON	10 Flexible Paving Yes
27	\$175,047.00	442E10001	ASPHALT CONCRETE SURFACE COURS	10 Flexible Paving Yes
28	\$39,930.00	617E10100	COMPACTED AGGREGATE	6 Incidental Grading Yes
29	\$84.40	617E25000	WATER	0 (No WT Req) Yes
30	\$96,804.00	897E01010	PAVEMENT PLANING, ASPHALT CONCR	13 Pavement Planing, Milling, Scarification Yes
31	\$1,900.00	897E02000	PATCHING PLANED SURFACE	13 Pavement Planing, Milling, Scarification Yes
32	\$1,418.00	638E10800	VALVE BOX ADJUSTED TO GRADE	35 Drainage (Culverts, Misc.) Yes
33	\$17,912.40	621E00100	RPM	41 Raised Pavement Markers » No
34	\$4,460.40	621E54000	RAISED PAVEMENT MARKER REMOVED	0 (No WT Req) Yes
35	\$714.00	626E00110	BARRIER REFLECTOR, TYPE 2, BIDIREC	0 (No WT Req) Yes
36	\$49,960.96	644E00104	EDGE LINE, 6"	45 Pavement Markings » No
37	\$32,680.28	644E00300	CENTER LINE	45 Pavement Markings » No
38	\$745.80	644E00500	STOP LINE	45 Pavement Markings » No
39	\$186.00	644E00600	CROSSWALK LINE	45 Pavement Markings » No
40	\$1,096.00	644E01000	RAILROAD SYMBOL MARKING	45 Pavement Markings » No
41	\$548.00	644E01100	SCHOOL SYMBOL MARKING, 72"	45 Pavement Markings » No
42	\$2,618.83	646E10010	EDGE LINE, 6"	45 Pavement Markings » No
43	\$1,939.99	646E10200	CENTER LINE	45 Pavement Markings » No
44	\$15,326.00	512E10050	SEALING OF CONCRETE SURFACES (N	57 Sealing of Concrete Surfaces with Epox » No
45	\$5,480.80	516E01301	ELASTOMERIC STRIP SEAL WITHOUT S	27 Expansion & Contraction Joints, Joint S » No
46	\$9,275.20	516E31200	SPECIAL - SAWING AND SEALING BITU	20 Level 1 Bridge » No
47	\$12,648.00	614E12461	WORK ZONE MARKING SIGN, AS PER P	39 Maintenance of Traffic Yes
48	\$14,691.60	614E21550	WORK ZONE CENTER LINE, CLASS III, 6	39 Maintenance of Traffic Yes
49	\$565.00	614E26610	WORK ZONE STOP LINE, CLASS III, 642	39 Maintenance of Traffic Yes
50	\$6,059.20	201E11000	CLEARING AND GRUBBING	1 Clearing & Grubbing Yes
51	\$2,672.40	202E23000	PAVEMENT REMOVED(ASPHALT DRIVE)	0 (No WT Req) Yes

Reference # Listing for Project 200143

52	\$892.50	202E23000	PAVEMENT REMOVED(CONCRETE DRIV	0	(No WT Req)	Yes
53	\$992.20	202E23000	PAVEMENT REMOVED(GRAVEL DRIVE)	0	(No WT Req)	Yes
54	\$12,980.00	202E30000	WALK REMOVED	0	(No WT Req)	Yes
55	\$4,662.00	202E32000	CURB REMOVED	0	(No WT Req)	Yes
56	\$4,899.40	202E35100	PIPE REMOVED, 24" AND UNDER	0	(No WT Req)	Yes
57	\$297.20	202E58000	MANHOLE REMOVED	0	(No WT Req)	Yes
58	\$462.90	202E58100	CATCH BASIN REMOVED.	0	(No WT Req)	Yes
59	\$4,071.60	202E58200	INLET REMOVED.	0	(No WT Req)	Yes
60	\$4,548.60	202E70000	SPECIAL - FILL AND PLUG EXISTING CO.	0	(No WT Req)	Yes
61	\$13,350.00	202E70110	SPECIAL - PIPE CLEANOUT, 24" AND UN	0	(No WT Req)	Yes
62	\$9,790.20	202E98200	REMOVAL MISC. SANDSTONE CURB TO	0	(No WT Req)	Yes
63	\$10,062.00	203E10000	EXCAVATION	6	Incidental Grading	Yes
64	\$629.80	203E20000	EMBANKMENT	6	Incidental Grading	Yes
65	\$288.80	900E11000	SPECIAL - TRASH RECEPTACLE TO BE	0	(No WT Req)	Yes
66	\$4,260.00	251E01041	PARTIAL DEPTH PAVEMENT REPAIR (A	16	Flexible Replacement	Yes
67	\$20,430.00	253E01001	PAVEMENT REPAIR, AS PER PLAN	16	Flexible Replacement	Yes
68	\$23,428.80	254E01000	PAVEMENT PLANING, ASPHALT CONCR	13	Pavement Planing, Milling, Scarification	Yes
69	\$15,503.40	254E01001	PAVEMENT PLANING, ASPHALT CONCR	13	Pavement Planing, Milling, Scarification	Yes
70	\$2,950.00	254E01600	PATCHING PLANED SURFACE	16	Flexible Replacement	Yes
71	\$43,597.40	301E46000	ASPHALT CONCRETE BASE, PG64-22	10	Flexible Paving	Yes
72	\$11,645.30	304E20000	AGGREGATE BASE	9	Aggregate Bases	Yes
73	\$5.72	407E10000	TACK COAT	10	Flexible Paving	Yes
74	\$4,574.70	407E20000	NON-TRACKING TACK COAT	10	Flexible Paving	Yes
75	\$7,651.70	423E98200	CRACK SEALING, MISC.:FACE OF CURB	0	(No WT Req)	Yes
76	\$103,010.32	441E10000	ASPHALT CONCRETE SURFACE COURS	10	Flexible Paving	Yes
77	\$6,823.18	441E50300	ASPHALT CONCRETE INTERMEDIATE C	10	Flexible Paving	Yes
78	\$17,725.29	452E10010	6" NON-REINFORCED CONCRETE PAVE	12	Rigid Paving	» No
79	\$20,096.48	452E11010	7" NON-REINFORCED CONCRETE PAVE	12	Rigid Paving	» No
80	\$3,687.60	452E19200	NON-REINFORCED CONCRETE PAVEME	12	Rigid Paving	» No
81	\$137,274.20	608E10000	4" CONCRETE WALK	38	Misc. Concrete	» No
82	\$14,720.00	608E52000	CURB RAMP	38	Misc. Concrete	» No
83	\$11,780.00	608E53020	DETECTABLE WARNING	38	Misc. Concrete	» No
84	\$65,714.60	609E26000	CURB, TYPE 6.	38	Misc. Concrete	» No
85	\$56.20	617E25000	WATER	0	(No WT Req)	Yes
86	\$66,116.30	605E05100	4" SHALLOW PIPE UNDERDRAINS	35	Drainage (Culverts, Misc.)	Yes
87	\$565.00	605E05200	4" UNCLASSIFIED PIPE UNDERDRAINS	35	Drainage (Culverts, Misc.)	Yes
88	\$720.00	605E13300	6" UNCLASSIFIED PIPE UNDERDRAINS	35	Drainage (Culverts, Misc.)	Yes
89	\$87,330.70	611E04401	12" CONDUIT, TYPE B, AS PER PLAN	35	Drainage (Culverts, Misc.)	Yes
90	\$43,127.00	611E05901	15" CONDUIT, TYPE B, AS PER PLAN	35	Drainage (Culverts, Misc.)	Yes
91	\$1,845.60	611E07401	18" CONDUIT, TYPE B, AS PER PLAN	35	Drainage (Culverts, Misc.)	Yes
92	\$85,824.00	611E98180	CATCH BASIN, NO. 3A	35	Drainage (Culverts, Misc.)	Yes
93	\$29,224.00	611E98470	CATCH BASIN, NO. 2-2B	35	Drainage (Culverts, Misc.)	Yes
94	\$4,051.50	611E98630	CATCH BASIN ADJUSTED TO GRADE	35	Drainage (Culverts, Misc.)	Yes
95	\$2,160.40	611E98645	CATCH BASIN GRATE, AS PER PLAN	35	Drainage (Culverts, Misc.)	Yes
96	\$33,344.40	611E99574	MANHOLE, NO. 3	35	Drainage (Culverts, Misc.)	Yes
97	\$4,051.50	611E99654	MANHOLE ADJUSTED TO GRADE	35	Drainage (Culverts, Misc.)	Yes
98	\$1,900.00	611E99820	SPECIAL - MISCELLANEOUS METAL	35	Drainage (Culverts, Misc.)	Yes
99	\$7,091.00	638E10800	VALVE BOX ADJUSTED TO GRADE	35	Drainage (Culverts, Misc.)	Yes
100	\$3,160.00	614E11110	LAW ENFORCEMENT OFFICER WITH PA	39	Maintenance of Traffic	Yes
101	\$18,968.40	614E18601	PORTABLE CHANGEABLE MESSAGE, SI	39	Maintenance of Traffic	Yes
102	\$1,411.20	614E21550	WORK ZONE CENTER LINE, CLASS III, 6	39	Maintenance of Traffic	Yes
103	\$910.00	614E26610	WORK ZONE STOP LINE, CLASS III, 642	39	Maintenance of Traffic	Yes
104	\$84.28	616E10000	WATER	0	(No WT Req)	Yes
105	\$4,166.40	659E00300	TOPSOIL	46	Landscaping	Yes
106	\$4,833.60	659E10000	SEEDING AND MULCHING	46	Landscaping	Yes
107	\$111.10	659E14000	REPAIR SEEDING AND MULCHING	46	Landscaping	Yes
108	\$111.10	659E15000	INTER-SEEDING	46	Landscaping	Yes
109	\$13.35	659E20000	COMMERCIAL FERTILIZER	46	Landscaping	Yes

