



VENDOR APPLICATION

(Please return by mail or fax)

CSRA REGIONAL COMMISSION
3626 WALTON WAY EXT., SUITE 300
AUGUSTA, GA 30909

PHONE 706.210.2000 FAX 706.210.2006

✉ Email: acctspayable@csrarc.ga.gov

COMPANY NAME: _____

Federal Taxpayer ID No. (or SSN for individual) _____

MAILING ADDRESSES

Purchase Orders: Street or PO Box _____
City _____ State _____ Zip Code _____
Telephone No. _____ Fax No. _____
Email Address: _____

Bid Requests:
Same as above or Street or PO Box _____
City _____ State _____ Zip Code _____
Telephone No. _____ Fax No. _____
Email Address: _____

SALES REPRESENTATIVE _____ (TELEPHONE NO.) _____

NAME OF INDIVIDUALS WITH AUTHORITY TO QUOTE AND/OR SIGN CONTRACTS:

(NAME)	(TITLE)	(PHONE)
_____	_____	_____
_____	_____	_____
_____	_____	_____

TYPE OF BUSINESS

PLEASE INDICATE: CORPORATION PARTNERSHIP INDIVIDUAL CHECK ONE

DATE ESTABLISHED/FOUNDED: _____

OFFICERS OF CORPORATION, PARTNERS, OR MEMBERS OF FIRM AND TITLE (attach additional sheets if necessary):

NAME	TITLE
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NAME	TITLE
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AT THE PRESENT TIME, OR AT ANY TIME DURING THE LAST 12 MONTHS, HAS ANY OWNER, OFFICER, STOCKHOLDER, EMPLOYEE OR OTHER PERSON WITH AN INTEREST, EITHER DIRECTLY OR INDIRECTLY, IN THE ABOVE COMPANY BEEN CONNECTED IN ANY OFFICIAL CAPACITY WITH, OR BEEN EMPLOYED BY, CSRA REGIONAL ~~7 CAA-GG-CB~~ (CSRA RC) OR ONE OF ITS COMPONENT UNITS. THE FOLLOWING ENTITIES ARE COMPONENT UNITS OF THE CSRA RC: CSRA RESOURCE DEVELOPMENT AGENCY, INC., CSRA LOCAL DEVELOPMENT CORPORATION, INC., & CSRA RURAL LENDING AUTHORITY, INC. THESE COMPONENT UNITS ARE REFERRED TO COLLECTIVELY AS CSRA BUSINESS LENDING.

YES NO IF YES, PLEASE IDENTIFY _____

ARE YOU OR AFFILIATE RATED BY DUN AND BRADSTREET? Yes NO **RATING:** _____

LIST THREE (3) SUPPLIERS TO YOUR FIRM:

(NAME)	(ADDRESS)	(PHONE)
_____	_____	_____
_____	_____	_____
_____	_____	_____

LIST THREE (3) COMPANIES TO WHO YOU FURNISH PRODUCTS OR SERVICE:

(NAME)	(ADDRESS)	(PHONE)
_____	_____	_____
_____	_____	_____
_____	_____	_____

MINORITY OWNED VENDORS PLEASE NOTE THE FOLLOWING

CSRA RDC, IN A CONCERTED EFFORT WITH OTHER LOCAL, STATE AND FEDERAL AGENCIES, ACTIVELY SEEKS TO IDENTIFY MINORITY BUSINESSES AND OFFER THEM AN EQUAL OPPORTUNITY TO PARTICIPATE AS PROVIDERS OF GOODS AND SERVICES TO THE CENTER. A MINORITY BUSINESS IS DEFINED AS A BUSINESS WHICH, AT MINIMUM IS 51% OWNED AND CONTROLLED BY ETHNIC MINORITY GROUP MEMBERS AND/OR WOMEN.

ALL MINORITY OWNED BUSINESSES ARE REQUESTED TO COMPLETE THE FOLLOWING IN THE MANNER THAT BEST DESCRIBES THEIR BUSINESS. PLEASE CHECK ALL THAT APPLY.

