



# Request for Proposals to Provide Household Hazardous Waste Collection and Processing Services

Project No. 8060

Advertised ..... December 9, 2025  
Pre-Submission Meeting.....December 18, 2025  
Deadline for questions or clarification.....4:00 p.m., January 7, 2026  
Proposals due ..... 1:30 p.m., January 16, 2026  
Potential award timeframe ..... February 2026

## Project Manager

Andrew Booker, Sr. Manager Innovation & Programs

### Board of Trustees

Susan Tilgner, Chair  
Kelly Scocco  
Commissioner Erica Crawley  
Sara Jensen  
Ron McClure  
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2. Non-Discrimination Affidavit
3. Affidavit of Authority
4. Delinquent Tax Affidavit
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6. Representative Document
7. Addendum Acknowledgement
8. RFP Exceptions Form
9. Acknowledgement (Local, Certified, EOE, and Green)

### Proposer Must Also Submit

- Certificate of Insurance

Exhibit C – Sample Contract



## Public Notice

The Solid Waste Authority of Central Ohio (SWACO) is seeking qualified suppliers to provide Household Hazardous Waste Collection and Processing Services for Franklin County residents. A virtual pre-submission meeting is scheduled for **December 18, 2025**, which will provide an overview of the Project. Do Business With Us and register to download the RFP documents by visiting [www.swaco.org/Bids.aspx](http://www.swaco.org/Bids.aspx). Sealed Proposals are due and must be received by SWACO no later than 1:30 p.m. (EST), **January 16, 2025**. Contact SWACO Procurement in writing only at [procurement@swaco.org](mailto:procurement@swaco.org) for questions concerning this RFP. No phone calls please. SWACO reserves the right to reject any and all proposals and/or to waive minor irregularities or informalities in the competitive process.

Advertised in *The Columbus Dispatch* on Tuesday, December 9, 2025.

# RFP to Provide Household Hazardous Waste Collection & Processing Services



## I. General Information

A. SWACO. The Solid Waste Authority of Central Ohio (“SWACO”) is a regional solid waste authority established in accordance with Ohio Revised Code Section 343.011. SWACO was created in 1989 in response to Substitute House Bill 592 (“HB 592”) to develop and implement a comprehensive solid waste management plan for the Franklin County Solid Waste Management District, which is comprised principally of Franklin County but includes parts of five (5) adjacent counties (collectively the “District”).

As a political subdivision of the State of Ohio, SWACO operates a Subtitle D sanitary landfill with an allowable maximum daily capacity of eight thousand (8,000) tons and two (2) waste transfer stations with a combined capacity of approximately one thousand three hundred (1,300) tons per day. SWACO owns and/or leases multiple facilities and operates on an estimated fifty-one million dollars (\$51,000,000) of annual revenue and twenty-five million (\$25,000,000) of SWACO’s EPA Trust Fund.

SWACO employs approximately one hundred thirty-five (135) full-time staff who work under three (3) major organizational functions: Administration, Operations, and Innovation & Programs. SWACO also provides programs aimed at reducing the generation and disposal of solid waste within SWACO’s District. These programs include public education and awareness, yard waste composting, and other waste-reduction activities. SWACO is also responsible for maintenance activities at a closed landfill. Total solid waste generation within SWACO’s District exceeds one million tons (1,000,000) per year.

A. Board of Trustees. A nine (9)-member Board of Trustees (“Board”) governs SWACO. Pursuant to Ohio Revised Code Section 343.011 and SWACO’s bylaws, the Mayor of the City of Columbus, and the Franklin County Board of Commissioners each appoint two (2) members to the Board. Other members include one (1) designee of the Franklin County Health Commissioner, one (1) designee of Franklin County’s Township Trustees, and three (3) members appointed by the Board representing the public, general interest of the citizens, and the industrial, commercial, or institutional generators of solid wastes within the District. The Board appoints SWACO’s Executive Director, who serves to direct the daily operations and functions of SWACO as SWACO’s Chief Executive Officer.

## II. The Project

A. Project Introduction & Description. Ohio’s State Solid Waste Management Plan requires all solid waste management districts in Ohio to provide strategies for managing Household Hazardous Waste (“HHW”). In order to address this requirement, SWACO currently provides a centrally located permanent location for residents to drop off HHW and sponsors three (3) to four (4) mobile collection events each year. Operation of the permanent facility and mobile collection events are done under a single contract with an HHW service provider. SWACO does not own the permanent HHW facility but does financially support the operation of the permanent location and mobile events through a services contract, promoting the use of the permanent location and participation in the mobile events.

1. Permanent Location. The permanent location is centrally located at 645 E. 8th Avenue, Columbus, Ohio 43201 and is open 9:00 a.m. to 5:00 p.m. Monday through Friday, and 9:00 a.m. to 2:00 p.m. on the first Saturday of each month. Over the last three (3) years, the facility has accepted approximately five hundred fifty thousand

(550,000) to seven hundred thousand (700,000) pounds of material each year. The facility operators report receiving approximately twenty-five (25) to sixty-five (65) vehicles a day, resulting in as many as ten thousand (10,000) vehicles in a year.

2. *Mobile Collection.* In addition to the permanent location, SWACO also provides several mobile collection events throughout the year. For many years annual mobile collection events have occurred in Dublin, Westerville, and Grove City, Ohio (communities located in the northwest, northeast, and southern portions of Franklin County). For the last two (2) years, a fourth mobile event has occurred in Gahanna (in the eastern portion of Franklin County). SWACO has complete discretion in terms of the number of mobile collection events conducted each year and the locations of the events, and SWACO is not obligated to conduct them in any of the locations mentioned previously. However, there are currently no plans to change the location or frequency of the events in Dublin, Westerville, and Grove City. The fourth event may be rotated to different locations over time.

The smaller mobile events, such as the one in Grove City, typically receive between five hundred (500) to six hundred (600) vehicles and twenty-five thousand (25,000) to thirty thousand (30,000) pounds of material, and the larger events, such as Westerville and Dublin, typically receive between nine hundred (900) to one thousand one hundred (1,100) vehicles and forty thousand (40,000) to forty-five thousand (45,000) pounds of material.

SWACO has expended approximately five hundred ninety-four thousand to eight hundred eight thousand dollars (\$594,00 to \$808,000) annually on the Household Hazardous Waste (“HHW”) program from 2022 to 2024. The HHW program collects a wide variety of HHW from the public for free, including batteries, fluorescent bulbs, light ballasts, mercury containing items, lawn and pool chemicals, automobile fluids, pesticides, poisons, cleaning products, corrosives, reactives, oxidizing materials, oil-based paint, propane, oxygen, and helium tanks, smoke detectors, fire extinguishers, and vape pens. The same materials are accepted at both the permanent and mobile events.

SWACO encourages residents to dry out latex paint and dispose of it in their household garbage since it is not considered to be a hazardous waste. However, residents can bring latex paint to the permanent or mobile events for recycling and are charged one dollar (\$1.00) per gallon directly by the vendor to do so. SWACO does not receive any revenue from the transactions for latex paint.

The HHW program does not accept ammunition, medical waste, pharmaceuticals, sharps, tires, or foam insulation tanks.

B. Project Objective. SWACO desires to continue providing residents with convenient access to properly dispose of their HHW while operating a program that is cost-effective for SWACO, ideally reducing HHW program costs. SWACO is seeking Proposals to continue:

1. Providing at least one (1) permanent location where residents can drop off HHW;
2. Conducting two (2) to four (4) mobile collection events a year, and;
3. Processing HHW that has been collected by one (1) to four (4) partnering communities as part of a pilot “hub and spoke” collection model.

The Project expectations and details are described in the Scope of Services, where each activity above will be described in further detail. Proposers may submit Proposals to provide one, some, or all of the program elements described.

C. Scope of Services. For the purposes of seeking Proposals for this Project, SWACO has developed a Scope of Services, attached hereto as **Exhibit A**, which may be further developed and refined during the Proposal evaluation process and the negotiation of any contract that may be awarded to the Successful Proposer(s), if any. The final Scope of Services for the Project may include any, all, or none of the elements as contained in Exhibit A.

D. Required Forms and Documents. Section III, Subsection C, provides a list of *Required Forms*, attached hereto as **Exhibit B**, for this RFP. All Required Forms are to be filled out in their entirety, notarized when applicable, and included with the Proposal. Please be sure to include any documentation required. Proposers must also include a copy of their Certificate of Insurance with the RFP submission.

E. Sample Contract. A sample contract is provided, attached hereto as **Exhibit C**, setting forth the proposed terms, conditions, provisions and/or specifications, which shall govern the relationship of SWACO and the Successful Proposer, if any, upon the award of a contract for the Project.

F. Exceptions to RFP. Any exceptions to this RFP will be considered and included in SWACO's evaluation. If the Proposer fails to list any exceptions, SWACO will assume compliance with the terms, conditions, and requirements of the RFP, including the Sample Contract, and Proposer shall not raise any exceptions later if selected for award. Please see Required Documents (Exhibit B) for the *RFP Exceptions* Form.

G. Times. All times set forth in this RFP are listed at Grove City, Ohio local time, which is Eastern Standard Time (EST).