**Reference # Listing for Project 200143**

110	\$10.92	659E31000	LIME	46	Landscaping	Yes
111	\$17.93	659E35000	WATER	46	Landscaping	Yes
112	\$5,000.00	832E30000	EROSION CONTROL	8	Temporary Soil Erosion & Sediment Co	Yes
113	\$3,830.40	630E03100	GROUND MOUNTED SUPPORT, NO. 3 P	42	Signing	» No
114	\$2,257.70	630E80100	SIGN, FLAT SHEET	42	Signing	» No
115	\$527.50	630E84900	REMOVAL OF GROUND MOUNTED SIGN	0	(No WT Req)	Yes
116	\$3,530.80	644E00300	CENTER LINE(DOUBLE SOLID)	45	Pavement Markings	» No
117	\$1,890.00	644E00500	STOP LINE	45	Pavement Markings	» No
118	\$3,073.20	644E00600	CROSSWALK LINE	45	Pavement Markings	» No
119	\$1,148.60	644E01000	RAILROAD SYMBOL MARKING	45	Pavement Markings	» No
120	\$2,107.60	900E11000	SPECIAL - OPWC SIGN	0	(No WT Req)	Yes
121	\$2,634.40	100E00300	PREMIUM ON RAILROADS' PROTECTIVE	0	(No WT Req)	Yes
122	\$20,285.10	103E05000	PREMIUM FOR CONTRACT PERFORMA	0	(No WT Req)	Yes
123	\$150,851.00	614E11000	MAINTAINING TRAFFIC	39	Maintenance of Traffic	Yes
124	\$2,634.40	623E10000	CONSTRUCTION LAYOUT STAKES AND	0	(No WT Req)	Yes
125	\$13,050.00	623E10001	CONSTRUCTION LAYOUT STAKES AND	0	(No WT Req)	Yes
126	\$103,213.51	624E10000	MOBILIZATION	0	(No WT Req)	Yes

\$2,748,793.40 Total

Prime is not Pre-Qual for: \$537,829.53

19.57%

**REQUIRED CONTRACT PROVISIONS  
FEDERAL-AID CONSTRUCTION CONTRACTS**

- I. General
- II. Nondiscrimination
- III. Nonsegregated Facilities
- IV. Davis-Bacon and Related Act Provisions
- V. Contract Work Hours and Safety Standards Act Provisions
- VI. Subletting or Assigning the Contract
- VII. Safety: Accident Prevention
- VIII. False Statements Concerning Highway Projects
- IX. Implementation of Clean Air Act and Federal Water Pollution Control Act
- X. Compliance with Governmentwide Suspension and Debarment Requirements
- XI. Certification Regarding Use of Contract Funds for Lobbying

**ATTACHMENTS**

**A. Employment and Materials Preference for Appalachian Development Highway System or Appalachian Local Access Road Contracts (included in Appalachian contracts only)**

**I. GENERAL**

1. Form FHWA-1273 must be physically incorporated in each construction contract funded under Title 23 (excluding emergency contracts solely intended for debris removal). The contractor (or subcontractor) must insert this form in each subcontract and further require its inclusion in all lower tier subcontracts (excluding purchase orders, rental agreements and other agreements for supplies or services).

The applicable requirements of Form FHWA-1273 are incorporated by reference for work done under any purchase order, rental agreement or agreement for other services. The prime contractor shall be responsible for compliance by any subcontractor, lower-tier subcontractor or service provider.

Form FHWA-1273 must be included in all Federal-aid design-build contracts, in all subcontracts and in lower tier subcontracts (excluding subcontracts for design services, purchase orders, rental agreements and other agreements for supplies or services). The design-builder shall be responsible for compliance by any subcontractor, lower-tier subcontractor or service provider.

Contracting agencies may reference Form FHWA-1273 in bid proposal or request for proposal documents, however, the Form FHWA-1273 must be physically incorporated (not referenced) in all contracts, subcontracts and lower-tier subcontracts (excluding purchase orders, rental agreements and other agreements for supplies or services related to a construction contract).

2. Subject to the applicability criteria noted in the following sections, these contract provisions shall apply to all work performed on the contract by the contractor's own organization and with the assistance of workers under the contractor's immediate supervision and to all work performed on the contract by piecework, station work, or by subcontract.

3. A breach of any of the stipulations contained in these Required Contract Provisions may be sufficient grounds for withholding of progress payments, withholding of final payment, termination of the contract, suspension / debarment or any other action determined to be appropriate by the contracting agency and FHWA.

4. Selection of Labor: During the performance of this contract, the contractor shall not use convict labor for any purpose within the limits of a construction project on a Federal-aid highway unless it is labor performed by convicts who are on parole, supervised release, or probation. The term Federal-aid highway does not include roadways functionally classified as local roads or rural minor collectors.

