



... for the people

818 S. FLORES ST.

SAN ANTONIO, TEXAS 78204

www.saha.org

Procurement Department

## **REQUEST FOR QUOTATIONS**

**For**

**Clean, Paint, and Minor Repair Services**

**For**

**HOUSING AUTHORITY OF THE  
CITY OF SAN ANTONIO, TEXAS  
AND  
AFFILIATED ENTITIES**

**RFQ #: 1010-910-99-3364**

**Closes November 2, 2010 @ 11:00 AM**

Prepared by:

**Department of Procurement  
of the  
San Antonio Housing Authority  
818 South Flores Street  
San Antonio, Texas 78204**

President and CEO..... Lourdes Castro Ramirez

November 2010

## Request for Quotes 1010-910-99-3364

- 1.0 **SAN ANTONIO HOUSING AUTHORITY (SAHA) CONTACT:** All questions pertaining to this quotation shall be addressed to Daniel Gines, Purchasing Agent, telephone 210-477-6172, fax 210-477-6167 or e-mail at [daniel\\_gines@saha.org](mailto:daniel_gines@saha.org).
- 2.0 **APPLICABILITY:** By submitting a quote (hereinafter referred to as "bid") to SAHA, the firm or individual doing so (hereinafter, "the bidder") is automatically agreeing to abide by all terms and conditions listed herein, including those terms and conditions within the HUD document, *Table 5.1, Mandatory Contract Clauses for Small Purchases Other Than Construction*, HUD Handbook 7460.8 REV 2, Procurement Handbook for Public Housing Agencies, dated 2/2007, and SAHA General Terms and Conditions and HUD prevailing wage decision. These documents may be obtained by contacting Daniel Gines, Purchasing Agent, telephone 210-477-6172, fax 210-477-6167 or e-mail at [daniel\\_gines@saha.org](mailto:daniel_gines@saha.org).
- 3.0 **SAHA's RESERVATION OF RIGHTS:** SAHA reserves the right to:
  - 3.1 Reject any or all bids, to waive any informalities in the Solicitation process, or to terminate the Solicitation process at any time, if deemed by SAHA to be in the best interest of SAHA.
  - 3.2 Terminate a contract awarded pursuant to this Solicitation at any time for its convenience upon delivery of a 14-day written notice to the apparent or successful bidder.
  - 3.3 Determine the days, hours and locations that the successful bidder shall provide the items or services called for in this Solicitation.
  - 3.4 Reject and not consider any bid that does not, in the opinion of SAHA, meet the requirements of this Solicitation, including but not necessarily limited to incomplete bids and/or bids offering alternate (not including "or equal" items) or non-requested items or services.
  - 3.5 SAHA reserves the right to:
    - 3.5.1 To make an award to the same bidder (aggregate) for all items; or,
    - 3.5.2 To make an award to multiple bidders for the same or different items.
- 4.0 **BIDDER'S RESPONSIBILITY:** Each bidder must carefully review and comply with all instructions provided herein, or provided within any named attachments.

- 5.0 **DEADLINE:** Each bidder shall submit his/her proposed costs, prior to the posted deadline, where provided herein. Whereas this is an informal solicitation process, SAHA reserves the right to extend the posted deadline at any time prior to the deadline, if, in the opinion of SAHA, it is in the best interests of SAHA.
- 6.0 **HOLD PRICES/NON-ESCALATION:** By submitting a bid, each bidder thereby agrees to "hold" or not increase the proposed bid prices for a minimum period of sixty (60) days with no escalation. Quantities listed in this Solicitation are for the purpose of determining best pricing per line item.
- 7.0 **Method of Award:** SAHA may, at its sole discretion, procure the applicable goods or services by issuance of a PO or execution of a Contract. By submitting a bid, the successful proposer agrees to accept the PO or execute the contract.
- 8.0 **AWARD CRITERIA:** If an award is completed pursuant to this Solicitation, and unless otherwise instructed by SAHA, an award shall be made to the responsive and responsible contractor that submits the best value to SAHA using price and other factors listed below.