H. Pre-Proposal Meetings. A virtual pre-proposal meeting is scheduled for December 18, 2025, at 2:00 p.m. Click on the link below or dial by phone to join:

### **RFP HHW Collection & Processing | Pre-Submission Meeting**

**Microsoft Teams** [Need help?](#)

[Join the meeting now](#)

Meeting ID: 297 955 711 428 0

Passcode: Sm33yt73

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**Dial in by phone**

[+1 513-301-2202,780499362#](#) United States, Cincinnati

[Find a local number](#)

Phone conference ID: 780 499 362#

I. Timeline of Events. The following is the timeline of events concerning the submittal and consideration of Proposals and the award of the contract to the Successful Proposer(s). All dates listed may be altered at SWACO's sole and complete discretion.

Advertised.....	December 9, 2025
Pre-Submission Meeting.....	December 18, 2025
Deadline for questions or clarification.....	4:00 p.m., January 7, 2026
Proposals due .....	1:30 p.m., January 16, 2026
Potential award timeframe .....	February 2026

J. Project Definitions. For purposes of this RFP, the words, terms, and phrases set forth below shall have the indicated meanings. Any other terms, words, or phrases herein shall have their ordinary meaning.

1. *HHW* means household hazardous waste.
2. *Project* or *Services* means providing all necessary labor, equipment, tools, and materials required to provide household hazardous waste collection and/or processing at each location as identified in the Scope of Services.
3. *Proposal* means the written response to this RFP, including, without limitation, any modifications or revisions thereto, submitted pursuant to the terms, conditions and provisions set forth in this RFP.
4. *Proposer* means any supplier that submits a Proposal.
5. *RFP* means this Request for Proposals.
6. *RFP Documents* mean this RFP and the documents listed in the Exhibits, any addenda or documents issued by SWACO after release of this RFP but before the Proposal due date.
7. The term *Sample Contract* means the agreement provided by SWACO to the Successful Proposer setting forth the proposed terms, conditions, provisions and/or specifications which may govern the relationship of SWACO and the Successful Proposer, if any, upon the award of the Project.
8. *SWACO* means the Solid Waste Authority of Central Ohio.

### III. Proposal Format and Requirements

A. Proposal Format. All Proposals must be electronically uploaded to SWACO using the link provided in Section IV below.

B. Proposal Requirements. All Proposals must contain the information requested in this Section III to be considered a responsive Proposer. Proposals should be no more than thirty (30) pages, not including resumes and required documents, and assembled in sequential order of the requested information, including and without limitation, information regarding the following:

1. ***Brief Narrative.*** A brief narrative describing the Proposer and its personnel, subcontractors and their personnel, and the Proposer's and subcontractor(s)' experience. Please limit the brief narrative to no more than three (3) pages. Brief narratives that contain sections simply relying on references to attachments or appendixes will not receive consideration.
2. ***Description of the Proposer*** – Proposer's organization description, background information, business affiliations and/or partnerships of the Proposer. The description must include the following information:
  - a) A brief description of the company background, including a brief description the organization, date founded, and ownership of the Proposer (e.g., past history, present status, future plans, company size, years in business, number of locations as well as the number of years operating in Ohio).
  - b) Describe any other business affiliations or partnerships Proposer currently has in place that may impact Proposer in providing the Project(s).

- c) Disclose any employees who were previously employed at SWACO within the last two (2) years\*\*.

\*\* For every employee disclosed, please provide the date he/she was hired, a detailed explanation as to how the Proposer will prevent the employee from participating in this Project, and an affirmation from the employee that he/she will not disclose confidential information acquired in the course of his/her employment with SWACO.

**3. *Proposer's Minimum Qualifications and Experience*** – Provide a brief description of Proposer's qualifications and experience operating a permanent HHW collection facility or hazardous waste facility or collection of HHW through mobile events, including identification of existing facilities where the Proposer is or has conducted hazardous waste collection, and without limitation, information regarding the following:

- a) A list showing at least three (3) client references demonstrating five (5) years of experience for which Proposer has provided similar services to those listed in the Scope of Services (Exhibit A).

- 1) Provide contact information for those references that may be contacted by SWACO.

- 2) Include any experience and references with the government segment.

- b) Proposers should be able to demonstrate their experience providing similar services through references.

- c) For all facilities and services identified above in item a, identification of any regulatory violations that have occurred in the past five (5) years; the regulatory body issuing the violation; the nature of the violation; and the resolution of the violation. Regulatory bodies include, but are not limited to U.S. EPA, Ohio EPA, U.S. Dept of Transportation, Ohio Dept. of Transportation, & OSHA.

**4. *Proposer's Personnel and Subcontractors*** – Include a list of all persons to be assigned or employed on the Project by the Proposer. In addition, the Proposal shall also identify:

- a) Background information on Proposer's team leader and all key personnel who will be the primary day-to-day contact with SWACO.

- b) Resumes and biographical information on key personnel who will be directly involved in the Project. Describe their experience and total years, including the number of years at the Proposer's organization and any professional licenses and designations.

- c) Any subcontractors and their assigned roles that may be employed by the Proposer on the Project. Provide best estimate for percentage of the subcontractor's responsibility for assigned role.

**5. *Approach to the Project*** – Provide a detailed project plan setting forth the manner in which you are proposing to deliver Services for this Project, including Project objectives, milestones, communications, how any changes will be implemented, and any information or decisions required of SWACO.

Proposals must identify which of the Services, described in Exhibit A, they are proposing to provide:

- A. Permanent HHW collection location
- B. Mobile HHW collection services
- C. Collection and processing of community-collected material

a) Briefly describe any additional features, attributes, or conditions which SWACO should consider in the selection process.

b) Provide any other information that Proposer feels applicable to the evaluation of the Proposal or of their qualifications for providing the Project.

\*Use this section to address those aspects of the Proposer's services that distinguish it from other Proposers. Additional information will be considered when evaluating.

**6. *Fee Components and Pricing*** – This Project does not have an estimate or a not-to-exceed budget amount available; however, the Project is fully funded. Describe the fee components for the Project and include the following:

a) Proposals must include pricing for the Service(s) described in Exhibit A for which Proposer intends to provide.

b) Proposals should include hourly rates for miscellaneous services, if applicable.

c) Fee components and pricing should reflect rates for providing one (1) or more of the Project Services outlined in Exhibit A and display an overall cost and description of the Project(s).

d) Additional services, commission charges, or other additional costs should be identified separately.

e) Proposer agrees to immediately pass any reductions or cost savings on to SWACO expected during the contract period.

C. Required Forms and Documents. Each Proposal must contain the following forms, attached hereto as Exhibit B, which must be filled out in their entirety, fully executed, and included with the Proposal:

- a) Non-Collusion Affidavit
- b) Non-Discrimination Affidavit
- c) Affidavit of Authority
- d) Delinquent Tax Affidavit
- e) W-9 Form (*Rev. March 2024 by the IRS*)
- f) Representative Sheet
- g) Addenda Acknowledgment
- h) Exceptions to RFP
- i) Acknowledgement (Local, Certified, EOE, and Green)

Proposer must also provide:

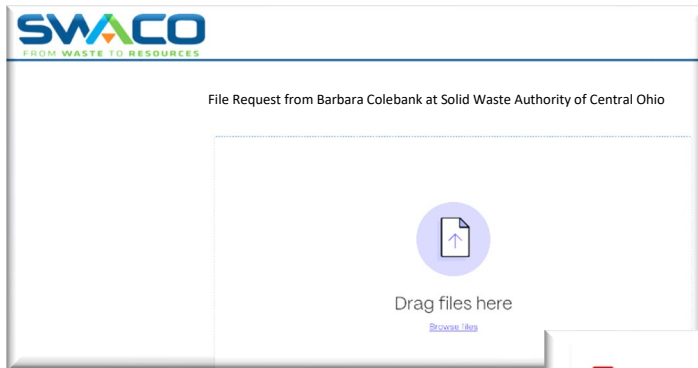
- Certificate of Insurance

## IV. Submitting the Proposal

A. Submittal Information. **All Proposals must be uploaded electronically in PDF format labeled, “*Proposer’s Name – HHW.*”** ZIP FILES WILL NOT BE ACCEPTED. Please include Proposer’s name with the file name and upload to the following link:

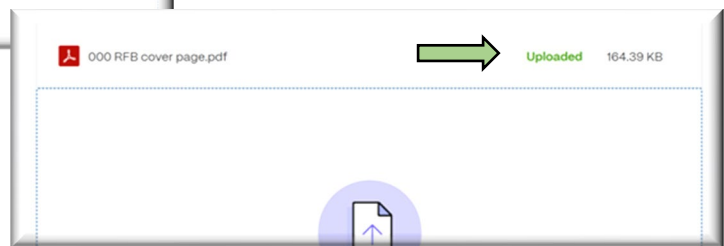
<https://swaco.sharefile.com/r-re19b3cd72c9640e495fc518e63ffc9ef>

Click on the link above, which will take you to another screen to enter your email, name, and company before the link opens for you to submit your Proposal.



← Next, drag and drop your documents into the ShareFile box.

**Please Note:** A successful upload will display as **Uploaded** as shown to the right ➡.



**You will not receive additional confirmation of your upload.**

Do not email your Proposal if you are having problems uploading your document(s). If you are not able to upload the Proposal documents to the link above, please contact Barbara Colebank at [barbara.colebank@swaco.org](mailto:barbara.colebank@swaco.org).