**II. NONDISCRIMINATION**

The provisions of this section related to 23 CFR Part 230 are applicable to all Federal-aid construction contracts and to all related construction subcontracts of \$10,000 or more. The provisions of 23 CFR Part 230 are not applicable to material supply, engineering, or architectural service contracts.

In addition, the contractor and all subcontractors must comply with the following policies: Executive Order 11246, 41 CFR 60, 29 CFR 1625-1627, Title 23 USC Section 140, the Rehabilitation Act of 1973, as amended (29 USC 794), Title VI of the Civil Rights Act of 1964, as amended, and related regulations including 49 CFR Parts 21, 26 and 27; and 23 CFR Parts 200, 230, and 633.

The contractor and all subcontractors must comply with: the requirements of the Equal Opportunity Clause in 41 CFR 60-1.4(b) and, for all construction contracts exceeding \$10,000, the Standard Federal Equal Employment Opportunity Construction Contract Specifications in 41 CFR 60-4.3.

Note: The U.S. Department of Labor has exclusive authority to determine compliance with Executive Order 11246 and the policies of the Secretary of Labor including 41 CFR 60, and 29 CFR 1625-1627. The contracting agency and the FHWA have the authority and the responsibility to ensure compliance with Title 23 USC Section 140, the Rehabilitation Act of 1973, as amended (29 USC 794), and Title VI of the Civil Rights Act of 1964, as amended, and related regulations including 49 CFR Parts 21, 26 and 27; and 23 CFR Parts 200, 230, and 633.

The following provision is adopted from 23 CFR 230, Appendix A, with appropriate revisions to conform to the U.S. Department of Labor (US DOL) and FHWA requirements.

**1. Equal Employment Opportunity:** Equal employment opportunity (EEO) requirements not to discriminate and to take affirmative action to assure equal opportunity as set forth under laws, executive orders, rules, regulations (28 CFR 35, 29 CFR 1630, 29 CFR 1625-1627, 41 CFR 60 and 49 CFR 27) and orders of the Secretary of Labor as modified by the provisions prescribed herein, and imposed pursuant to 23 U.S.C. 140 shall constitute the EEO and specific affirmative action standards for the contractor's project activities under



this contract. The provisions of the Americans with Disabilities Act of 1990 (42 U.S.C. 12101 et seq.) set forth under 28 CFR 35 and 29 CFR 1630 are incorporated by reference in this contract. In the execution of this contract, the contractor agrees to comply with the following minimum specific requirement activities of EEO:

a. The contractor will work with the contracting agency and the Federal Government to ensure that it has made every good faith effort to provide equal opportunity with respect to all of its terms and conditions of employment and in their review of activities under the contract.

b. The contractor will accept as its operating policy the following statement:

"It is the policy of this Company to assure that applicants are employed, and that employees are treated during employment, without regard to their race, religion, sex, color, national origin, age or disability. Such action shall include: employment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship, pre-apprenticeship, and/or on-the-job training."

**2. EEO Officer:** The contractor will designate and make known to the contracting officers an EEO Officer who will have the responsibility for and must be capable of effectively administering and promoting an active EEO program and who must be assigned adequate authority and responsibility to do so.

**3. Dissemination of Policy:** All members of the contractor's staff who are authorized to hire, supervise, promote, and discharge employees, or who recommend such action, or who are substantially involved in such action, will be made fully cognizant of, and will implement, the contractor's EEO policy and contractual responsibilities to provide EEO in each grade and classification of employment. To ensure that the above agreement will be met, the following actions will be taken as a minimum:

a. Periodic meetings of supervisory and personnel office employees will be conducted before the start of work and then not less often than once every six months, at which time the contractor's EEO policy and its implementation will be reviewed and explained. The meetings will be conducted by the EEO Officer.

b. All new supervisory or personnel office employees will be given a thorough indoctrination by the EEO Officer, covering all major aspects of the contractor's EEO obligations within thirty days following their reporting for duty with the contractor.

c. All personnel who are engaged in direct recruitment for the project will be instructed by the EEO Officer in the contractor's procedures for locating and hiring minorities and women.

d. Notices and posters setting forth the contractor's EEO policy will be placed in areas readily accessible to employees, applicants for employment and potential employees.

e. The contractor's EEO policy and the procedures to implement such policy will be brought to the attention of employees by means of meetings, employee handbooks, or other appropriate means.

**4. Recruitment:** When advertising for employees, the contractor will include in all advertisements for employees the notation: "An Equal Opportunity Employer." All such advertisements will be placed in publications having a large circulation among minorities and women in the area from which the project work force would normally be derived.

a. The contractor will, unless precluded by a valid bargaining agreement, conduct systematic and direct recruitment through public and private employee referral sources likely to yield qualified minorities and women. To meet this requirement, the contractor will identify sources of potential minority group employees, and establish with such identified sources procedures whereby minority and women applicants may be referred to the contractor for employment consideration.

b. In the event the contractor has a valid bargaining agreement providing for exclusive hiring hall referrals, the contractor is expected to observe the provisions of that agreement to the extent that the system meets the contractor's compliance with EEO contract provisions. Where implementation of such an agreement has the effect of discriminating against minorities or women, or obligates the contractor to do the same, such implementation violates Federal nondiscrimination provisions.

c. The contractor will encourage its present employees to refer minorities and women as applicants for employment. Information and procedures with regard to referring such applicants will be discussed with employees.

**5. Personnel Actions:** Wages, working conditions, and employee benefits shall be established and administered, and personnel actions of every type, including hiring, upgrading, promotion, transfer, demotion, layoff, and termination, shall be taken without regard to race, color, religion, sex, national origin, age or disability. The following procedures shall be followed:

a. The contractor will conduct periodic inspections of project sites to insure that working conditions and employee facilities do not indicate discriminatory treatment of project site personnel.

b. The contractor will periodically evaluate the spread of wages paid within each classification to determine any evidence of discriminatory wage practices.

c. The contractor will periodically review selected personnel actions in depth to determine whether there is evidence of discrimination. Where evidence is found, the contractor will promptly take corrective action. If the review indicates that the discrimination may extend beyond the actions reviewed, such corrective action shall include all affected persons.

d. The contractor will promptly investigate all complaints of alleged discrimination made to the contractor in connection with its obligations under this contract, will attempt to resolve such complaints, and will take appropriate corrective action within a reasonable time. If the investigation indicates that the discrimination may affect persons other than the complainant, such corrective action shall include such other persons. Upon completion of each investigation, the contractor will inform every complainant of all of their avenues of appeal.

**6. Training and Promotion:**

a. The contractor will assist in locating, qualifying, and increasing the skills of minorities and women who are

applicants for employment or current employees. Such efforts should be aimed at developing full journey level status employees in the type of trade or job classification involved.

b. Consistent with the contractor's work force requirements and as permissible under Federal and State regulations, the contractor shall make full use of training programs, i.e., apprenticeship, and on-the-job training programs for the geographical area of contract performance. In the event a special provision for training is provided under this contract, this subparagraph will be superseded as indicated in the special provision. The contracting agency may reserve training positions for persons who receive welfare assistance in accordance with 23 U.S.C. 140(a).

c. The contractor will advise employees and applicants for employment of available training programs and entrance requirements for each.

d. The contractor will periodically review the training and promotion potential of employees who are minorities and women and will encourage eligible employees to apply for such training and promotion.