Past Experience  
Cost  
Past Performance

- 9.0 **BID COSTS:** There shall be no obligation for SAHA to compensate any bidder or prospective bidder for any costs that he/she may incur in responding to this Solicitation.
- 10.0 **ASSIGNMENT OF PERSONNEL:** SAHA retains the right to demand and receive a change in personnel assigned by the successful bidder to provide services to SAHA if SAHA believes that such change is in the best interest of SAHA and the completion of the work or provision of the items.
- 11.0 **UNAUTHORIZED SUB-CONTRACTING PROHIBITED:** The successful bidder shall not assign any right, nor delegate any duty for the work proposed pursuant to this Solicitation (including, but not limited to, selling or transferring the ensuing PO or contract) without the prior written consent of SAHA. Any purported assignment of interest or delegation of duty, without the prior written consent of SAHA shall be void and may result in the cancellation of the PO or contract with SAHA.
- 12.0 **LICENSING REQUIREMENTS:** By submitting a bid the successful bidder thereby certifies that he/she possess and will, prior to issuance of a PO by SAHA, present to SAHA, proof and/or certification of the following:
  - 12.1 If applicable, local business license or permit issued by the City of San Antonio.

**12.2 If applicable, a copy of the bidder's license issued by the State of Texas licensing authority allowing the bidder to provide the services or products as detailed herein.**

**13.0 SPECIFICATIONS /SCOPE OF WORK FOR THIS SOLICITATION:**

**13.1 SAHA is seeking independent contractors for Clean, Paint, and Minor Repair Services as specified in the scope of work in attachment C. The Contractor shall perform all work to the specifications and standards as prescribed in this request for quotes.**

**Attachment A- HUD Wage Decision.**

**Attachment B- Technical Specifications.**

**Attachment C- Scopes of Work.**

**Attachment D- W-9 Form.**

**13.2 Contractor(s) shall comply with all applicable federal, state and local laws, rules, regulations, ordinances and codes and obtain any licenses or permits required to provide the services under this request for quotes.**

**13.3 Upon completion of the work, Contractor(s) shall clean the area where the work was performed and Contractor shall remove any waste and debris generated by the work under this request for quotes and dispose of off-site. At no time, will Contractor discard waste or debris into any SAHA Refuse container.**

**13.4 Contractor(s) shall practice acceptable safety precautions, follow industry safety standards, and use only industry approved safety equipment in the performance of all duties. Contractor shall maintain at all times all equipment in proper and safe operating condition in accordance with the manufacturer's specifications. Contractor must be cognizant of safety at all times and take necessary safety precautions, so as to not cause harm to any persons or property while performing services under this request for quotes. Contractor(s) shall exercise extreme caution around pedestrians and parked cars.**

**13.5 SAHA shall retain salvage rights on any replaced equipment. However if the replaced equipment is of no value to SAHA, it will be the responsibility of the Contractor to dispose of the equipment.**

**13.6 Contractor shall pay all of its employees, including any and all approved subcontractors, the prevailing wage for maintenance as determined by the United States Department of Labor and the United States Department of Housing and Urban Development. Wages have been included as attachment A.**

- 13.7 Contractor(s) must provide supervision and other items, at Contractor's own expense, to include but not limited to: all equipment, labor, cleaning supplies, bleach, chrome polish, oven cleaner, glass cleaner, floor stripper and wax, non abrasive bathroom cleaners, tools, etc. necessary to perform all of the required services under this request for quotes. SAHA will furnish all building materials and supplies (such as paint, texture, caulking, flooring, doors, appliances, etc.) with the exception of cleaning supplies.**
- 13.8 Contractor shall have work crews, qualified by training and experience, and licensed to perform the work required. Contractor shall have adequate staff to insure make ready units are completed to include punch list items within three (3) calendar days of purchase order.**
- 13.9 Contractor shall perform criminal history checks and drug screening tests on all prospective employees performing work under this request for quotes and provide summaries of the results to SAHA CA if requested. Prospective employees whose criminal history check discloses a misdemeanor or felony involving crimes of moral turpitude, sexual offenses or harm to persons or property shall not be employed to perform work under this request for quotes. Contractor(s) is required to perform drug screening of all employees and to ensure acceptable test results. Criminal history and drug screening checks will be completed at the sole expense of the Contractor. Any employee of the Contractor suspected of being under the influence of drugs and/or alcohol will be reported to the SAHA's Security Department and/or other local law enforcement. If the employee is determined to be under the influence of drugs or alcohol in any form or manner, or believed by proper authority to be dealing in the illicit sale of alcohol or drugs they will be removed and shall not be allowed to return to any job site on SAHA property.**
- 13.10 Contractor shall provide ID badges and uniforms for all employees working on SAHA's properties. No employee will be allowed on SAHA's properties without his/her ID badge and uniform on his/her person. Contractor must submit to SAHA's Procurement Department a sample of his/her ID badge if requested. Contractor(s) is to report personnel changes to SAHA CA as they occur and prior to the person reporting to SAHA's property.**
- 13.11 Contactor(s) shall use reasonable care to clearly mark all work areas that might reasonably be expected to endanger the health and safety of residents, guests, or any other persons. Contractor will provide at their own expense such signs, markers and barricades as required to identify all work areas and minimize inherent dangers.**
- 13.12 Prior to commencing work, Contractor shall receive a purchase order.**