B. Proposal Documents. All submitted Proposal responses (unless otherwise stated, hereinafter referred to as “Proposal”) **must be uploaded to the link provided no later than 1:30 p.m., January 16, 2026.** All Proposals will be time and date stamped upon successful upload and shall be considered the official time and date of receipt.

C. Proposal Submission. It is the sole responsibility of the Proposer for the uploading of its Proposal to the link provided prior to 1:30 p.m. on January 16, 2025.

1. Failure to submit Proposals electronically as instructed above in Paragraph A shall not be considered as a valid submission to SWACO.
2. **Paper documents, facsimiles, emails, or any other mode of transmission other than that stated above in Paragraph A shall not be considered as a valid submission.**
3. SWACO is not liable for non-submission and/or late submission of any Proposal response due to a Proposer not having correct information.

4. A submission to this RFP shall be considered evidence that Proposer has examined and is satisfied as to the terms, conditions, provisions, specifications and/or requirements for the Project described in the RFP Documents. If Proposer does have exception to the RFP Documents, those exception(s) are outlined in the RFP Exceptions Form in Exhibit B.

5. No pleas of ignorance of any of the terms, conditions, provisions and/or specifications set forth in the RFP Documents shall be accepted as a basis for any claim for an extension of the times set forth in the RFP Documents.

D. Proposal Preparation Costs. The Proposer shall be liable for all costs or expenses related to investigating, preparing, and submitting a Proposal in response to this RFP as well as any costs or expenses related to the negotiation and award of any contract resulting from this RFP.

E. Termination of RFP Process. At any time prior to the execution of any contract awarded pursuant to this RFP by SWACO's Executive Director, SWACO may terminate the process set forth in this RFP for any or no reason.

### V. **Proposal Questions, Modifications, Withdrawal, and Opening**

A. Proposer Requests for Information and Addendums. Requests for information from a Proposer shall be submitted in writing only to SWACO Procurement via e-mail at [procurement@swaco.org](mailto:procurement@swaco.org) or to SWACO, Attn: SWACO Procurement, 4239 London Groveport Road, Grove City, Ohio 43123. **Any and all such request must be received no later than 4:00 p.m. on December 18, 2025.** SWACO shall respond to any properly submitted request for information by a written addendum issued to all Proposers who have obtained an RFP packet for this Project. In addition, SWACO, on its own initiative, may issue such other addenda as it may deem appropriate from time to time. No request for information shall be considered answered by SWACO until SWACO has issued an addendum in response to such request for information, and copies of the written request for information and SWACO's response have been issued to each Proposer. Upon receipt of any addendum, Proposers shall notify SWACO in writing of its receipt of the addendum by completing the *Addendum Acknowledgement* form in Exhibit B and submitting it with the *Required Forms*.

B. Modification of Proposal. At any time prior to the opening of Proposals, a Proposer may modify its Proposal in writing by submitting a modification marked in the same manner as the original proposal via hand delivery to SWACO or mailed via registered, certified, or express mail to SWACO at the delivery address set forth in this RFP. Any such modification must be received by SWACO prior to the opening date and time of the Proposals to be considered effective.

C. Withdrawal of Proposal. Prior to the opening of Proposals, a Proposer may withdraw its Proposal provided the Proposer makes a written request to withdraw the Proposal. Such request must be received by SWACO Procurement at the address indicated above in paragraph A, prior to the opening of Proposals at 1:30 p.m., January 16, 2025. The written request to withdraw must be executed by a party authorized to execute the Proposal, include an executed Affidavit of Authority, and be either emailed, mailed via registered, certified, or express mail to SWACO. Any properly withdrawn Proposal shall remain in the uploaded folder or be returned to the Proposer unopened.

D. Proposal Opening. All Proposals received by 1:30 p.m., January 16, 2025, shall be electronically opened. **No proposed pricing information will be released at the time of the opening.**

E. Rejection or Waiver of Proposals. SWACO may, in its sole and complete discretion, reject any or all Proposals, waive any irregularities contained in a Proposal or Proposals, or terminate the process set forth in this RFP at any time if it is determined in the best interest of SWACO to do so. Solicitation and opening of any Proposal submitted in response to this RFP does not create any express or implied obligation of SWACO to enter into any contract.

## VI. Standard Terms and Conditions

A. Budgeting. SWACO's budgets are subject to the annual appropriation of funds by the SWACO Board of Trustees.

B. Taxes and Payment. The Proposer is hereby notified that:

1. SWACO is a Political subdivision pursuant to ORC Section 343 and exempt from State sales or use taxes. Therefore, such taxes shall not be included in any rate or price quotations submitted; and
2. SWACO does not pay retainers, deposits, or make any other advance payments prior to services rendered.

C. Contract Termination. SWACO's standard contract termination is at least fifteen (15) days in writing prior to the date of the intended early termination of the Proposed Contract.

D. Invoicing. Invoices must be submitted to SWACO within sixty (60) days after Services have been rendered and such invoice(s) received shall be paid within thirty (30) days of its approval by SWACO.

E. Additional Fees. Notwithstanding any term, condition, or provision set forth in the RFP, SWACO shall not be obligated or liable to the Successful Proposer and/or any other party for any late payment, collection costs, fees, and/or interest charges.

F. Indemnification and Insurance. Each Successful Proposer is advised that in addition to any other terms, conditions or provisions that may be contained in any contract awarded and executed as a result of this RFP (including without limitation warranty provisions), the Successful Proposer shall agree to the following indemnification and insurance provisions:

1. *General Duty to Indemnify SWACO*. The Successful Proposer shall indemnify and hold harmless SWACO, its trustees, officers, employees and representatives from and against all claims, damages, losses, liens, causes of action, suits, judgments, and expenses (including reasonable attorney's fees and other reasonable costs of defense), of any nature, kind or description, which (a) are caused by or result from the performance of the Services by the Successful Proposer, anyone directly or indirectly employed by the Successful Proposer, any sub-contractor of the Successful Proposer, or anyone for whose acts the Successful Proposer is legally liable, and (b) are attributable to bodily injury, personal injury, sickness, disease or death of any person, or to damage to or destruction of property, but (c) only to the extent they are caused by any negligent, reckless or willful act, error or omission of the Successful Proposer, anyone directly or indirectly employed by the Successful Proposer, any sub-contractor of the Successful Proposer, or anyone for whose acts

the Successful Proposer is legally liable. The terms and conditions of this paragraph shall survive termination of this contract for any reason.

2. Successful Proposer shall promptly correct, repair, and/or replace any part, work, supplies and/or other materials installed as part of the Services and damaged and/or destroyed as a result of an insured loss or damage. Such correction, repair and/or replacement shall be the Successful Proposer's sole responsibility and shall be undertaken and completed at no additional cost to SWACO.

3. **PLEASE NOTE: THE GENERAL DUTY TO INDEMNIFY SWACO IS NOT NEGOTIABLE. IF YOU ARE UNABLE TO AGREE TO THE PROVISION SET FORTH ABOVE, SWACO WILL BE UNABLE TO ENTER INTO A CONTRACT WITH YOUR COMPANY.**

4. *Liability Insurance.* The Successful Proposer shall purchase and maintain the following liability and other insurance at the indicated limits, under the terms set forth below:

- a) General Liability Insurance, containing the following limits and terms:
  - 1) \$1,000,000.00 per occurrence.
  - 2) \$2,000,000.00 aggregate.
  - 3) \$1,000,000.00 Products/Completed Operations Aggregate.
  - 4) Name SWACO as an additional insured.
  - 5) Waiver of subrogation in favor of SWACO and all related entities or subsidiaries, employees, agents and/or representatives.
  - 6) Automobile Liability Insurance, containing a limit of \$1,000,000.00 per occurrence.
  - 7) Worker's Compensation and Employer's Liability Insurance, containing the following limits:
    - Statutory Limits for the State of Ohio \$500,000.00/\$500,000.00/\$500,000.00 Employer's Liability Limit.
  - 8) Professional Liability Insurance covering errors, omissions, and/or negligence of the Advisor with a coverage limit of \$5,000,000.00.
  - 9) Umbrella Liability Insurance containing the limit of \$2,000,000.00 per occurrence and terms including the following "form coverage."
- b) **The limits set forth above may be adjusted according to industry standards, risk, and further assurances.**
- c) Each policy of insurance required to be purchased and maintained by the Successful Proposer shall be purchased from an insurance carrier rated by A.M. Best as A-, VII or better;
- d) Each policy and respective certificate of insurance shall expressly provide that should the Successful Proposer's insurance lapse, be cancelled, non-renewed or materially altered, the Successful Proposer shall provide SWACO with no less than thirty (30) days prior written notice of such cancellation, non-renewal, expiration or material alteration of the coverage contained in such policy or evidenced by such certificate of insurance.
- e) The Successful Proposer shall maintain all insurance in the required amounts, without interruption, from the date of the execution of the contract until the date of the termination of the contract or the date of payment of the final invoice issued by Successful Proposer, whichever is later. Failure of the Successful Proposer to comply with the terms and conditions of this

paragraph shall constitute a material breach of the contract and shall be cause for termination of this Contract by SWACO.

f) Insurance policies required to be purchased and maintained by the Successful Proposer may include a reasonable loss deductible, as is customary for the Successful Proposer's industry, which shall be the sole responsibility of the Successful Proposer to pay in the event of any covered loss.