- | | | | |
|-------------------|-----------------|----------------|-----------------|
| MINORITY OWNED | WOMEN OWNED | BLACK AMERICAN | AMERICAN INDIAN |
| HISPANIC AMERICAN | AMERICAN ESKIMO | ASIAN AMERICAN | AMERICAN ALEUT |

THIS BUSINESS IS BEST DESCRIBED AS
 CONSTRUCTION TYPE BUSINESS PROVIDER OF SERVICES
 PROVIDER OF GOODS/PRODUCTS OTHER; PLEASE EXPLAIN _____

I CERTIFY THAT THE INFORMATION PROVIDED HERE IS TRUE AND ACCURATE TO THE BEST OF MY KNOWLEDGE.

SUBMITTED BY :	TITLE	DATE
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NOTICE TO ALL TO VENDORS

IT IS A VENDOR'S RESPONSIBILITY TO VERIFY THAT INDIVIDUALS IDENTIFYING THEMSELVES AS COMMISSION EMPLOYEES ARE EMPLOYEES IN GOOD STANDING. A SINGLE ACCOUNT MUST BE ESTABLISHED FOR THE COMMISSION. INDIVIDUAL ACCOUNTS BY DEPARTMENT ARE NOT AUTHORIZED. THE COMMISSION IS EXEMPT FROM PAYING SALES AND USE TAX. A VENDOR CERTIFICATE WILL BE PROVIDED. A COMPLETED IRS FORM W-9 REQUEST FOR TAX PAYER INFORMATION MUST BE COMPLETED BEFORE PAYMENT CAN BE MADE. A W-9 IS INCLUDED. A COPY OF THE COMMISSION'S PROCUREMENT POLICIES IS INCLUDED.

IF YOU WISH TO VERIFY ANY OF THE REGIONAL COMMISSION'S
PROCUREMENT POLICIES, OR HAVE QUESTIONS OR NEED ADDITIONAL
INFORMATOIN, PLEASE CONTACT US AT (706) 210-2000.

Procurement Policies

POLICIES

It will be the responsibility of the Commission's Executive Director to assure compliance with applicable federal, state, and local laws, rules, and regulations.

The terms “bidder,” “applicant,” “offeror,” and “responder” are, for the purposes of these procurement policies, used interchangeably. The terms “bidding,” “soliciting,” and “procuring” are used interchangeably. The terms “bid,” “response,” “offer,” “proposal,” and “application” are used interchangeably.

All procurement transactions shall be conducted in a manner to provide, to the maximum extent practical, open and free competition. The Regional Commission shall be alert to organizational conflicts of interest as well as noncompetitive practices among contractors that may restrict or eliminate competition or otherwise restrain trade. In order to ensure objective contractor performance and eliminate unfair competitive advantage, contractors that develop or draft grant applications, or contract specifications, requirements, statements of work, invitations for bids and/or requests for proposals shall be excluded from competing for such procurements. Awards shall be made to the responder whose response or offer is responsive to the solicitation and is most advantageous to the recipient, price, quality and other factors considered. Solicitations shall clearly set forth all requirements that the responder shall fulfill in order for the response to be evaluated by the Regional Commission recipient. Any and all responses may be rejected when it is in the Regional Commission’s interest to do so.

The Regional Commission shall maintain written standards of conduct governing the performance of its employees engaged in the award and administration of contracts. No employee, officer, or agent shall participate in the selection, award, or administration of a contract supported by Federal funds if a real or apparent conflict of interest would be involved. Such a conflict would arise when the employee, officer, or agent, or any member of his or her immediate family, his or her partner, or an organization which employs or is about to employ any of the parties indicated herein, has a financial or other interest in the firm selected for an award. The officers, employees, and agents of the recipient shall neither solicit nor accept gratuities, favors, or anything of monetary value from contractors, or parties to contracts/agreements. However, recipients may set standards for situations in which the financial interest is not substantial or the gift is an unsolicited item of nominal value. The standards of conduct shall provide for disciplinary actions to be applied for violations of such standards by officers, employers, or agents of the recipients.

These procedures shall, at a minimum, provide that,

- The Regional Commission avoid purchasing unnecessary items;
- Where appropriate, an analysis is made of lease and purchase alternatives to determine which would be the most economical and practical procurement for the Regional Commission; and
- Solicitations for goods and services include the following:
 1. A clear and accurate description of the technical requirements for the material, product or service to be procured. In competitive procurements, such a description shall not contain features which unduly restrict competition.
 2. Requirements which the responder must fulfill and all other factors to be used in evaluating bids or proposals.
 3. A description, whenever practicable, of technical requirements in terms of functions to be performed or performance required, including the range of acceptable characteristics or minimum acceptable standards.