**7. Unions:** If the contractor relies in whole or in part upon unions as a source of employees, the contractor will use good faith efforts to obtain the cooperation of such unions to increase opportunities for minorities and women. Actions by the contractor, either directly or through a contractor's association acting as agent, will include the procedures set forth below:

a. The contractor will use good faith efforts to develop, in cooperation with the unions, joint training programs aimed toward qualifying more minorities and women for membership in the unions and increasing the skills of minorities and women so that they may qualify for higher paying employment.

b. The contractor will use good faith efforts to incorporate an EEO clause into each union agreement to the end that such union will be contractually bound to refer applicants without regard to their race, color, religion, sex, national origin, age or disability.

c. The contractor is to obtain information as to the referral practices and policies of the labor union except that to the extent such information is within the exclusive possession of the labor union and such labor union refuses to furnish such information to the contractor, the contractor shall so certify to the contracting agency and shall set forth what efforts have been made to obtain such information.

d. In the event the union is unable to provide the contractor with a reasonable flow of referrals within the time limit set forth in the collective bargaining agreement, the contractor will, through independent recruitment efforts, fill the employment vacancies without regard to race, color, religion, sex, national origin, age or disability; making full efforts to obtain qualified and/or qualifiable minorities and women. The failure of a union to provide sufficient referrals (even though it is obligated to provide exclusive referrals under the terms of a collective bargaining agreement) does not relieve the contractor from the requirements of this paragraph. In the event the union referral practice prevents the contractor from meeting the obligations pursuant to Executive Order 11246, as amended, and these special provisions, such contractor shall immediately notify the contracting agency.

**8. Reasonable Accommodation for Applicants / Employees with Disabilities:** The contractor must be familiar

with the requirements for and comply with the Americans with Disabilities Act and all rules and regulations established there under. Employers must provide reasonable accommodation in all employment activities unless to do so would cause an undue hardship.

**9. Selection of Subcontractors, Procurement of Materials and Leasing of Equipment:** The contractor shall not discriminate on the grounds of race, color, religion, sex, national origin, age or disability in the selection and retention of subcontractors, including procurement of materials and leases of equipment. The contractor shall take all necessary and reasonable steps to ensure nondiscrimination in the administration of this contract.

a. The contractor shall notify all potential subcontractors and suppliers and lessors of their EEO obligations under this contract.

b. The contractor will use good faith efforts to ensure subcontractor compliance with their EEO obligations.

#### **10. Assurance Required by 49 CFR 26.13(b):**

a. The requirements of 49 CFR Part 26 and the State DOT's U.S. DOT-approved DBE program are incorporated by reference.

b. The contractor or subcontractor shall not discriminate on the basis of race, color, national origin, or sex in the performance of this contract. The contractor shall carry out applicable requirements of 49 CFR Part 26 in the award and administration of DOT-assisted contracts. Failure by the contractor to carry out these requirements is a material breach of this contract, which may result in the termination of this contract or such other remedy as the contracting agency deems appropriate.

**11. Records and Reports:** The contractor shall keep such records as necessary to document compliance with the EEO requirements. Such records shall be retained for a period of three years following the date of the final payment to the contractor for all contract work and shall be available at reasonable times and places for inspection by authorized representatives of the contracting agency and the FHWA.

a. The records kept by the contractor shall document the following:

(1) The number and work hours of minority and non-minority group members and women employed in each work classification on the project;

(2) The progress and efforts being made in cooperation with unions, when applicable, to increase employment opportunities for minorities and women; and

(3) The progress and efforts being made in locating, hiring, training, qualifying, and upgrading minorities and women;

b. The contractors and subcontractors will submit an annual report to the contracting agency each July for the duration of the project, indicating the number of minority, women, and non-minority group employees currently engaged in each work classification required by the contract work. This information is to be reported on [Form FHWA-1391](#). The staffing data should represent the project work force on board in all or any part of the last payroll period preceding the end of July. If on-the-job training is being required by special provision, the contractor

will be required to collect and report training data. The employment data should reflect the work force on board during all or any part of the last payroll period preceding the end of July.

### III. NONSEGREGATED FACILITIES

This provision is applicable to all Federal-aid construction contracts and to all related construction subcontracts of \$10,000 or more.

The contractor must ensure that facilities provided for employees are provided in such a manner that segregation on the basis of race, color, religion, sex, or national origin cannot result. The contractor may neither require such segregated use by written or oral policies nor tolerate such use by employee custom. The contractor's obligation extends further to ensure that its employees are not assigned to perform their services at any location, under the contractor's control, where the facilities are segregated. The term "facilities" includes waiting rooms, work areas, restaurants and other eating areas, time clocks, restrooms, washrooms, locker rooms, and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing provided for employees. The contractor shall provide separate or single-user restrooms and necessary dressing or sleeping areas to assure privacy between sexes.

### IV. DAVIS-BACON AND RELATED ACT PROVISIONS

This section is applicable to all Federal-aid construction projects exceeding \$2,000 and to all related subcontracts and lower-tier subcontracts (regardless of subcontract size). The requirements apply to all projects located within the right-of-way of a roadway that is functionally classified as Federal-aid highway. This excludes roadways functionally classified as local roads or rural minor collectors, which are exempt. Contracting agencies may elect to apply these requirements to other projects.

The following provisions are from the U.S. Department of Labor regulations in 29 CFR 5.5 "Contract provisions and related matters" with minor revisions to conform to the FHWA-1273 format and FHWA program requirements.

#### 1. Minimum wages

a. All laborers and mechanics employed or working upon the site of the work, will be paid unconditionally and not less often than once a week, and without subsequent deduction or rebate on any account (except such payroll deductions as are permitted by regulations issued by the Secretary of Labor under the Copeland Act (29 CFR part 3)), the full amount of wages and bona fide fringe benefits (or cash equivalents thereof) due at time of payment computed at rates not less than those contained in the wage determination of the Secretary of Labor which is attached hereto and made a part hereof, regardless of any contractual relationship which may be alleged to exist between the contractor and such laborers and mechanics.

Contributions made or costs reasonably anticipated for bona fide fringe benefits under section 1(b)(2) of the Davis-Bacon Act on behalf of laborers or mechanics are considered wages paid to such laborers or mechanics, subject to the provisions

of paragraph 1.d. of this section; also, regular contributions made or costs incurred for more than a weekly period (but not less often than quarterly) under plans, funds, or programs which cover the particular weekly period, are deemed to be constructively made or incurred during such weekly period. Such laborers and mechanics shall be paid the appropriate wage rate and fringe benefits on the wage determination for the classification of work actually performed, without regard to skill, except as provided in 29 CFR 5.5(a)(4). Laborers or mechanics performing work in more than one classification may be compensated at the rate specified for each classification for the time actually worked therein: Provided, That the employer's payroll records accurately set forth the time spent in each classification in which work is performed. The wage determination (including any additional classification and wage rates conformed under paragraph 1.b. of this section) and the Davis-Bacon poster (WH-1321) shall be posted at all times by the contractor and its subcontractors at the site of the work in a prominent and accessible place where it can be easily seen by the workers.

b.(1) The contracting officer shall require that any class of laborers or mechanics, including helpers, which is not listed in the wage determination and which is to be employed under the contract shall be classified in conformance with the wage determination. The contracting officer shall approve an additional classification and wage rate and fringe benefits therefore only when the following criteria have been met:

(i) The work to be performed by the classification requested is not performed by a classification in the wage determination; and

(ii) The classification is utilized in the area by the construction industry; and

(iii) The proposed wage rate, including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage determination.