5. SWACO and the Successful Proposer waive all rights against each other for damages caused by fire or other perils to the extent of actual recovery of any insurance proceeds under any property insurance obtained pursuant to the requirements set forth above or any other property insurance applicable to the performance of the Services, except such rights as they have to proceeds of such insurance held by SWACO as fiduciary. The Successful Proposer agrees to obtain waivers in favor of SWACO of such claims by all of its subcontractors.

6. Notwithstanding the paragraph above, and regardless of the amount of any insurance proceeds recovered by the parties under the insurance policies set forth above, the Successful Proposer shall be liable to SWACO for the full amount of any claims, damages, losses, liens, causes of action, suits, judgments and expenses (including reasonable attorney's fees and other reasonable costs of defense) of any nature, kind or description which are in excess of such insurance proceeds.

## VII. **Applicable Law**

A. Venue. The terms, provisions and conditions as set forth in this RFP, the submission and evaluation of any Proposals submitted in response to this RFP, the negotiation, award, execution, and construction of the terms, conditions, provisions, and the scope of services of any contract resulting from this RFP, and all other matters or claims related to this RFP and/or any contract resulting from this RFP shall be solely governed by, and construed in accordance with, the laws of the State of Ohio without regard to its choice of law provisions and to the exclusion of the law of any other jurisdiction. Any action, claim, suit, or proceeding related to this RFP or any contract resulting from this RFP shall be brought only in a court having appropriate jurisdiction and venue in Franklin County, Ohio.

B. Non-Discrimination. Proposers shall not discriminate against any employee or qualified applicant for employment who is both available and qualified for work because of age, race, color, religion, sex, disability, creed, military status, or national origin. Proposers shall not discriminate based upon age, race, color, religion, sex, disability, creed, military status or national origin in any undertaking related to employment including, but not limited to, such actions as hiring, 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.

C. Public Records. A Proposal submitted pursuant to this RFP shall become the property of SWACO. Pursuant to and subject to this RFP and the Ohio Revised Code, all information submitted shall become a record open to the inspection of the public upon the completion or termination of the selection process set forth in this RFP. However, if there is material in a Proposal that a Proposer deems to be confidential, it should be clearly identified and marked confidential and accompanied by a written explanation stating the basis of such claim. Any confidential material that is so designated shall be removed from the Proposal prior to release of the Proposal to the public if permitted by the laws of the State of Ohio including, without

limitation, Ohio Revised Code Section 149.43. The determination as to the confidentiality of any material identified as such by a Proposer shall be made by SWACO in SWACO's sole and complete discretion. SWACO shall assume no risk, nor shall it be held liable by any Proposer for the release of any material that a Proposer may claim to be confidential. Submittal of a Proposal in response to this RFP shall be deemed acknowledgement and acceptance of the terms and provisions contained in this paragraph C.

## VIII. Proposal Evaluation

A. Evaluation Criteria. Proposals shall be evaluated based upon the Proposer's ability to meet the requirements set forth in this RFP as stated in the submitted Proposal, any clarifications that SWACO may request from individual Proposers, and the criteria below.

SWACO reserves the right to give each of the following criteria such weight as it deems appropriate in its sole and complete discretion:

1. The Proposer's ability to perform the proposed scope of services;
2. Proposer's experience and the quality of its available services;
3. The Proposer's understanding of SWACO's requirements as expressed in the Proposal Scope of Services; and
4. The proposed fee schedule and estimate of costs based on the information set forth in this RFP. The estimate shall clearly present anticipated personnel, administrative, equipment, travel, per diem, and miscellaneous costs such as shipping, supplies, or other items.

B. Evaluation of Proposals. SWACO's Executive Director or designee shall appoint an Evaluation Committee ("Committee") to evaluate the Proposals received. The Committee shall evaluate all Proposals received and rank the Proposers based upon the evaluation criteria set forth above in Section A, Evaluation Criteria, and the responsiveness to the RFP requirements. SWACO reserves the right to request additional information from Proposers as needed. If such information is requested, the Committee is not required, at this stage of the evaluation process, to request the same information from all Proposers.

1. The Committee may, at its sole and complete discretion, select two (2) or more of the highest qualified Proposers with which to hold additional discussions. Proposers not selected for further discussions may be excluded from further consideration for the contract to be awarded through this RFP upon notification by the Committee and/or SWACO's Executive Director or designee.
2. Additional discussions with selected Proposers indicated above in Paragraph 1 above may include, without limitation, discussions, interviews, and presentations by the selected Proposer or Proposers to SWACO to elaborate upon their qualifications, proposals, proposed scope of services, cost estimates, and other pertinent information. During the "additional discussions phase" the Committee may permit revisions of Proposals. In such an event, all Proposers who have been selected for additional discussions shall be given an equal opportunity to revise their Proposals.
3. SWACO shall then rank the Proposals that have not been otherwise excluded from further consideration based upon the evaluation requirements set forth in this RFP, the content of the Proposals received, any revisions thereto, and any additional discussions with the Proposers that may have been held by the Committee and any non-excluded Proposers.

C. Notifications. All Proposers submitting a response to this RFP will be notified upon final determination of the Successful Proposer(s) selected to perform the Project.

### IX. Awarding the Contract

A. Information Provided to Successful Proposer(s). SWACO shall provide to the Successful Proposer(s), upon request, any information concerning the Project to which it has access. SWACO may, at its sole option, provide information to the Successful Proposer(s) in electronic format.

B. Negotiation and Award of Contract. After non-excluded Proposers have been evaluated and ranked, SWACO's Executive Director or designee shall enter into contract negotiations with the highest ranked Successful Proposer. If negotiations between such highest ranked Successful Proposer and SWACO's Executive Director or designee fail to result in a contract between SWACO and that Successful Proposer, those negotiations shall be terminated, and the Executive Director or designee may enter into contract negotiations with the next highest ranked Successful Proposer. Such process may continue until a contract has been successfully negotiated between SWACO and a Successful Proposer or until there are no Proposers left in which to hold contract negotiations.

1. Negotiations shall cover such terms, provisions, conditions, scope of services and other matters as the parties deem appropriate to attain the objectives of the Project contemplated in this RFP.

2. At SWACO's sole and complete discretion, SWACO may terminate contract negotiations with a Successful Proposer and begin contract negotiations with the next highest ranked Proposer.

3. At any time prior to the execution of a contract by SWACO's Executive Director, SWACO's Executive Director may cancel or terminate the process set forth in this RFP for any or no reason.

4. No contract negotiated between SWACO and the Successful Proposer shall become effective until the terms, conditions, provisions, and services negotiated between SWACO and the Successful Proposer have been reduced to a written contract, and the resulting contract has been executed by the Successful Proposer and SWACO's Executive Director as authorized by SWACO's procurement policy.

C. Contract Execution. Any contract awarded shall be signed by the Successful Proposer(s) and returned within thirty (30) days after the Successful Proposer has received the "Notice of Award" and negotiated contract for signature.

1. No contract resulting from negotiations with the Successful Proposer(s) or from the process set forth in this RFP shall be considered binding upon SWACO until execution of the contract by the Successful Proposer(s) and SWACO's Executive Director pursuant to SWACO's procurement policy.

2. If the Successful Proposer(s) fails to execute and return the contract and other required documents within thirty (30) days of the receipt of the Notice of Award, SWACO may, in its sole and complete discretion, either withdraw the award of the contract to the Successful Proposer(s) and begin negotiations with the next highest ranked Proposer pursuant to the terms, conditions, and provisions set forth in this RFP or in the alternative, terminate the process set forth in this RFP

## Exhibit A

### Scope of Services

This Project does not have an estimate or a not-to-exceed budget amount available; however, the Project is fully funded. The following Scope of Services have been developed for the purposes of requesting Proposals and may be further developed and further refined during the evaluation process or contract negotiations.

SWACO desires to continue providing residents with convenient access to properly dispose of their HHW while operating a program that is cost-effective for SWACO, ideally reducing HHW program costs. Proposals are requested for Future HHW activities and to continue providing:

- A. At least one (1) permanent location where residents can drop off HHW;
- B. Conduct two (2) to four (4) mobile collection events a year, and;
- C. Process HHW that has been collected by one (1) to four (4) partnering communities as part of a pilot “hub and spoke” collection model.

#### **A. Permanent HHW Collection Location**

SWACO plans to continue providing at least one (1) conveniently located permanent location where residents can drop off HHW. Therefore, SWACO is seeking a Proposer to provide a permanent HHW collection location.

In addition to the information requested in Section III(2) above, Proposals to provide a Permanent HHW Collection Location should include the following:

1. Proposed location of a permanent HHW location within Franklin County
  - a. A detailed description of the location of the proposed permanent facility, including maps, site diagrams, photographs, or other information to illustrate the location of the facility, its suitability for use as a permanent HHW collection facility, and its convenience to residents of Franklin County.
  - b. Identification of whether the location is owned or leased by the Proposer
  - c. If leased, identification of the length of the lease and any restrictions that lease would place on the operation of the facility
  - d. Any other limitations or restrictions on use of the facility, such as hours of operation (whether owned or leased).
  - e. Identification of existing authorizations to conduct HHW collection at the site, including identification of the permits, registrations, and/or licenses from the U.S. or Ohio EPA; state or local business licenses; zoning approvals; and any other relevant legal or regulatory approvals. Verification of all identified authorizations will be required prior to entering into a contract with any Proposer.