4. The specific features of "brand name or equal" descriptions that responders are required to meet when such items are included in the solicitation
5. The acceptance, to the extent practicable and economically feasible, of products and services dimensioned in the metric system of measurement if applicable.
6. Preference, to the extent practicable and economically feasible, for products and services that conserve natural resources and protect the environment and are energy efficient.
7. Positive efforts shall be made to utilize small businesses, minority-owned firms, and women's business enterprises, whenever possible.

PROCUREMENT PROCEDURES AUTHORIZATION:

Under the Official Code of Georgia Annotated (OCGA) § 50-8-64, the Regional Commission is required to develop a system for competitive procurement relating to the purchase of supplies, equipment, and services and the letting of other contracts. This section of relevant state law authorizes the Commission to award such contracts/agreements to the lowest responsible bidder. These procurement procedures are developed in accordance with the provisions of state and applicable federal laws and regulations.

SUBRECIPIENT AND VENDOR RELATIONSHIPS:

For the purposes of these Procurement Policies, the following definitions shall apply:

1. **Subrecipient** means a non-Federal entity that expends State or Federal awards received from a pass-through entity to carry out a State or Federal program, but does not include an individual who is a beneficiary of such a program. A subrecipient may also be a recipient of other State or Federal awards directly from a State or Federal awarding agency. Guidance on distinguishing between a subrecipient and a vendor is provided below.
2. **Vendor** means a dealer, distributor, merchant, or other seller providing goods or services that are required for the conduct of a Local, Regional, State, or Federal program. These goods or services may be for an organization's own use or for the use of beneficiaries of the Local, Regional, or State Federal program. Additional guidance on distinguishing between a subrecipient and a vendor is provided below.

Subrecipient and vendor determinations

(a) **General.** An awardee may be a recipient, a subrecipient, and/or a vendor. State and Federal awards expended as a recipient or a subrecipient would be subject to audit under relevant State and Federal auditing requirements. The payments received for goods or services provided as a vendor would not be considered State or Federal awards. The guidance in paragraphs (b) and (c) of this section should be considered in determining whether payments constitute a State or Federal award or a payment for goods and services.

(b) **State or Federal award.** Characteristics indicative of a State or Federal award received by a subrecipient are when the organization:

- (1) Determines who is eligible to receive what State or Federal financial assistance;
- (2) Has its performance measured against whether the objectives of the State or Federal program are met;
- (3) Has responsibility for programmatic decision making;

- (4) Has responsibility for adherence to applicable State or Federal program compliance requirements; and
- (5) Uses the State or Federal funds to carry out a program of the organization as compared to providing goods or services for a program of the pass-through entity.

(c) **Payment for goods and services.** Characteristics indicative of a payment for goods and services received by a vendor are when the organization:

- (1) Provides the goods and services within normal business operations;
- (2) Provides similar goods or services to many different purchasers;
- (3) Operates in a competitive environment;
- (4) Provides goods or services that are ancillary to the operation of the State or Federal program; and
- (5) Is not subject to compliance requirements of the State or Federal program.

(d) **Use of judgment in making determination.** There may be unusual circumstances or exceptions to the listed characteristics. In making the determination of whether a subrecipient or vendor relationship exists, the substance of the relationship is more important than the form of the agreement. It is not expected that all of the characteristics will be present and judgment should be used in determining whether an entity is a subrecipient or vendor. The Regional Commission has the sole authority to determine whether a subrecipient or vendor relationship exists based on the substance of the relationship. In cases where there is a question as to the type of relationship, the Commission's Executive Director shall make the final determination as to the type of relationship.

(e) **Compliance responsibility for vendors.** In most cases, the Regional Commission's compliance responsibility for vendors is only to ensure that the procurement, receipt, and payment for goods and services comply with laws, regulations, and the provisions of contracts or grant agreements. Program compliance requirements normally do not pass through to vendors. However, the Regional Commission is responsible for ensuring compliance for vendor transactions which are structured such that the vendor is responsible for program compliance or the vendor's records must be reviewed to determine program compliance. Also, when these vendor transactions relate to a major program, the scope of the review must include determining whether these transactions are in compliance with laws, regulations, and the provisions of contracts or grant agreements.