(2) If the contractor and the laborers and mechanics to be employed in the classification (if known), or their representatives, and the contracting officer agree on the classification and wage rate (including the amount designated for fringe benefits where appropriate), a report of the action taken shall be sent by the contracting officer to the Administrator of the Wage and Hour Division, Employment Standards Administration, U.S. Department of Labor, Washington, DC 20210. The Administrator, or an authorized representative, will approve, modify, or disapprove every additional classification action within 30 days of receipt and so advise the contracting officer or will notify the contracting officer within the 30-day period that additional time is necessary.

(3) In the event the contractor, the laborers or mechanics to be employed in the classification or their representatives, and the contracting officer do not agree on the proposed classification and wage rate (including the amount designated for fringe benefits, where appropriate), the contracting officer shall refer the questions, including the views of all interested parties and the recommendation of the contracting officer, to the Wage and Hour Administrator for determination. The Wage and Hour Administrator, or an authorized representative, will issue a determination within 30 days of receipt and so advise the contracting officer or

will notify the contracting officer within the 30-day period that additional time is necessary.

(4) The wage rate (including fringe benefits where appropriate) determined pursuant to paragraphs 1.b.(2) or 1.b.(3) of this section, shall be paid to all workers performing work in the classification under this contract from the first day on which work is performed in the classification.

c. Whenever the minimum wage rate prescribed in the contract for a class of laborers or mechanics includes a fringe benefit which is not expressed as an hourly rate, the contractor shall either pay the benefit as stated in the wage determination or shall pay another bona fide fringe benefit or an hourly cash equivalent thereof.

d. If the contractor does not make payments to a trustee or other third person, the contractor may consider as part of the wages of any laborer or mechanic the amount of any costs reasonably anticipated in providing bona fide fringe benefits under a plan or program. Provided, That the Secretary of Labor has found, upon the written request of the contractor, that the applicable standards of the Davis-Bacon Act have been met. The Secretary of Labor may require the contractor to set aside in a separate account assets for the meeting of obligations under the plan or program.

## 2. Withholding

The contracting agency shall upon its own action or upon written request of an authorized representative of the Department of Labor, withhold or cause to be withheld from the contractor under this contract, or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to Davis-Bacon prevailing wage requirements, which is held by the same prime contractor, so much of the accrued payments or advances as may be considered necessary to pay laborers and mechanics, including apprentices, trainees, and helpers, employed by the contractor or any subcontractor the full amount of wages required by the contract. In the event of failure to pay any laborer or mechanic, including any apprentice, trainee, or helper, employed or working on the site of the work, all or part of the wages required by the contract, the contracting agency may, after written notice to the contractor, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds until such violations have ceased.

## 3. Payrolls and basic records

a. Payrolls and basic records relating thereto shall be maintained by the contractor during the course of the work and preserved for a period of three years thereafter for all laborers and mechanics working at the site of the work. Such records shall contain the name, address, and social security number of each such worker, his or her correct classification, hourly rates of wages paid (including rates of contributions or costs anticipated for bona fide fringe benefits or cash equivalents thereof of the types described in section 1(b)(2)(B) of the Davis-Bacon Act), daily and weekly number of hours worked, deductions made and actual wages paid. Whenever the Secretary of Labor has found under 29 CFR 5.5(a)(1)(iv) that the wages of any laborer or mechanic include the amount of any costs reasonably anticipated in providing benefits under a plan or program described in section 1(b)(2)(B) of the Davis-

Bacon Act, the contractor shall maintain records which show that the commitment to provide such benefits is enforceable, that the plan or program is financially responsible, and that the plan or program has been communicated in writing to the laborers or mechanics affected, and records which show the costs anticipated or the actual cost incurred in providing such benefits. Contractors employing apprentices or trainees under approved programs shall maintain written evidence of the registration of apprenticeship programs and certification of trainee programs, the registration of the apprentices and trainees, and the ratios and wage rates prescribed in the applicable programs.

b.(1) The contractor shall submit weekly for each week in which any contract work is performed a copy of all payrolls to the contracting agency. The payrolls submitted shall set out accurately and completely all of the information required to be maintained under 29 CFR 5.5(a)(3)(i), except that full social security numbers and home addresses shall not be included on weekly transmittals. Instead the payrolls shall only need to include an individually identifying number for each employee (e.g., the last four digits of the employee's social security number). The required weekly payroll information may be submitted in any form desired. Optional Form WH-347 is available for this purpose from the Wage and Hour Division Web site at <http://www.dol.gov/esa/whd/forms/wh347instr.htm> or its successor site. The prime contractor is responsible for the submission of copies of payrolls by all subcontractors. Contractors and subcontractors shall maintain the full social security number and current address of each covered worker, and shall provide them upon request to the contracting agency for transmission to the State DOT, the FHWA or the Wage and Hour Division of the Department of Labor for purposes of an investigation or audit of compliance with prevailing wage requirements. It is not a violation of this section for a prime contractor to require a subcontractor to provide addresses and social security numbers to the prime contractor for its own records, without weekly submission to the contracting agency..

(2) Each payroll submitted shall be accompanied by a "Statement of Compliance," signed by the contractor or subcontractor or his or her agent who pays or supervises the payment of the persons employed under the contract and shall certify the following:

(i) That the payroll for the payroll period contains the information required to be provided under §5.5 (a)(3)(ii) of Regulations, 29 CFR part 5, the appropriate information is being maintained under §5.5 (a)(3)(i) of Regulations, 29 CFR part 5, and that such information is correct and complete;

(ii) That each laborer or mechanic (including each helper, apprentice, and trainee) employed on the contract during the payroll period has been paid the full weekly wages earned, without rebate, either directly or indirectly, and that no deductions have been made either directly or indirectly from the full wages earned, other than permissible deductions as set forth in Regulations, 29 CFR part 3;

(iii) That each laborer or mechanic has been paid not less than the applicable wage rates and fringe benefits or cash equivalents for the classification of work performed, as specified in the applicable wage determination incorporated into the contract.



(3) The weekly submission of a properly executed certification set forth on the reverse side of Optional Form WH-347 shall satisfy the requirement for submission of the "Statement of Compliance" required by paragraph 3.b.(2) of this section.

(4) The falsification of any of the above certifications may subject the contractor or subcontractor to civil or criminal prosecution under section 1001 of title 18 and section 231 of title 31 of the United States Code.

c. The contractor or subcontractor shall make the records required under paragraph 3.a. of this section available for inspection, copying, or transcription by authorized representatives of the contracting agency, the State DOT, the FHWA, or the Department of Labor, and shall permit such representatives to interview employees during working hours on the job. If the contractor or subcontractor fails to submit the required records or to make them available, the FHWA may, after written notice to the contractor, the contracting agency or the State DOT, take such action as may be necessary to cause the suspension of any further payment, advance, or guarantee of funds. Furthermore, failure to submit the required records upon request or to make such records available may be grounds for debarment action pursuant to 29 CFR 5.12.