SWACO prefers a facility that is currently fully authorized to accept HHW from residents and reserves the right to reject any location that is not currently authorized to do so. However, SWACO may consider a facility that is not currently authorized to accept household hazardous waste if the proposer can provide a detailed description of the legal authorizations that will be secured to use the facility in this manner and a realistic timeline for securing the proper authorizations.

2. Any site improvements that will be necessary or desired to provide HHW collection services from residents and a timeline for completing those improvements.
3. A description of the safety measures in place at the location and safety protocols that will be used when operating the facility. A formal safety plan will need to be provided by any Successful Proposer prior to execution of any contracts to provide services
4. A description of the proposed collection method from the vehicles that visit the site (e.g., resident drives through a bay and is serviced by employees).
5. A description of the qualifications, certifications, and training of the facility employees.
6. Identification of the material types that will be accepted, any materials that will not be accepted, and any materials that could theoretically be accepted, but should be discussed with SWACO prior to finalizing a commitment (for example, material that could theoretically be accepted, but would be unusually expensive to process, or materials that could theoretically be accepted, but for which there are already other opportunities for residents to properly dispose, etc.).
7. For each material type, identification of whether the material will be recycled, disposed, or otherwise processed.
8. The method for measuring and documenting incoming materials and vehicles serviced.
9. An explanation and example of the type of monthly reporting that can be provided to SWACO on materials accepted.
10. A fee structure for providing the service. This could take the form of per pound or per unit pricing for receipt of individual material types; a tiered total inbound monthly material cost; a per vehicle cost; or any other cost structure that will provide fair value to SWACO.
11. Any cost saving measures that could be taken to reduce program costs.
12. Any additional information that the proposer feels would help to demonstrate the suitability and convenience of the location to serve as a permanent collection location.

### **B. Mobile HHW Collection Events**

SWACO plans to continue providing two (2) to four (4) mobile collection events each year and is seeking a Proposer to provide this Service. Typically, each event services between approximately five hundred (500) to one thousand (1,000) cars, (two (2) of our events typically receive between five hundred (500) to seven hundred (700) cars, and two (2) typically receive between nine hundred (900) to one thousand (1,000) cars). As mentioned previously, the number of mobile collection events and the location of those events will remain at SWACO's sole discretion for the duration of any contract established as a result of this RFP.

1. Successful Proposer will be responsible for:
  - a) Reviewing the proposed mobile event site location, if necessary, and provide input as to its suitability for a mobile event, including recommending preferred site layout, traffic flow, and other logistical issues. (Most events occur at the same location year after year, so this is typically not necessary).
  - b) Coordinating and communicating with SWACO and the local community once an event date and location has been established.
    - The collection dates will typically be established no later than January of a given year for mobile events that are taking place during that year. Most events are held yearly on a similar day, year after year (e.g., the last Saturday of September).
  - c) Providing all necessary equipment, including trucks, trailers, forklifts, pallet jacks, pallets, gaylords, drums, other containers, safety and cleanup materials.
  - d) Provide all staffing necessary to conduct the event.

- The local community will typically provide signage, traffic cones, and volunteers to help direct traffic and count cars.
  - e) Collecting materials from vehicles participating in the event.
  - f) Containerizing and transferring all material to an appropriate facility for processing in compliance with all environmental and transportation requirements.
  - g) Performing complete site clean-up after the event.
  - h) Reporting to the Community and SWACO the amount and types of material collected during the event.
2. In addition to the information requested in Section III(2) above, Proposals to provide this service should include the following:
- a) A description of the typical equipment that will be utilized at mobile collection events.
  - b) A description of the size and responsibilities of a typical team of people brought to a typical collection event, including identification of the roles of responsibilities of team members.
  - c) A description of the qualifications, certifications, and training of the employees participating in the mobile collection event.
  - d) Identification of the material types that will be accepted, any materials that will not be accepted, and any materials that could theoretically be accepted, but should be discussed with SWACO prior to finalizing a commitment (for example, material that could theoretically be accepted, but would be unusually expensive to process, or materials that could theoretically be accepted, but for which there are already other opportunities for residents to properly dispose, etc.)
  - e) For each material type, identification of whether the material will be recycled, disposed, or otherwise processed.
  - f) A description of where the material will be delivered for processing.
  - g) The method for measuring and documenting incoming materials.
  - h) An explanation and example of the type of reporting that can be provided to SWACO and the local community on materials accepted.
  - i) A fee structure for providing the service. This could take the form of per pound or per unit pricing for receipt of individual material types; a tiered total inbound material cost; a per vehicle cost; or any other cost structure that will provide fair value to SWACO.
  - j) Any cost saving measures that could be taken to reduce program costs.
  - k) Any additional information that the proposer feels would help explain the service and value provided.

### **C. Collection and Processing of Community-Collected Material**

SWACO intends to pilot local collection of limited types of HHW by partnering with a small number of local communities (1 to 4). For example, a community might provide regular collection of batteries, fluorescent lightbulbs, automobile fluids, oil-based paint, and lawn chemicals. Periodically, the material would be collected by the Successful Proposer and processed. SWACO would be responsible for the cost of processing the material. This hub-and-spoke model is intended to make it more convenient for residents to properly dispose of their HHW material.

While SWACO has discussed the possibility of local collection of HHW with some communities, SWACO has not yet secured any definitive community partnerships to conduct

this pilot. However, SWACO intends to continue to explore this model with local communities and anticipates that we will be conducting one (1) to four (4) pilot projects under the contract.

1. SWACO is seeking Proposals to support this hub-and-spoke collection model by:
  - a) Providing the necessary collection containers to partnering communities such as pallets, gaylord boxes, drums, and spill equipment.
  - b) Training the local community on the proper handling and storage of collected materials.
  - c) Collecting the materials from the community, if necessary, for a defined charge.
  - d) Accepting and processing the materials from the community.
  - e) Providing ongoing support to the communities by answering questions, etc.
  
2. In addition to the information requested in Section III(2) above, Proposals to provide this service should include the following:
  - a) Past experience transporting and processing HHW. A description of the Proposer's experience operating a permanent HHW collection facility or hazardous waste facility, including identification of existing facilities where the Proposer is or has conducted hazardous waste collection.
  - b) The types of equipment that the Proposer would anticipate providing to a local community under such a pilot program.
  - c) Qualifications to provide training to the local community on safety and proper handling of the materials collected. Would this training be provided directly by Proposer's staff or outsourced to another organization?
  - d) Ability to collect the material from the community on an as-needed basis or through regularly scheduled collection.
  - e) Identification of the material types that will be accepted, any materials that will not be accepted, and any materials that could theoretically be accepted, but should be discussed with SWACO prior to finalizing a commitment (for example, a material that could theoretically be accepted, but would be unusually expensive to process, or materials that could theoretically be accepted, but for which there are already other opportunities for residents to properly dispose, or materials that are challenging to handle and may not be appropriate for local collection and storage, etc.)
    - i. For each material type, identify whether the material will be recycled, disposed, or otherwise processed.
    - ii. A description of where the material will be delivered for processing.
  - f. Ability to provide ongoing technical support to the community and how that would be provided.
  - g. Any other information or suggestions on how the Proposer can support the pilot project and make it successful.
  - h. A fee structure for providing the Service. This could take the form of per pound or per unit pricing for receipt of individual material types; a tiered total inbound material cost; or any other cost structure that will provide fair value to SWACO.
  - i. Any cost saving measures that could be taken to reduce program costs.
  - j. Any additional information that Proposer feels would help explain the service and value provided.

**Exhibit B**  
**Required Forms & Documents**

1. Non-Collusion Affidavit
2. Non-Discrimination Affidavit
3. Affidavit of Authority
4. Delinquent Tax Affidavit
5. W-9 Form (*Rev. March 2024 by the IRS*)
6. Representative Document
7. Addendum Acknowledgement
8. RFP Exceptions
9. Acknowledgement (Local, Certified, EOE, and Green)

Proposer to Submit

10. Certificate of Insurance

**NON-COLLUSION AFFIDAVIT**

STATE OF \_\_\_\_\_ )  
 ) SS  
COUNTY OF \_\_\_\_\_ )

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

\_\_\_\_\_ of \_\_\_\_\_  
(Title) (Company Name)

the party making the foregoing Proposal; that such Proposal is genuine and not collusive or sham; that said Proposer is not financially interested in, or otherwise affiliated in a business way with any other Proposer on the same contract; that said Proposer has not colluded, conspired, connived, or agreed, directly or indirectly with any Proposer or person, to put in a sham Proposal, or that such other person shall refrain from submitting a Proposal, and has not in any manner, directly or indirectly sought by agreement or collusion, or communication or conference, with any person to fix the Proposal price of Affiant or any other Proposer, or to fix any overhead profit of cost element of said Proposal price, or of that of any other Proposer, or to secure any advantage against Solid Waste Authority of Central Ohio, State of Ohio, or any person or persons interested in the proposed contract; and that all statements contained in this Proposal are true; and further, that such Proposer has not, directly or indirectly, submitted this Proposal or the contents thereof; or divulged information or data relative to any association or to any member or agent thereof.