SUBRECIPIENT COOPERATIVE AGREEMENTS:

When the Regional Commission awards state or federal funds to subrecipients, the applicable agreement shall be used outlining the scope of work to be performed, the time period of the award, and any conditions associated with the funding and reporting requirements of the subrecipient. Due to the nature of award and the relationship between the Regional Commission and the subrecipient, formal request for proposals or sealed bids are not required to enter into subrecipient Cooperative Agreements. The Regional Commission may, at the Commission's sole discretion, seek a request for qualifications from potential subrecipients to ensure that the subrecipients have a reasonable expectation of success in fulfilling the requirements of the agreement.

PURCHASE THRESHOLD REQUIREMENTS:

The Commission will utilize the following purchasing thresholds for acquisitions of goods and services from vendors except as outlined under "Purchase Requirement Exceptions".

1. For all purchases with an estimated cost up to \$300, the buyer will use their best judgment as to the vendor selection.
2. Purchases with an estimated cost between \$301 and \$5,000 require quotations, either in person, telephone, fax, email, or written form, from at least three prospective vendors. Such documentation must be submitted along with the Purchase Order to substantiate that quotes were obtained.
3. Purchases for materials, supplies, and/or goods with an estimated value cost over \$5,001 require competitive procurements. All competitive procurement must be authorized by the Commission's Executive Director. This authorization by the Executive Director must be in the form of a memo signed by the Executive Director setting forth the nature of the procurement.
4. Any purchase over \$125,000 must be approved by the Regional Commission's governing Council. This approval will be documented in the minutes of the Council.

Under no circumstances shall any such purchases be split to avoid these purchasing thresholds.

All purchases will be from the responder which responds with the most reasonable offer, considering price, responsibility of the responder, and all other relevant factors such as delivery date, quality of product, service, etc. (such factors being used by the Commission to determine the lowest responsible responder). These procurement policies do not require the Commission to purchase from the lowest responder but the responder deemed, at the Regional Commission's sole discretion, to be the lowest responsible responder.

All original documentation of the procurement procedures used shall be forwarded to, and maintained by, Accounts Payable. Accounts Payable will review the documentation related to these procedures prior to processing for payment. Each employee who initiates the purchase is responsible for ensuring adherence to these policies. Failure to follow these policies may invalidate the purchase and may make the employee responsible for the payment.

PURCHASE REQUIREMENT EXCEPTIONS:

Any purchases of goods, services, or equipment that meet any of the following criteria do not have to follow the purchase threshold requirements outlined above:

- Purchases from vendors of goods, services, or equipment obtained under state contracts.
- Purchases of goods, services, or equipment from member jurisdictions.
- Purchases made through the Department of Administrative Services.
- Purchases made through the Georgia Technology Authority or with other state agencies and/or regional commissions providing goods, services, or equipment.
- Professional Services (such as legal services, information technology services, accounting or auditing services (unless otherwise required by applicable law), temporary employment services, and insurance brokerage services).
- Membership dues/subscriptions to relevant job/organization related associations, organizations, or entities.
- Annual software maintenance and/or update costs.
- Annual budgeted insurance costs.
- Utility costs.
- Other items specifically outlined and approved in the Commission's annual operating budget.

Additionally, the issuance of any cooperative agreement, grant, or contract between the CSRA Regional Commission and any of its member jurisdictions shall not require any competitive procurement process.

RIGHT TO AUDIT

All contract(s)/agreement(s) awarded by the Regional Commission shall include a provision to the effect that the Regional Commission, a Federal or State awarding agency, the U.S. Comptroller General, or any of their duly authorized representatives, shall have access to any books, documents, papers and records of the contractor which are directly pertinent to a specific program for the purpose of making audits, examinations, excerpts and transcriptions.