- 13.13 Physical Security:** Contractor shall be responsible for safeguarding all SAHA property provided for Contractor use. At the close of each workday, SAHA facilities, property and materials shall be inspected and secured. The Contractor shall establish and implement methods of ensuring that all keys issued to the Contractor by SAHA employees are not lost or misplaced and are not used by unauthorized persons. No keys issued to the Contractor by SAHA shall be duplicated. If the Contractor loses the keys to the lock, SAHA will replace the lock and bill the Contractor for the cost to replace the locks.
- 13.14 Environmental Control:** The Contractor shall be knowledgeable of and comply with all applicable Federal, State, and Local laws, regulations, and requirements regarding environmental protection. In the event environmental laws/regulations change during the term of this request for quotes, the Contractor is required to comply as such laws come into effect. If Contractor subjects SAHA to any environmental issue, he shall notify Property Manager immediately.
- 13.15 Notification of Environmental Spills:** If the Contractor spills or releases any substance mark as hazardous into the environment, the Contractor or its agent shall immediately report the incident to the Maintenance Operations Service Call Desk at 477-6800. The liability for the clean up of spill or release of such substances rests solely with the Contractor and its agent.
- 13.16 Make Ready Start Date:** The Contractor shall start the make ready no later than the very next day after being provided with a purchase order and must complete the unit within three (3) calendar days to include weekends and holidays unless other arrangements are made. The Contractor must have the equipment and manpower capability in order to complete at once all make ready units that are assigned. Once the purchase order is issued to the Contractor, the three (3) day turn around time applies to the entire group of make readies. This is including completing punch list and final inspection. If Contractor fails to complete the scope of work to include all punch list items within three (3) calendar days, SAHA may assess liquidated damages at a rate of \$50.00 dollars a day per unit.
- 13.17 Make Ready Acceptance:** After the Property Staff has identified unsatisfactory or incomplete discrepancies as per the scope of work, they will provide Contractor with punch list of items to be corrected. The Contractor shall notify the Maintenance Supervisor when the unit is ready for inspection. Inspections shall be scheduled no later than 4:00 p.m. daily, in order to be accepted within the specified time allowed. Property Staff will walk the unit with the Contractor to verify that the items on the punch list have been completed no later than the very next day when notified by Contractor that the unit is ready. Contractor shall not invoice SAHA until punch list is completed and signed off by Property Staff.

**13.18 Green Initiatives:** The Contractor is encouraged to investigate and offer alternatives for cleaning supplies and materials that would increase the “green” or environmental efficiency of the project.

**13.19** If not on file already with SAHA, Contractor shall provide completed W-9 form and insurance certificate within twenty four (24) hours of being notified by SAHA of awarded bid. The insurance certificate shall meet all of our insurance requirements as stated in section 14.0 below.

**13.20 EPA Requirements.** SAHA requires that all make ready Contractors must be EPA certified. Contractors performing renovation, repair and painting projects that disturb lead- based paint in homes, child care facilities, and schools built before 1978 must be certified by EPA and must follow specific work practices to prevent lead contamination.

This includes, but is not limited to:

Contain the work area.

Minimize dust.

Clean up thoroughly.