\_\_\_\_\_  
Affiant

Sworn to before me and subscribed in my presence this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_\_.

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

My Commission Expires:  
\_\_\_\_\_

**NON-DISCRIMINATION AFFIDAVIT**

STATE OF \_\_\_\_\_ )  
 ) ss  
COUNTY OF \_\_\_\_\_ )

\_\_\_\_\_ being duly sworn, deposes and states that during the term  
*Affiant*  
and performance of any agreement or contract between the Solid Waste Authority of Central Ohio  
and \_\_\_\_\_ (“Proposer”) that neither Proposer nor any  
subcontractor of Proposer shall discriminate against any employee or qualified applicant for  
employment who is both available and qualified for work because of age, race, color, religion, sex,  
disability, creed, military status, or national origin. Further, Proposer agrees that neither it nor any  
subcontractor shall discriminate based upon age, race, color, religion, sex, disability, creed,  
military status, or national origin in any undertaking related to employment including, but not  
limited to, such actions as hiring, 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.

\_\_\_\_\_  
*Affiant’s Signature*

\_\_\_\_\_  
*Affiant’s Printed Name*

Sworn to before me and subscribed in my presence this \_\_\_\_ day of \_\_\_\_\_, 20\_\_.

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

My Commission Expires: \_\_\_\_\_  
*(Date)*

\_\_\_\_\_  
*(County)* *(State)*







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

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

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

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

**By signing the filled-out form**, you:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

## Backup Withholding

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

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

**Payments you receive will be subject to backup withholding if:**

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

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

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

## What Is FATCA Reporting?

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

## Updating Your Information

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

## Penalties

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

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

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

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

## Specific Instructions

### Line 1

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

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

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

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

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

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

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

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

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

### Line 2

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

### Line 3a

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

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

### Line 3b

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

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

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

### Line 4 Exemptions

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

#### Exempt payee code.

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

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

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

- 2—The United States or any of its agencies or instrumentalities.
- 3—A state, the District of Columbia, a U.S. commonwealth or territory, or any of their political subdivisions or instrumentalities.
- 4—A foreign government or any of its political subdivisions, agencies, or instrumentalities.
- 5—A corporation.
- 6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or territory.
- 7—A futures commission merchant registered with the Commodity Futures Trading Commission.
- 8—A real estate investment trust.
- 9—An entity registered at all times during the tax year under the Investment Company Act of 1940.
- 10—A common trust fund operated by a bank under section 584(a).
- 11—A financial institution as defined under section 581.
- 12—A middleman known in the investment community as a nominee or custodian.
- 13—A trust exempt from tax under section 664 or described in section 4947.

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

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

<sup>1</sup> See Form 1099-MISC, Miscellaneous Information, and its instructions.

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

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

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

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

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

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

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

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

G—A real estate investment trust.

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

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

J—A bank as defined in section 581.

K—A broker.

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

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

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

**Line 5**

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

**Line 6**

Enter your city, state, and ZIP code.

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

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

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

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

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

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

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

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

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

## Part II. Certification

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

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

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

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

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

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

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

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

## What Name and Number To Give the Requester

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

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

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

<sup>2</sup> Circle the minor's name and furnish the minor's SSN.

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

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

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

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

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

## Secure Your Tax Records From Identity Theft

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

To reduce your risk:

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

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

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

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

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

**Protect yourself from suspicious emails or phishing schemes.**

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

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

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

Go to [www.irs.gov/IdentityTheft](http://www.irs.gov/IdentityTheft) to learn more about identity theft and how to reduce your risk.

## Privacy Act Notice

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

# Representative Sheet

Contact Person For This RFP \_\_\_\_\_

Title \_\_\_\_\_

E-mail Address \_\_\_\_\_

Company Name \_\_\_\_\_

Mailing Address \_\_\_\_\_

City, State, Zip \_\_\_\_\_

Phone Number \_\_\_\_\_

Mobile Number \_\_\_\_\_



## RFP Exceptions

Proposer's Name: \_\_\_\_\_

List any exceptions to the RFP below, including the Sample Contract. Provide a summary discussion of reasons for proposed exceptions and include any proposed alternative language. Any exceptions to the RFP will be considered and included in SWACO's evaluation. SWACO is not obligated to accept the requested exceptions, but failure to list the exception will prevent Proposer from raising it during contract negotiations.

**List Exceptions Below.**

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## **Local, Certified, Equal Opportunity, and Green**

SWACO is interested in contracting with companies that either meet the Local, Certified Business, Equal Opportunity Employer, and/or Environmentally Friendly classification descriptions below, and/or companies that have supplier equality programs that encompass local and/or certified companies. Please read each description below and complete the Acknowledgment form.

**Local Business** – Local businesses that meet the eligibility requirements as stated in the following paragraphs below, qualify as a Local Vendor:

- i. a domestic corporation, sole proprietorship, partnership, or joint venture that has its principal place of business located within Franklin County, Ohio or a county contiguous to Franklin County, Ohio ("Contiguous County") as registered in official documents filed with the Secretary of State, State of Ohio or the Franklin County Ohio recorder's office or a Contiguous County's recorder's office; or
- ii. a domestic corporation, sole proprietorship, partnership, or joint venture that holds a valid vendor's license which indicates its principal place of business is located within Franklin County or Contiguous County; or
- iii. a domestic corporation, sole proprietorship, partnership, or joint venture that employs more than 100 employees in Franklin County, Ohio and/or a county contiguous to Franklin County, Ohio; or
- iv. a domestic corporation, sole proprietorship, partnership, or joint venture that has more than fifty percent (50%) of its total employment located within Franklin County, Ohio and/or a county contiguous to Franklin County, Ohio.

**Certified Business** – Any business who is certified through any of the following certification programs are considered a Certified Business:

- i. City of Columbus; or
- ii. State of Ohio's Minority Business Enterprise (MBE), Veteran Business Enterprise (VBE), Women Business Enterprise (WBE), Minority Women Business Enterprise (MWBE), LGBT Business Enterprise (LGBTBE), Small Business Enterprise (SBE); or
- iii. Encouraging Diversity Growth and Equity (EDGE) program; or
- iv. Federal Disadvantaged Business Enterprise (DBE) program.

**Equal Opportunity Employer** – A business that agrees not to discriminate against any employee or job applicant because of race, color, religion, national origin, military status, sex, physical or mental disability, or age and has implemented equal opportunity employment practices in place.

**Green/Environmentally Friendly** – A business that has a verified green business program in place that reduces or minimizes the impact of waste, causing no harm to ecosystems or the environment. Vendors must provide documentation of the Green Business program to qualify as Environmentally Friendly, such as the GreenSpot Certificate of Membership from The City of Columbus.

**\*\*** If you qualify as a **Local, Certified, Equal Opportunity, or Environmentally Friendly** business, as described, please include supporting documentation affirming said characteristic and include with the *Acknowledgment* form:

# ACKNOWLEDGEMENT

Thank you for your interest in SWACO! As a government agency, SWACO is requesting the additional information below to assist in delivering transparency and fairness to vendors by identifying contractor characteristics. The information you supply assists SWACO in promoting equitable practices and aligns with SWACO's Guiding Principles (<https://www.swaco.org/182/Vision-Mission-Goals>).

Please review the classifications below, check the appropriate box, and **attach** any certifications, evidence of being a Local or Certified business, an Equal Opportunity Employer, and/or Environmentally Friendly.

## Local Business

Any contractor / business that is a domestic corporation, sole proprietorship, partnership, or joint venture that has its principal place of business located within Franklin County, Ohio or a county contiguous to Franklin County, Ohio ("Contiguous County") and that Vendor...

\_\_\_\_\_ has filed its official documents with the Secretary of State, State of Ohio or the Franklin County Ohio recorder's office or a Contiguous County's recorder's office.

\_\_\_\_\_ holds a valid vendor's license which indicates its principal place of business is located within Franklin County or Contiguous County.

\_\_\_\_\_ employs more than one hundred (100) employees in Franklin County, Ohio and/or a county contiguous to Franklin County, Ohio.

\_\_\_\_\_ has more than fifty percent (50%) of its total employment located within Franklin County, Ohio and/or a county contiguous to Franklin County, Ohio.

## Certified Business

Any contractor / business that is certified through one of the following programs:

\_\_\_\_\_ Certified through the City of Columbus.

\_\_\_\_\_ State of Ohio's Minority Business Enterprise (MBE), Encouraging Diversity Growth and Equity (EDGE), Veteran Business Enterprise (VBE), Women Business Enterprise (WBE), Minority Women Business Enterprise (MWBE), LGBT Business Enterprise (LGBTBE), Small Business Enterprise (SBE), or Federal Disadvantaged Business Enterprise (DBE).

## Equal Opportunity Employer

\_\_\_\_\_ A contractor / business that agrees not to discriminate against any employee or job applicant because of race, color, religion, national origin, military status, sex, physical or mental disability, or age and has implemented equal opportunity employment practices in place.

## Environmentally Friendly

\_\_\_\_\_ A contractor / business that has a verified green business program in place that reduces or minimizes the impact of waste, causing no harm to ecosystems or the environment. Vendors must provide documentation of the Green Business program to qualify as Environmentally Friendly, such as the GreenSpot Certificate of Membership from The City of Columbus.