PROCUREMENT PROCEDURES

The selection procedures to be used for procuring vendor contracts will include the following:

- a. Incorporate a clear and accurate description of the technical requirements for the material(s), supply(ies), product(s), or service(s) to be procured.
- b. Clearly set forth all requirements which responder must fulfill and identify factors to be used in evaluating responses to the procurement.
- c. Awards shall be made only to responsible responders who possess, at the Commission's sole discretion, the potential ability to perform successfully under the terms and conditions of a proposed procurement.
- d. Proposed procurement actions shall be reviewed by Commission officials, the Executive Director, and/or the Finance Officer to avoid purchasing unnecessary or duplicative items. Where appropriate, an analysis should be made of lease and purchase alternatives to determine which would be the most economical and practical procurement.
- e. The Commission shall perform a cost or price analysis in connection with every procurement action, which in the judgment of Commission officials, is of a material amount.
- f. The Commission shall maintain records sufficient to detail the significant history of all procurements that are material in amount. These records shall include, but are not necessarily limited to information pertinent to rationale for the method of procurement, selection of contract type, contractor selection or rejection, and the basis for the cost or price.
- g. The Commission will insure that contractors and/or vendors perform in accordance with the terms, conditions, and specifications of their contract or purchase order.
- h. Affirmative steps shall be taken, if required, to assure that small and minority businesses are utilized where possible as sources of supplies, equipment, construction, and services.

AFFIRMATIVE STEPS

Affirmative Steps shall include the following:

1. Including known qualified small and minority businesses on solicitation lists.
2. Assuring that known small and minority businesses are solicited whenever they are potential sources.
3. When economically feasible, dividing total requirements into smaller tasks or quantities so as to permit maximum small and minority business participation.
4. Where the requirements/regulations permit, establishing delivery schedules which will encourage participation by small and minority business.

5. Using the services and assistance of the Small Business Administration, the Office of Minority Business Enterprise of the Department of Commerce and the Community Services Administration whenever required.

CSRA REGIONAL COMMISSION PROCUREMENT PROCESS FOR PURCHASES \$5,000 AND LESS:

1. Identify funds to be utilized in the project. Ideally, the project should be included in the budget, in which case it would have already received any necessary Council approval.
2. Prepare and sign a purchase order request form (including relevant funding information in the description box) then forward to your supervisor for his/her approval.
3. Submit the appropriate supporting documentation to your Department Head and to the Human Resources Director for further action.
4. Your supervisor may either approve or deny your request (in which case a disapproval notice is sent to you), or approve the request, and forward it to the Human Resources Director for a purchase order number. It is your responsibility to follow-up on all purchase order requests prior to purchasing any items included on the request. *(NOTE: YOU AS THE PURCHASER ARE RESPONSIBLE FOR ASSURING YOUR COMPLIANCE WITH THESE PROCEDURES. FAILURE TO DO SO MAY RESULT IN THE COST BEING DISALLOWED. THE COMMISSION MAY HOLD YOU FINANCIALLY RESPONSIBLE FOR A DISALLOWED COST.)*
5. Your request, once assigned a purchase order number, will be forwarded to the Chief Financial Officer for his/her approval/disapproval and then to the Executive Director for final approval/disapproval.
6. After the Executive Director approves/disapproves of your request, you will be notified via email of the final status of your request.
7. If the request is approved, you may proceed with the purchase. **(Note: If your PO request results in a vendor relationship, a contract MUST be developed and signed BEFORE any work can be authorized. If you do not know whether such a contract is needed, please do not hesitate to contact Accounts Payable.)**

CSRA REGIONAL COMMISSION PROCUREMENT PROCESS FOR PURCHASES \$5,001 AND GREATER

1. Purchases for materials, supplies, and/or goods with an estimated value cost over \$5,001 require competitive procurements.
2. All competitive procurements must be authorized by the Commission's Executive Director. This authorization by the Executive Director must be in the form of a memo signed by the Executive Director setting forth the nature of the procurement.
3. Establish a Procurement Folder including the name of the procurement, its legal notice date, and the date procurement documents are due.
4. Identify the funds to be utilized in the procurement.
5. Identify the scope of work and/or list of materials, goods, and/or supplies to be procured.
6. Prepare a Request for Proposals (RFP) or a Request for Qualifications (RFQ) package (to include the legal advertisement, the Executive Director's memorandum of approval, and the relevant procurement documents) and submit to the Executive Director for his/her approval prior to releasing such documents to the public.
7. All competitive procurement notices must be announced at least thirty (30) days prior to the deadline for acceptance of responses unless the Executive Director explicitly approves in writing a waiver of this requirement.
8. The procurement documents must outline the specifications for the procurement including, but not necessarily limited to the following:
 - a. the date of any responder's conference (if applicable),