#### 4. Apprentices and trainees

##### a. Apprentices (programs of the USDOL).

Apprentices will be permitted to work at less than the predetermined rate for the work they performed when they are employed pursuant to and individually registered in a bona fide apprenticeship program registered with the U.S. Department of Labor, Employment and Training Administration, Office of Apprenticeship Training, Employer and Labor Services, or with a State Apprenticeship Agency recognized by the Office, or if a person is employed in his or her first 90 days of probationary employment as an apprentice in such an apprenticeship program, who is not individually registered in the program, but who has been certified by the Office of Apprenticeship Training, Employer and Labor Services or a State Apprenticeship Agency (where appropriate) to be eligible for probationary employment as an apprentice.

The allowable ratio of apprentices to journeymen on the job site in any craft classification shall not be greater than the ratio permitted to the contractor as to the entire work force under the registered program. Any worker listed on a payroll at an apprentice wage rate, who is not registered or otherwise employed as stated above, shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any apprentice performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed. Where a contractor is performing construction on a project in a locality other than that in which its program is registered, the ratios and wage rates (expressed in percentages of the journeyman's hourly rate) specified in the contractor's or subcontractor's registered program shall be observed.

Every apprentice must be paid at not less than the rate specified in the registered program for the apprentice's level of progress, expressed as a percentage of the journeymen hourly

rate specified in the applicable wage determination. Apprentices shall be paid fringe benefits in accordance with the provisions of the apprenticeship program. If the apprenticeship program does not specify fringe benefits, apprentices must be paid the full amount of fringe benefits listed on the wage determination for the applicable classification. If the Administrator determines that a different practice prevails for the applicable apprentice classification, fringes shall be paid in accordance with that determination.

In the event the Office of Apprenticeship Training, Employer and Labor Services, or a State Apprenticeship Agency recognized by the Office, withdraws approval of an apprenticeship program, the contractor will no longer be permitted to utilize apprentices at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

##### b. Trainees (programs of the USDOL).

Except as provided in 29 CFR 5.16, trainees will not be permitted to work at less than the predetermined rate for the work performed unless they are employed pursuant to and individually registered in a program which has received prior approval, evidenced by formal certification by the U.S. Department of Labor, Employment and Training Administration.

The ratio of trainees to journeymen on the job site shall not be greater than permitted under the plan approved by the Employment and Training Administration.

Every trainee must be paid at not less than the rate specified in the approved program for the trainee's level of progress, expressed as a percentage of the journeyman hourly rate specified in the applicable wage determination. Trainees shall be paid fringe benefits in accordance with the provisions of the trainee program. If the trainee program does not mention fringe benefits, trainees shall be paid the full amount of fringe benefits listed on the wage determination unless the Administrator of the Wage and Hour Division determines that there is an apprenticeship program associated with the corresponding journeyman wage rate on the wage determination which provides for less than full fringe benefits for apprentices. Any employee listed on the payroll at a trainee rate who is not registered and participating in a training plan approved by the Employment and Training Administration shall be paid not less than the applicable wage rate on the wage determination for the classification of work actually performed. In addition, any trainee performing work on the job site in excess of the ratio permitted under the registered program shall be paid not less than the applicable wage rate on the wage determination for the work actually performed.

In the event the Employment and Training Administration withdraws approval of a training program, the contractor will no longer be permitted to utilize trainees at less than the applicable predetermined rate for the work performed until an acceptable program is approved.

c. Equal employment opportunity. The utilization of apprentices, trainees and journeymen under this part shall be in conformity with the equal employment opportunity requirements of Executive Order 11246, as amended, and 29 CFR part 30.



d. Apprentices and Trainees (programs of the U.S. DOT).

Apprentices and trainees working under apprenticeship and skill training programs which have been certified by the Secretary of Transportation as promoting EEO in connection with Federal-aid highway construction programs are not subject to the requirements of paragraph 4. of this Section IV. The straight time hourly wage rates for apprentices and trainees under such programs will be established by the particular programs. The ratio of apprentices and trainees to journeymen shall not be greater than permitted by the terms of the particular program.

**5. Compliance with Copeland Act requirements.** The contractor shall comply with the requirements of 29 CFR part 3, which are incorporated by reference in this contract.

**6. Subcontracts.** The contractor or subcontractor shall insert Form FHWA-1273 in any subcontracts and also require the subcontractors to include Form FHWA-1273 in any lower tier subcontracts. The prime contractor shall be responsible for the compliance by any subcontractor or lower tier subcontractor with all the contract clauses in 29 CFR 5.5.

**7. Contract termination; debarment.** A breach of the contract clauses in 29 CFR 5.5 may be grounds for termination of the contract, and for debarment as a contractor and a subcontractor as provided in 29 CFR 5.12.

**8. Compliance with Davis-Bacon and Related Act requirements.** All rulings and interpretations of the Davis-Bacon and Related Acts contained in 29 CFR parts 1, 3, and 5 are herein incorporated by reference in this contract.

**9. Disputes concerning labor standards.** Disputes arising out of the labor standards provisions of this contract shall not be subject to the general disputes clause of this contract. Such disputes shall be resolved in accordance with the procedures of the Department of Labor set forth in 29 CFR parts 5, 6, and 7. Disputes within the meaning of this clause include disputes between the contractor (or any of its subcontractors) and the contracting agency, the U.S. Department of Labor, or the employees or their representatives.

**10. Certification of eligibility.**

a. By entering into this contract, the contractor certifies that neither it (nor he or she) nor any person or firm who has an interest in the contractor's firm is a person or firm ineligible to be awarded Government contracts by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

b. No part of this contract shall be subcontracted to any person or firm ineligible for award of a Government contract by virtue of section 3(a) of the Davis-Bacon Act or 29 CFR 5.12(a)(1).

c. The penalty for making false statements is prescribed in the U.S. Criminal Code, 18 U.S.C. 1001.

**V. CONTRACT WORK HOURS AND SAFETY STANDARDS ACT**

The following clauses apply to any Federal-aid construction contract in an amount in excess of \$100,000 and subject to the overtime provisions of the Contract Work Hours and Safety Standards Act. These clauses shall be inserted in addition to the clauses required by 29 CFR 5.5(a) or 29 CFR 4.6. As used in this paragraph, the terms laborers and mechanics include watchmen and guards.

**1. Overtime requirements.** No contractor or subcontractor contracting for any part of the contract work which may require or involve the employment of laborers or mechanics shall require or permit any such laborer or mechanic in any workweek in which he or she is employed on such work to work in excess of forty hours in such workweek unless such laborer or mechanic receives compensation at a rate not less than one and one-half times the basic rate of pay for all hours worked in excess of forty hours in such workweek.

**2. Violation; liability for unpaid wages; liquidated damages.** In the event of any violation of the clause set forth in paragraph (1.) of this section, the contractor and any subcontractor responsible therefor shall be liable for the unpaid wages. In addition, such contractor and subcontractor shall be liable to the United States (in the case of work done under contract for the District of Columbia or a territory, to such District or to such territory), for liquidated damages. Such liquidated damages shall be computed with respect to each individual laborer or mechanic, including watchmen and guards, employed in violation of the clause set forth in paragraph (1.) of this section, in the sum of \$10 for each calendar day on which such individual was required or permitted to work in excess of the standard workweek of forty hours without payment of the overtime wages required by the clause set forth in paragraph (1.) of this section.