## None

\_\_\_\_\_ Vendor is not a Local Business, Certified Business, Equal Opportunity Employer, or Environmentally Friendly.

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

\_\_\_\_\_  
Representative's E-Mail Address

\_\_\_\_\_  
Vendor Representative's Signature

\_\_\_\_\_  
Representative's Telephone Number

\_\_\_\_\_  
Printed Vendor Representative's Name

**Exhibit C**  
**Sample Contract**

The following Sample Contract contains SWACO's standard terms and conditions and is provided for review.

Any exceptions to the RFP or this Sample Contract must be noted in the *Exceptions to RFP* form included with the Required Forms in Exhibit B.

Solid Waste Authority of Central Ohio  
**Contract for General Services**

This Contract for General Services (“Contract”) is entered into by and between the Solid Waste Authority of Central Ohio (“SWACO”), a regional solid waste authority established pursuant to Ohio Revised Code Section 343.011, and [SUCCESSFUL PROPOSER] (“Contractor”), with business address of [SUCCESSFUL PROPOSER’S ADDRESS], pursuant to SWACO’s Procurement Policy.

**NOW, THEREFORE**, in consideration of the mutual promises herein contained, SWACO and Contractor agree as follows:

1. Term. The term of this Contract shall commence on [DATE] and shall terminate on [DATE]. For multi-year contracts, SWACO’s funds are contingent upon the approval of the annual budget by the Board of Trustees. If SWACO’s Board of Trustees fails at any time to continue funding for the payments or any other obligations due by SWACO under this Contract, SWACO will be released from its obligations on the date the funding expires. This Contract may be terminated by SWACO for any or no reason upon delivery by first class U.S. mail, postage prepaid, or delivery by hand, of a written “Notice of Termination” to Contractor at least fifteen (15) days prior to the date of the intended early termination of this Contract.

1.1. *Non-Exclusivity of Contract*. Contractor understands and agrees that this Contract for the provision of Services is not intended to be, nor shall it be construed to be, an exclusive Contract with SWACO for the provision of the type of Services set forth in this Contract.

1.2. *Level of Services Requested*. SWACO is not required by this Contract to request any Services, or a minimum amount of Services, from the Contractor.

2. Scope of Services. Contractor shall provide [PROJECT] (“Services”) in accordance with the terms, conditions, and provisions as set forth in this Contract, the Request for Proposals dated [DATE], attached hereto as Exhibit A, Contractor’s Proposal, attached hereto as Exhibit B, all of which are incorporated herein by reference as if fully rewritten. Contractor shall perform all Services in accordance with the terms, conditions, and provisions set forth in this Contract and the attached exhibit(s).

2.1. *Standard of Care*. Contractor shall perform all Services in accordance with professional standards of skill, care, and diligence for Contractor’s profession and in accordance with pertinent provisions of the Ohio Revised Code, the Ohio Administrative Code, federal and/or local statutes, ordinances, rules, and regulations.

2.2. *Acceptance or Rejection of Services*. SWACO may, in its sole and complete discretion, accept or reject any portion of the Services provided by Contractor. In the event that any portion of the Services is rejected by SWACO, Contractor shall proceed, upon SWACO's request, with correcting any such rejected Services to the reasonable satisfaction of SWACO. The review or acceptance by SWACO of any Services performed by Contractor pursuant to this Contract shall not relieve Contractor of its responsibility to perform such Services pursuant to the terms and conditions of this Contract.

3. Contractor Compensation. Pursuant to the rates set forth in Exhibit B and as mutually agreed upon by the Parties in writing, SWACO shall pay Contractor for the Services performed in an amount not to exceed [AMOUNT] (\$AMOUNT). Compensation shall be inclusive of all costs associated with Contractor providing Services.

3.1. Upon delivery and completion of any particular Service and acceptance by SWACO, Contractor shall submit to SWACO an invoice setting forth the date that the Services were rendered, a description and unit costs of the Services provided, and the total amount of compensation sought.

3.2. All invoices should be submitted to SWACO within sixty (60) days after Services have been rendered and shall state SWACO's project and purchase order numbers, both of which are set forth on page one (1) of this Contract. SWACO shall pay such invoice within thirty (30) days of its approval by SWACO. However, regardless of when payment is made, and notwithstanding any terms set forth on the invoice and/or any other document to the contrary, SWACO shall never be obligated or liable to Contractor and/or any other party for any late payment or collection costs, fees, or interest charges.

3.3 Notwithstanding any term, condition, or provision set forth in this Contract and/or any other document to the contrary, the total monetary obligation of SWACO under this Contract shall never exceed the total sum of [AMOUNT] (\$AMOUNT).

4. General Duty to Indemnify SWACO. Contractor shall indemnify and hold harmless SWACO, its Trustees, officers, employees and representatives from and against all claims, damages, losses, liens, causes of action, suits, judgments, and expenses, including reasonable attorney's fees and other reasonable costs of defense, of any nature, kind, or description, which (a) are caused by or result from the performance of the Services by Contractor, anyone directly or indirectly employed by Contractor, any subcontractor, or anyone for whose acts Contractor is legally liable, and (b) are attributable to bodily injury, personal injury, sickness, disease, or death of any person, or to damage to or destruction of property, but (c) only to the extent they are caused by any negligent, reckless, or willful act, error, or omission of Contractor, anyone directly or indirectly employed by Contractor, any subcontractor, or anyone for whose acts Contractor is legally liable. The terms, conditions, and provisions of this paragraph shall survive the termination of this Contract for any reason.

4.1. *Correction, Repair or Replacement of Insured Losses.* Contractor shall promptly correct, repair, and/or replace any items, work, and/or materials installed as part of the Services and damaged and/or destroyed as a result of an insured loss or damage. Such correction, repair, and/or replacement shall be Contractor's sole responsibility and shall be undertaken and completed at no additional cost to SWACO.

5. Operational Covenants. Contractor shall conduct its activities under this Contract in such a manner as not to unreasonably interfere with SWACO's use of the Franklin County Sanitary landfill ("FCSL") and/or any other SWACO facilities. Any such noise, odor, or other environmental impact levels produced by Contractor as a result of its operations or performance of the Services shall not cause a nuisance to the surrounding community, nor shall such noise, odor, or other environmental impact levels exceed, at the boundaries of the FCSL or Model Landfill, applicable State or local standards for noise, odor, or environmental impact levels. Contractor shall promptly mitigate any noise, odor, or other environmental impacts caused by its operations or performance of the Services

which result in violations of law or meritorious complaints to SWACO. Contractor shall further operate any SWACO facility systems and/or any SWACO-supplied equipment in a prudent manner in accordance with sound engineering practices and in a manner consistent with that used by industry specialists providing same or similar services, as well as all applicable federal, State, and local laws, rules, ordinances, and regulations. Contractor agrees to maintain those facility systems for which its Services are contemplated under this Contract, as well as all associated SWACO-purchased equipment, in good working order throughout the term of this Contract.

6. Contractor Liability Insurance. Contractor shall purchase and maintain the following liability and other insurance at the indicated limits and under the terms set forth below:

- 6.1. *General Liability Insurance*, containing the following limits and terms:
  - 6.1.1. \$1,000,000.00 per occurrence
  - 6.1.2. \$2,000,000.00 aggregate
  - 6.1.3. \$1,000,000.00 Products/Completed Operations Aggregate
  - 6.1.4. Name SWACO as an additional insured
  - 6.1.5. Waiver of subrogation in favor of SWACO and all related entities or subsidiaries, employees, agents and/or representatives
- 6.2. *Automobile Liability Insurance*, containing a limit of \$1,000,000.00 per occurrence.
- 6.3. *Worker's Compensation and Employer's Liability Insurance*, containing the following limits:
  - 6.3.1. Statutory Limits for the State of Ohio
  - 6.3.2. \$500,000.00/\$500,000.00/\$500,000.00 Employer's Liability Limit
- 6.4. *Umbrella Liability Insurance* containing the following limits and terms:
  - 6.4.1. \$2,000,000.00 per occurrence
  - 6.4.2. Following Form Coverage
- 6.5. Each policy of insurance required to be purchased and maintained by Contractor shall:
  - 6.5.1. Be purchased from an insurance carrier rated by A.M. Best as A-, VII or better;
  - 6.5.2. Each policy and respective certificate of insurance shall expressly provide that should Contractor's insurance lapse, be cancelled, non-renewed or materially altered, Contractor shall provide SWACO with no less than thirty (30) days prior written notice of such cancellation, non-renewal, expiration or material alteration of the coverage contained in such policy or evidenced by such certificate of insurance; and
  - 6.5.3. Within fifteen (15) days of the execution of this Contract by SWACO's Executive Director or his designee, Contractor shall without demand furnish SWACO with a certified copy of any insurance certificate and/or additional insured endorsement required to be purchased or maintained by Contractor under the terms of this Contract. Failure of Contractor to comply with the terms and conditions of this paragraph shall constitute a material breach of this Contract and shall be cause for termination of this Contract by SWACO.
- 6.6. Contractor shall maintain all insurance in the required amounts, without interruption, from the date of the execution of this Contract until the date of the termination of this Contract or the date of payment of the final invoice issued by Contractor, whichever is later. Failure of Contractor to comply with the terms and conditions of this paragraph shall constitute a material breach of this Contract and shall be cause for termination of this Contract by SWACO.