- b. the due date and time for responses,
 - c. the number of copies of the response to be submitted, and
 - d. include a clear and accurate description of the technical requirements for any material(s), supply(ies), product(s), or service(s) to be procured.
 - e. identify how potential responders can obtain copies of the RFP/RFQ; and
 - f. set forth all requirements which responder must fulfill; and
 - g. identify factors to be used in evaluating responses to the procurement, specifically noting that “The CSRA Regional Commission will evaluate each Response, choosing the one that, in the CSRA RC’s sole discretion, is the most responsive Response for the particular contract, best addresses the work to be performed, taking into consideration factors such as price, potential ability to perform successfully under the terms and conditions of the contract, analysis of applicable Unit Cost Methodology or other cost analysis, relevant past project experience/qualifications, organizational capacity, budget/financial capacity, and responses to the scope of work and performance overview sections of this response.
9. All procurement documents must also include clear language outlining the following Regional Commission rights:
 - a. The CSRA Regional Commission reserves the right, in its sole discretion, to contact any and/or all Responders after receiving the Responder(s)’s submittal to seek clarification of any portion thereof. The CSRA RC reserves the right to request additional information from any and/or all Responder(s) if the CSRA RC deems, in its sole discretion, such information necessary to further evaluate the Responder(s)’s qualifications and/or capacity to perform.
 - b. The CSRA Regional Commission reserves the right, in its sole discretion, to cancel the RFP/RFQ at anytime, to amend the RFP/RFQ before the due date for responses, to alter the time tables for procurement as set forth in the RFP prior to the due date, to reject any or all Responses submitted, and/or to waive any technicalities or formalities
 - c. Awarding of any contracts and any subsequent periodic payments during the grant period is contingent upon receipt of local, state and federal funds during the contract period.
10. Upon the Executive Director’s approval, the procurement documentation, including the procurement legal notice (if required) must be given to the Commission’s Secretary, who is responsible for placing required advertisements in the Commission’s legal organ. A copy of all of these documents must be placed in the Procurement Folder.
11. An applicant/responders conference, if applicable and if listed within the RFP/RFQ legal notice, can be held to discuss the procurement documents/process with potential responders.
 - a. If such a conference is held, the following must be included in the Procurement Folder:
 - i. a sign-in sheet signed by all those in attendance (including Commission staff) demonstrating those in attendance at the meeting; and
 - ii. minutes from the conference.
12. In some cases, it may be necessary to send out addendums or written correspondence to questions raised during the conference or during the procurement process. If such addendums and/or correspondence is sent out, you must include all copies of any such documents in the Procurement Folder.
13. Procurement responses should be time stamped upon receipt. If the document is sealed and cannot be time stamped in the time stamp machine, the Secretary may use a sign-in sheet to reflect the date and time of receipt of all procurement responses. In such cases, a copy of the sign-in sheet must be included in the Procurement Folder once the due date and time for submittal has expired.
14. No responses shall be accepted after the time due.
15. If a public opening of the procurement responses (commonly called a bid opening) is held pursuant to the procurement documents, the following must be included in the Procurement Folder:

- a. a sign-in sheet signed by all those in attendance (including Commission staff) demonstrating those in attendance at the opening; and
 - b. minutes outlining, at a minimum, the names of those responding to the procurement on time.
16. Procurements that are expected to result in an award/contract greater than \$50,000 in aggregate must be reviewed by a review committee assembled by the CSRA RC, which may or may not include staff of the CSRA RC and/or independent individual(s). Such procurements should also include an acknowledgement by the responder demonstrating his/her understanding at a minimum that the:
 - a. response submitted may be reviewed by a review committee assembled by the CSRA RC, at its sole discretion, which may or may not include staff of the CSRA RC and/or independent individual(s); and
 - b. that any notes and/or discussions generated during the review by the review committee are private and will not be shared with any Responder(s); and
 - c. that only a summary of the Review Committee's comments/recommendations will be made available upon completion of the Regional Commission's award of the procurement.
17. A copy of the Review Committee's summary comments/recommendations will be included in the Procurement Folder.
18. If the Regional Commission decides to reject any and/or all proposals, any letters sent to responders denoting such rejection shall be included in the Procurement Folder.
19. If the Regional Commission decides to make any award(s), a copy of the award letter(s) shall be included in the Procurement Folder.
20. Awards greater than \$125,000 require Regional Commission Council approval. A copy of the minutes denoting the Council's approval is required prior to finalizing the contract with the successful responder.
21. Once the successful responder is selected, a contract/agreement is negotiated and prepared in duplicate.
 - a. Submit the Procurement Folder and recommended contracts/agreements to Accounts Payable for review (Note: contact Accounts Payable if you need assistance with the contract/agreement development).
 - b. After review, Accounts Payable will forward the Procurement Folder and both copies of the contract/agreement to the Chief Financial Officer for review who will then forward to the Executive Director.
 - c. A cover letter will be prepared to accompany the contract/agreement.
22. Upon execution of the cover letter, the contract/agreement is sent to the award recipient for signatures. The RC Executive Director will execute the contract/agreement **after** the recipient has signed the contract.
23. A copy of the contract/agreement with original signature is returned to the award recipient with the second original along with all paperwork supporting the procurement and the contract going to accounts payable. At this time a copy of the contract/agreement will be returned to the employee for management of the project.
24. Implementation of the project is ready to begin.