**3. Withholding for unpaid wages and liquidated damages.** The FHWA or the contracting agency shall upon its own action or upon written request of an authorized representative of the Department of Labor withhold or cause to be withheld, from any moneys payable on account of work performed by the contractor or subcontractor under any such contract or any other Federal contract with the same prime contractor, or any other federally-assisted contract subject to the Contract Work Hours and Safety Standards Act, which is held by the same prime contractor, such sums as may be determined to be necessary to satisfy any liabilities of such contractor or subcontractor for unpaid wages and liquidated damages as provided in the clause set forth in paragraph (2.) of this section.

**4. Subcontracts.** The contractor or subcontractor shall insert in any subcontracts the clauses set forth in paragraph (1.) through (4.) of this section and also a clause requiring the subcontractors to include these clauses in any lower tier subcontracts. The prime contractor shall be responsible for compliance by any subcontractor or lower tier subcontractor with the clauses set forth in paragraphs (1.) through (4.) of this section.

## VI. SUBLETTING OR ASSIGNING THE CONTRACT

This provision is applicable to all Federal-aid construction contracts on the National Highway System.

1. The contractor shall perform with its own organization contract work amounting to not less than 30 percent (or a greater percentage if specified elsewhere in the contract) of the total original contract price, excluding any specialty items designated by the contracting agency. Specialty items may be performed by subcontract and the amount of any such specialty items performed may be deducted from the total original contract price before computing the amount of work required to be performed by the contractor's own organization (23 CFR 635.116).

a. The term "perform work with its own organization" refers to workers employed or leased by the prime contractor, and equipment owned or rented by the prime contractor, with or without operators. Such term does not include employees or equipment of a subcontractor or lower tier subcontractor, agents of the prime contractor, or any other assignees. The term may include payments for the costs of hiring leased employees from an employee leasing firm meeting all relevant Federal and State regulatory requirements. Leased employees may only be included in this term if the prime contractor meets all of the following conditions:

(1) the prime contractor maintains control over the supervision of the day-to-day activities of the leased employees;

(2) the prime contractor remains responsible for the quality of the work of the leased employees;

(3) the prime contractor retains all power to accept or exclude individual employees from work on the project; and

(4) the prime contractor remains ultimately responsible for the payment of predetermined minimum wages, the submission of payrolls, statements of compliance and all other Federal regulatory requirements.

b. "Specialty Items" shall be construed to be limited to work that requires highly specialized knowledge, abilities, or equipment not ordinarily available in the type of contracting organizations qualified and expected to bid or propose on the contract as a whole and in general are to be limited to minor components of the overall contract.

2. The contract amount upon which the requirements set forth in paragraph (1) of Section VI is computed includes the cost of material and manufactured products which are to be purchased or produced by the contractor under the contract provisions.

3. The contractor shall furnish (a) a competent superintendent or supervisor who is employed by the firm, has full authority to direct performance of the work in accordance with the contract requirements, and is in charge of all construction operations (regardless of who performs the work) and (b) such other of its own organizational resources (supervision, management, and engineering services) as the contracting officer determines is necessary to assure the performance of the contract.

4. No portion of the contract shall be sublet, assigned or otherwise disposed of except with the written consent of the contracting officer, or authorized representative, and such consent when given shall not be construed to relieve the contractor of any responsibility for the fulfillment of the contract. Written consent will be given only after the contracting agency has assured that each subcontract is

evidenced in writing and that it contains all pertinent provisions and requirements of the prime contract.

5. The 30% self-performance requirement of paragraph (1) is not applicable to design-build contracts; however, contracting agencies may establish their own self-performance requirements.

## VII. SAFETY: ACCIDENT PREVENTION

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts.

1. In the performance of this contract the contractor shall comply with all applicable Federal, State, and local laws governing safety, health, and sanitation (23 CFR 635). The contractor shall provide all safeguards, safety devices and protective equipment and take any other needed actions as it determines, or as the contracting officer may determine, to be reasonably necessary to protect the life and health of employees on the job and the safety of the public and to protect property in connection with the performance of the work covered by the contract.

2. It is a condition of this contract, and shall be made a condition of each subcontract, which the contractor enters into pursuant to this contract, that the contractor and any subcontractor shall not permit any employee, in performance of the contract, to work in surroundings or under conditions which are unsanitary, hazardous or dangerous to his/her health or safety, as determined under construction safety and health standards (29 CFR 1926) promulgated by the Secretary of Labor, in accordance with Section 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 3704).

3. Pursuant to 29 CFR 1926.3, it is a condition of this contract that the Secretary of Labor or authorized representative thereof, shall have right of entry to any site of contract performance to inspect or investigate the matter of compliance with the construction safety and health standards and to carry out the duties of the Secretary under Section 107 of the Contract Work Hours and Safety Standards Act (40 U.S.C. 3704).

## VIII. FALSE STATEMENTS CONCERNING HIGHWAY PROJECTS

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts.

In order to assure high quality and durable construction in conformity with approved plans and specifications and a high degree of reliability on statements and representations made by engineers, contractors, suppliers, and workers on Federal-aid highway projects, it is essential that all persons concerned with the project perform their functions as carefully, thoroughly, and honestly as possible. Willful falsification, distortion, or misrepresentation with respect to any facts related to the project is a violation of Federal law. To prevent any misunderstanding regarding the seriousness of these and similar acts, Form FHWA-1022 shall be posted on each Federal-aid highway project (23 CFR 635) in one or more places where it is readily available to all persons concerned with the project:

18 U.S.C. 1020 reads as follows:

"Whoever, being an officer, agent, or employee of the United States, or of any State or Territory, or whoever, whether a person, association, firm, or corporation, knowingly makes any false statement, false representation, or false report as to the character, quality, quantity, or cost of the material used or to be used, or the quantity or quality of the work performed or to be performed, or the cost thereof in connection with the submission of plans, maps, specifications, contracts, or costs of construction on any highway or related project submitted for approval to the Secretary of Transportation; or

Whoever knowingly makes any false statement, false representation, false report or false claim with respect to the character, quality, quantity, or cost of any work performed or to be performed, or materials furnished or to be furnished, in connection with the construction of any highway or related project approved by the Secretary of Transportation; or

Whoever knowingly makes any false statement or false representation as to material fact in any statement, certificate, or report submitted pursuant to provisions of the Federal-aid Roads Act approved July 1, 1916, (39 Stat. 355), as amended and supplemented;

Shall be fined under this title or imprisoned not more than 5 years or both."

#### **IX. IMPLEMENTATION OF CLEAN AIR ACT AND FEDERAL WATER POLLUTION CONTROL ACT**

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts.

By submission of this bid/proposal or the execution of this contract, or subcontract, as appropriate, the bidder, proposer, Federal-aid construction contractor, or subcontractor, as appropriate, will be deemed to have stipulated as follows:

1. That any person who is or will be utilized in the performance of this contract is not prohibited from receiving an award due to a violation of Section 508 of the Clean Water Act or Section 306 of the Clean Air Act.

2. That the contractor agrees to include or cause to be included the requirements of paragraph (1) of this Section X in every subcontract, and further agrees to take such action as the contracting agency may direct as a means of enforcing such requirements.