6.7. Insurance policies required to be purchased and maintained by Contractor may include a reasonable loss deductible, as is customary for the Contractor's industry, which shall be the sole responsibility of Contractor to pay in the event of any covered loss.

6.8. SWACO and Contractor waive all rights against each other for damages caused by fire or other perils to the extent of actual recovery of any insurance proceeds under any property insurance obtained pursuant to the requirements set forth above or any other property insurance applicable to the performance of the Services, except such rights as they have to proceeds of such insurance held by SWACO as fiduciary. Contractor agrees to obtain waivers in favor of SWACO of such claims by all of its subcontractors.

6.9. Notwithstanding paragraph 6.8 above, and regardless of the amount of any insurance proceeds recovered by the parties under the insurance policies set forth above, Contractor shall be liable to SWACO for the full amount of any claims, damages, losses, liens, causes of action, suits, judgments, and expenses, including reasonable attorney's fees and other reasonable costs of defense, of any nature, kind, or description which are in excess of such insurance proceeds.

7. Notices. All notices, certificates, requests, or other communications hereunder shall be in writing and shall be deemed to be given if delivered in person to the individual or to a member of the company or organization for whom the notice is intended, or if delivered at or mailed by registered or certified mail, postage prepaid, to the appropriate addresses and contact persons set forth in this paragraph.

If to SWACO and/or Project Manager:

Attn: [SWACO Project Manager]  
Solid Waste Authority of Central Ohio  
4239 London Groveport Road  
Grove City, Ohio 43123

If to Contractor:

[Successful Proposer]  
[Address]

8. Entire Contract. This Contract and the attached exhibit(s) represent the entire and integrated contract between SWACO and Contractor and supersede all prior negotiations, representations, agreements, or contracts, either written or oral, between the parties hereto.

9. Effect of Captions. The captions or headings in this Contract are for convenience only and in no way define, limit, or describe the scope or intent of any terms, conditions, provisions, or sections hereof.

10. No Personal Liability of SWACO Officials. Neither SWACO's Board of Trustees, either individually or collectively, nor any SWACO official executing this Contract or any modification hereto shall be subject to any personal liability by reason of such execution.

11. Contract Binding on Successors and Assigns. SWACO and Contractor each bind themselves, their successors, assigns, and legal representatives to the other party to this Contract.
12. No Third Party Interest. No person or corporation other than Contractor and SWACO have any interest hereunder and no claim shall be made or be valid, nor shall any term, condition, provision, or covenant herein be construed so as to give any person other than the parties hereto any legal or equitable right, remedy, or claim under or in respect to this Contract.
13. Assignment by Contractor. Contractor shall not assign or transfer any right, title, or interest in this Contract without the prior written consent of SWACO, which consent may be withheld by SWACO for any or no reason.
14. Confidentiality. Contractor recognizes that it has a fiduciary responsibility to SWACO with respect to the performance under this contract, and that this Contract establishes a confidential relationship between Contractor and SWACO. Accordingly, all Services, including reports, opinions, and information, to be furnished under this Contract are confidential and Contractor shall not divulge such information and/or data, in whole or in part, to any person, other than to duly authorized representatives of SWACO, except by testimony under oath in a judicial proceeding or as otherwise required by law. Contractor has the responsibility and shall take all necessary steps to ensure that no member of his/her staff or organization divulges any such information except as may be required by law. All reports, working documents, and other documents, whether finished or unfinished, prepared by Contractor as part of the Services pursuant to this Contract shall become SWACO property. No documents prepared under this Contract shall be made any part of the subject matter of an application for or designation of a copyright made by or on behalf of Contractor or any other person not a party to this Contract unless the prior written consent is obtained from SWACO.
15. Construction of Contract Terms. If any paragraph, term, condition, or provision of this Contract is determined by a court of competent jurisdiction to be invalid or unenforceable, such determination shall not affect the validity or enforceability of any other paragraph, term, condition, or provision of this Contract, each of which shall be construed and enforced to the fullest extent of the law as if such invalid or unenforceable paragraph, term, condition, or provision were not contained herein.
16. Negotiation of Contract Terms, Conditions, and Provisions. The parties acknowledge and recognize that each of them participated materially in the negotiation and drafting of this Contract and had access to legal counsel during its negotiation and drafting.
17. Applicable Law; Venue. The laws of the State of Ohio, without regard to its own “choice of law” provisions, shall govern to the exclusion of the laws of any other jurisdiction in the interpretation and application of the terms, conditions, and provisions of this Contract. Any action or proceeding pertaining to this Contract shall be heard in a court of law having appropriate jurisdiction located in Franklin County, Ohio.
18. Delinquent Personal Property Tax Affidavit. The Delinquent Personal Property Tax Affidavit executed contemporaneously by Contractor with the execution of this Contract is incorporated herein by reference as if fully rewritten.

19. Contractor is Independent Contractor. Nothing contained in this Contract is intended to be, or shall be, construed to create or establish the relationship of a partnership, joint venture, or other business organization between the parties hereto nor to create an agency, representative, or employment relationship between Contractor or its employees and SWACO. Neither Contractor nor its employees shall be considered an employee of SWACO nor shall they acquire or be entitled to any compensation, rights, benefits, and/or participation of any kind whatsoever offered by SWACO including, without limitation, participation in the Ohio Public Employees Retirement System, worker's compensation coverage and/or benefits, medical and hospital care, sick and vacation leave, unemployment compensation, disability, and severance pay.

20. Compliance with Law. By executing this Contract, Contractor acknowledges that it is in compliance with all federal, State, municipal and/or other local laws, ordinances, resolutions, rules, and regulations that govern this Contract and its performance including, without limitation, Ohio Revised Code section 3517.13, divisions (I) and (J).

21. Non-Discrimination. Contractor agrees that during the performance of this Contract, Contractor and any subcontractor shall not discriminate against any employee or qualified applicant for employment who is both available and qualified for work because of age, race, color, religion, sex, disability, creed, or national origin. Contractor and any subcontractor shall not discriminate based upon age, race, color, religion, sex, disability, creed, or national origin in any undertaking related to employment including, but not limited to, such actions as hiring, 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.

22. Contract Modification. This Contract may be modified by a writing signed by the Contractor and SWACO's Executive Director, pursuant to SWACO's procurement policy.

23. Employment Taxes. Each party will be solely responsible for reporting, withholding and/or paying all employment related taxes, payments and/or withholdings for its own personnel, including, but not limited to, federal, State, and local income taxes, social security, unemployment or disability deductions, withholdings, and/or payments, together with any interest and penalties not disputed with the appropriate taxing authority.

24. Sales, Use, Excise, and Property Tax. SWACO is exempt from any sales, use, excise, and property tax. To the extent sales, use, excise, or any similar tax is imposed on the Contractor in connection with the Scope of Services, such will be the sole and exclusive responsibility of the Contractor, and the Contractor will pay such taxes, together with any interest and penalties not disputed with the appropriate taxing authority, whether they are imposed at the time the services are rendered or a later time.

25. Drug-Free Workplace. Contractor will comply with all applicable State and federal laws regarding keeping a drug-free workplace. Contractor will make a good faith effort to ensure that all Contractor's employees, while working on SWACO property, will not have or be under the influence of illegal drugs, alcohol, or abuse prescription drugs in any way.

26. No Waiver. Either party's failure to enforce any provision or term of this Contract shall not be construed as a future or continuing waiver of such provision or term of this Contract.

27. Additional Terms and Conditions. SWACO and Contractor have included additional terms and conditions specific to this Contract as set forth and described in the exhibit(s) and incorporated herein by reference as if fully rewritten. In the event of a conflict between the exhibit(s) and the standard terms and conditions as provided in Section 1 through Section 30, the standard terms and conditions in Sections 1 through 30 shall prevail.

28. Authority. The signatories to this Agreement hereby represent and warrant that they have the full power and authority to execute this Agreement and to bind the respective parties to this Agreement, as well as the terms, conditions and obligations set forth herein.

29. Signatures. The parties agree that facsimile, electronic, or scanned signatures shall be acceptable and shall have the same effect as original signatures.

30. Effective Date. This Contract shall become effective on the date as set forth herein.

IN WITNESS WHEREOF, the parties hereto have executed this Contract on the dates set forth below.

**SWACO:**  
**Solid Waste Authority of Central Ohio**

By: \_\_\_\_\_ Date: \_\_\_\_\_  
Joseph A. Lombardi, Executive Director

**Contractor:**  
**[SUCCESSFUL PROPOSER]**

By: \_\_\_\_\_ Date: \_\_\_\_\_  
\*Authorized Signature

\*By signing above, you represent and warrant that you have the full power and authority to execute this Agreement on behalf of the Contractor, and bind the Contractor to this Agreement, as well as the terms, conditions and obligations set forth herein.

**Approved as to Form:**

\_\_\_\_\_  
Rebecca L. Egelhoff, Director of Legal Affairs  
Solid Waste Authority of Central Ohio

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

**Request for Proposals**

Exhibit A consists of the RFP Documents, including any addenda.

SAMPLE

**Contractor's Proposal**

Exhibit B consists of the Proposal submitted in response to the RFP, including any addenda.

SAMPLE