APPEALS PROCESS

Responders not selected may appeal the CSRA Regional Commission's decision to award a competitively solicited contract/agreement to another Responder by submitting a written appeal to the Executive Director within ten (10) calendar days of being notified that they were not selected. The written appeal must be sent via certified mail, return receipt requested to: Attn: Appeal of Procurement Award, CSRA Regional Commission, 3023 Riverwatch Parkway, Suite A, Augusta, GA 30907.

For procurements resulting in awards of less than \$125,000, the Executive Director will schedule a time within ten (10) business days to hear the Responder's appeal. The Executive Director will consider the information presented and submit to the appealing Responder(s) his/her decision within ten (10) business days after hearing the appeal.

For procurements resulting in awards equal to or greater than \$125,000, the CSRA Regional Commission's Council will hear any such appeal at the Council's next regularly scheduled meeting (where the Responder may present an argument on its behalf, and the Executive Director, or his/her designee, may submit the Regional Commission's counterargument(s)). The Council will consider the information presented and submit to the Responder(s) its decision within ten (10) business days after hearing the appeal. The decision of the CSRA Regional Commission's Council shall be final and binding.

After the Regional Commission's Council or the Executive Director issues an appeal decision, any dispute that shall arise as to the procurement process shall be referred to a(n) arbitrator(s) selected in accordance with the rules of the American Arbitration Association, and such dispute shall be settled by arbitration in accordance with the rules prescribed by the CSRA Regional Commission, and judgment upon the award rendered by the arbitrator(s) may be entered in any court of competent jurisdiction. The party requesting arbitration and the CSRA Regional Commission shall share equally the cost of the arbitration process.

Once the arbitrator(s)'s judgment has been rendered, the decision will be presented to the CSRA Regional Commission's Council at its next regularly scheduled meeting for further consideration and/or action, if necessary.

Request for Taxpayer Identification Number and Certification

Give form to the requester. Do not send to the IRS.

Print or type See Specific Instructions on page 2.	Name (as shown on your income tax return)	
	Business name, if different from above	
	Check appropriate box: <input type="checkbox"/> Individual/Sole proprietor <input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Other ▶ <input type="checkbox"/> Exempt from backup withholding	
	Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
	City, state, and ZIP code	
List account number(s) here (optional)		

Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on Line 1 to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Social security number
_ _ - _ - _ _ _ _

or

Employer identification number
_ _ - _ _ _ _ _ _ _

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

Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. person (including a U.S. resident alien).

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

Sign Here	Signature of U.S. person ▶	Date ▶
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Purpose of Form

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

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

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
 2. Certify that you are not subject to backup withholding,
- or
3. Claim exemption from backup withholding if you are a U.S. exempt payee.

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

For federal tax purposes you are considered a person if you are:

- An individual who is a citizen or resident of the United States,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States, or

- Any estate (other than a foreign estate) or trust. See Regulations sections 301.7701-6(a) and 7(a) for additional information.
- Foreign person.** If you are a foreign person, do not use Form W-9. Instead, use the appropriate Form W-8 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).
- Nonresident alien who becomes a resident alien.** Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the recipient has otherwise become a U.S. resident alien for tax purposes.