#### **X. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION**

This provision is applicable to all Federal-aid construction contracts, design-build contracts, subcontracts, lower-tier subcontracts, purchase orders, lease agreements, consultant contracts or any other covered transaction requiring FHWA approval or that is estimated to cost \$25,000 or more – as defined in 2 CFR Parts 180 and 1200.

##### **1. Instructions for Certification – First Tier Participants:**

a. By signing and submitting this proposal, the prospective first tier participant is providing the certification set out below.

b. The inability of a person to provide the certification set out below will not necessarily result in denial of participation in this

covered transaction. The prospective first tier participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective first tier participant to furnish a certification or an explanation shall disqualify such a person from participation in this transaction.

c. The certification in this clause is a material representation of fact upon which reliance was placed when the contracting agency determined to enter into this transaction. If it is later determined that the prospective participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the contracting agency may terminate this transaction for cause of default.

d. The prospective first tier participant shall provide immediate written notice to the contracting agency to whom this proposal is submitted if any time the prospective first tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

e. The terms "covered transaction," "debarred," "suspended," "ineligible," "participant," "person," "principal," and "voluntarily excluded," as used in this clause, are defined in 2 CFR Parts 180 and 1200. "First Tier Covered Transactions" refers to any covered transaction between a grantee or subgrantee of Federal funds and a participant (such as the prime or general contract). "Lower Tier Covered Transactions" refers to any covered transaction under a First Tier Covered Transaction (such as subcontracts). "First Tier Participant" refers to the participant who has entered into a covered transaction with a grantee or subgrantee of Federal funds (such as the prime or general contractor). "Lower Tier Participant" refers any participant who has entered into a covered transaction with a First Tier Participant or other Lower Tier Participants (such as subcontractors and suppliers).

f. The prospective first tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

g. The prospective first tier participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transactions," provided by the department or contracting agency, entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions exceeding the \$25,000 threshold.

h. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant is responsible for ensuring that its principals are not suspended, debarred, or otherwise ineligible to participate in covered transactions. To verify the eligibility of its principals, as well as the eligibility of any lower tier prospective participants, each participant may, but is not required to, check the Excluded Parties List System website (<https://www.epls.gov/>), which is compiled by the General Services Administration.



i. Nothing contained in the foregoing shall be construed to require the establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of the prospective participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

j. Except for transactions authorized under paragraph (f) of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

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## **2. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – First Tier Participants:**

a. The prospective first tier participant certifies to the best of its knowledge and belief, that it and its principals:

(1) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in covered transactions by any Federal department or agency;

(2) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them 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 governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (a)(2) of this certification; and

(4) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

b. Where the prospective participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

## **2. Instructions for Certification - Lower Tier Participants:**

(Applicable to all subcontracts, purchase orders and other lower tier transactions requiring prior FHWA approval or estimated to cost \$25,000 or more - 2 CFR Parts 180 and 1200)

a. By signing and submitting this proposal, the prospective lower tier is providing the certification set out below.

b. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department, or agency with which

this transaction originated may pursue available remedies, including suspension and/or debarment.

c. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous by reason of changed circumstances.

d. The terms "covered transaction," "debarred," "suspended," "ineligible," "participant," "person," "principal," and "voluntarily excluded," as used in this clause, are defined in 2 CFR Parts 180 and 1200. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations. "First Tier Covered Transactions" refers to any covered transaction between a grantee or subgrantee of Federal funds and a participant (such as the prime or general contract). "Lower Tier Covered Transactions" refers to any covered transaction under a First Tier Covered Transaction (such as subcontracts). "First Tier Participant" refers to the participant who has entered into a covered transaction with a grantee or subgrantee of Federal funds (such as the prime or general contractor). "Lower Tier Participant" refers any participant who has entered into a covered transaction with a First Tier Participant or other Lower Tier Participants (such as subcontractors and suppliers).

e. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

f. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions exceeding the \$25,000 threshold.

g. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant is responsible for ensuring that its principals are not suspended, debarred, or otherwise ineligible to participate in covered transactions. To verify the eligibility of its principals, as well as the eligibility of any lower tier prospective participants, each participant may, but is not required to, check the Excluded Parties List System website (<https://www.epls.gov/>), which is compiled by the General Services Administration.

h. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

i. Except for transactions authorized under paragraph e of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the

department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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**Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Participants:**

1. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in covered transactions by any Federal department or agency.

2. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

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**XI. CERTIFICATION REGARDING USE OF CONTRACT FUNDS FOR LOBBYING**

This provision is applicable to all Federal-aid construction contracts and to all related subcontracts which exceed \$100,000 (49 CFR 20).

1. The prospective participant certifies, by signing and submitting this bid or proposal, to the best of his or her knowledge and belief, that:

a. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

b. If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

2. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

3. The prospective participant also agrees by submitting its bid or proposal that the participant shall require that the language of this certification be included in all lower tier subcontracts, which exceed \$100,000 and that all such recipients shall certify and disclose accordingly.



**ATTACHMENT A - EMPLOYMENT AND MATERIALS  
PREFERENCE FOR APPALACHIAN DEVELOPMENT  
HIGHWAY SYSTEM OR APPALACHIAN LOCAL ACCESS  
ROAD CONTRACTS**

This provision is applicable to all Federal-aid projects funded under the Appalachian Regional Development Act of 1965.

1. During the performance of this contract, the contractor undertaking to do work which is, or reasonably may be, done as on-site work, shall give preference to qualified persons who regularly reside in the labor area as designated by the DOL wherein the contract work is situated, or the subregion, or the Appalachian counties of the State wherein the contract work is situated, except:

a. To the extent that qualified persons regularly residing in the area are not available.

b. For the reasonable needs of the contractor to employ supervisory or specially experienced personnel necessary to assure an efficient execution of the contract work.

c. For the obligation of the contractor to offer employment to present or former employees as the result of a lawful collective bargaining contract, provided that the number of nonresident persons employed under this subparagraph (1c) shall not exceed 20 percent of the total number of employees employed by the contractor on the contract work, except as provided in subparagraph (4) below.

2. The contractor shall place a job order with the State Employment Service indicating (a) the classifications of the laborers, mechanics and other employees required to perform the contract work, (b) the number of employees required in each classification, (c) the date on which the participant estimates such employees will be required, and (d) any other pertinent information required by the State Employment Service to complete the job order form. The job order may be placed with the State Employment Service in writing or by telephone. If during the course of the contract work, the information submitted by the contractor in the original job order is substantially modified, the participant shall promptly notify the State Employment Service.

3. The contractor shall give full consideration to all qualified job applicants referred to him by the State Employment Service. The contractor is not required to grant employment to any job applicants who, in his opinion, are not qualified to perform the classification of work required.

4. If, within one week following the placing of a job order by the contractor with the State Employment Service, the State Employment Service is unable to refer any qualified job applicants to the contractor, or less than the number requested, the State Employment Service will forward a certificate to the contractor indicating the unavailability of applicants. Such certificate shall be made a part of the contractor's permanent project records. Upon receipt of this certificate, the contractor may employ persons who do not normally reside in the labor area to fill positions covered by the certificate, notwithstanding the provisions of subparagraph (1c) above.

5. The provisions of 23 CFR 633.207(e) allow the contracting agency to provide a contractual preference for the use of mineral resource materials native to the Appalachian region.

6. The contractor shall include the provisions of Sections 1 through 4 of this Attachment A in every subcontract for work which is, or reasonably may be, done as on-site work.