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

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.

4. The type and amount of income that qualifies for the exemption from tax.

5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

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

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

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments (after December 31, 2002). This is called "backup withholding." Payments that may be subject to backup withholding include interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

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

Payments you receive will be subject to backup withholding if:

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

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

Penalties

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

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

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

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

Specific Instructions

Name

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

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

Sole proprietor. Enter your individual name as shown on your social security card on the "Name" line. You may enter your business, trade, or "doing business as (DBA)" name on the "Business name" line.

Limited liability company (LLC). If you are a single-member LLC (including a foreign LLC with a domestic owner) that is disregarded as an entity separate from its owner under Treasury regulations section 301.7701-3, enter the owner's name on the "Name" line. Enter the LLC's name on the "Business name" line. Check the appropriate box for your filing status (sole proprietor, corporation, etc.), then check the box for "Other" and enter "LLC" in the space provided.

Other entities. Enter your business name as shown on required Federal tax documents on the "Name" line. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on the "Business name" line.

Note. You are requested to check the appropriate box for your status (individual/sole proprietor, corporation, etc.).

Exempt From Backup Withholding

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

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

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

Exempt payees. Backup withholding is not required on any payments made to the following payees:

1. An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2),
2. The United States or any of its agencies or instrumentalities,
3. A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities,
4. A foreign government or any of its political subdivisions, agencies, or instrumentalities, or
5. An international organization or any of its agencies or instrumentalities.

Other payees that may be exempt from backup withholding include:

6. A corporation,

- 7. A foreign central bank of issue,
- 8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States,
- 9. A futures commission merchant registered with the Commodity Futures Trading Commission,
- 10. A real estate investment trust,
- 11. An entity registered at all times during the tax year under the Investment Company Act of 1940,
- 12. A common trust fund operated by a bank under section 584(a),
- 13. A financial institution,
- 14. A middleman known in the investment community as a nominee or custodian, or
- 15. A trust exempt from tax under section 664 or described in section 4947.

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

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt recipients except for 9
Broker transactions	Exempt recipients 1 through 13. Also, a person registered under the Investment Advisers Act of 1940 who regularly acts as a broker
Barter exchange transactions and patronage dividends	Exempt recipients 1 through 5
Payments over \$600 required to be reported and direct sales over \$5,000 ¹	Generally, exempt recipients 1 through 7 ²

¹See Form 1099-MISC, Miscellaneous Income, and its instructions.
²However, the following payments made to a corporation (including gross proceeds paid to an attorney under section 6045(f), even if the attorney is a corporation) and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees; and payments for services paid by a Federal executive agency.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box if you do not have an EIN; see how to get it below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-owner LLC that is disregarded as an entity separate from its owner (see *Limited liability company (LLC)* on page 2), enter your SSN (or EIN, if you have one). If the LLC is a corporation, partnership, etc., enter the entity's EIN.

Note. See the chart on page 4 for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local Social Security Administration office or get this form online at www.socialsecurity.gov/online/ss-5.pdf. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/businesses/ and clicking on Employer ID Numbers under Related Topics. You can get Forms W-7 and SS-4 from the IRS by visiting www.irs.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

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

Note. Writing "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.
Caution: A disregarded domestic entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

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

For a joint account, only the person whose TIN is shown in Part I should sign (when required). Exempt recipients, see *Exempt From Backup Withholding* on page 2.

Signature requirements. Complete the certification as indicated in 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 to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

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

What Name and Number To Give the Requester

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

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

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

³ You must show your individual name and you may also enter your business or "DBA" name on the second name line. You may use either your SSN or EIN (if you have one). If you are a sole proprietor, IRS encourages you to use your SSN.

⁴ List first and circle the name of the legal 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. 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.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons who must file information returns with the IRS to report interest, dividends, and certain other income paid to you, mortgage interest you paid, the acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA, or Archer MSA or HSA. The IRS uses the numbers for identification purposes and to help verify the accuracy of your tax return. The IRS may also provide this information to the Department of Justice for civil and criminal litigation, and to cities, states, and the District of Columbia to carry out their tax laws. We may also disclose this information to other countries under a tax treaty, to federal and state agencies to enforce federal nontax 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. Payers must generally withhold 28% of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to a payer. Certain penalties may also apply.