Contractors must provide to SAHA and tenants a copy of the EPA pamphlet *“Renovate Right: Important Lead Hazard Information for Families, Childcare Providers and Schools,”* before the renovations start. Federal law requires this in housing, child-care facilities and schools built before 1978 and when renovating six square feet or more of painted surfaces in a room for interior projects or more than twenty square feet of painted surfaces for exterior projects. For a copy of this pamphlet go to

[www.epa.gov/lead/pubs/renovaterightbrochure.pdf](http://www.epa.gov/lead/pubs/renovaterightbrochure.pdf)

**13.21** Contractor shall remove and dispose of any items or debris abandoned in the apartment. Dispose of these materials to an approved offsite location. Hazardous materials shall be restricted to the use of appropriate containers and disposed of in a proper and legal manner to an approved offsite location. This is the sole responsibility of the contractor.

**14.0 INSURANCE:** The following table details the standard liability policies with the required limits and waivers of subrogation required by SAHA of all contractors performing work on SAHA property.

Business Automobile Liability	Required Limits
SAHA and its affiliates must be named as an additional insured and as the certificate holder. This is required for any vendor that will be using their vehicle to do work on SAHA properties.	\$500,000 combined sin limit, per occurrence
Workers Compensation and Employer's Liability	Required Limits
Workers' Compensation coverage is Statutory and has no pre-set limits. Employer's Liability limit is \$500,000. Workers' Compensation is required for any vendor made up of more than one person. A Waiver of Subrogation in favor of SAHA must be included in the Workers' Compensation policy.  SAHA and its affiliates must be a Certificate Holder.	Statutory \$500,000
Commercial General Liability	Required Limits
This is required for any vendor who will be doing hands on work at SAHA properties. SAHA and its affiliates must be named as an Additional Insured and as the Certificate Holder.	\$1,000,000 per accident \$2,000,000 aggregate

**15.0 Invoicing:** Invoices shall be sent to: San Antonio Housing Authority, Accounts Payable, P.O. Box 830428, San Antonio, TX 78283-0428 or may be e-mailed to [AccountsPayable@saha.org](mailto:AccountsPayable@saha.org). Contractor shall invoice SAHA within 60 days after the delivery of the goods or service. If contractor fails to invoice within 60 days SAHA reserves the right to not pay the invoice.

**16.0 WARRANTY:** All services and goods provided pursuant to this RFQ and the resulting contract shall be covered by the most favorable commercial warranties given to any customer for same or similar supplies or services, but in any event such goods and services shall be warranted for at least a period of one (1) year.

**17.0 Fair Labor Standards Act:** Both parties hereby agree to comply with the provisions of the Fair Labor Standards Act (29 U.S.C. 201, et seq).

**18.0 Responses may be hand delivered to:**

San Antonio Housing Authority,  
attn. Daniel Gines, Purchasing Agent  
818 S. Flores, San Antonio, TX 78204.

Faxed to: Attn. Daniel Gines at 210-477-6167  
Emailed to: [daniel\\_gines@saha.org](mailto:daniel_gines@saha.org).

**19.0 Fees:** All fees are all-inclusive of all related costs that a proposer will incur to provide the noted services in compliance with this RFQ, including, but not limited to: employee wages and benefits, clerical support, travel and lodging, overhead, profit, licensing, insurance, materials, supplies, tools, equipment, long distance telephone calls, document copying and motor vehicle fuel, fully burdened.

**Quote Form**  
**RFQ Closes on November 2, 2010 at 11:00AM**

1) Courtland Heights # 306 (5940 Danny Kaye)	Cleaning and Paint	\$ _____
	Additional Repairs	\$ <u>N/A</u>
	Floor Repairs	\$ <u>N/A</u>
	Total Make Ready Cost	\$ _____
2) Courtland Heights # 403 (5940 Danny Kaye)	Cleaning and Paint	\$ _____
	Additional Repairs	\$ <u>N/A</u>
	Flooring Repairs	\$ <u>N/A</u>
	Total Make Ready Cost	\$ _____
3) Courtland Heights # 412 (5940 Danny Kaye)	Cleaning and Paint	\$ _____
	Additional Repairs	\$ <u>N/A</u>
	Flooring Repairs	\$ <u>N/A</u>
	Total Make Ready Cost	\$ _____
4) Courtland Heights # 404 (5940 Danny Kaye)	Cleaning and Paint	\$ _____
	Additional Repairs	\$ <u>N/A</u>
	Flooring Repairs	\$ <u>N/A</u>
	Total Make Ready Cost	\$ _____
5) Courtland Heights # 208 (5940 Danny Kaye)	Cleaning and Paint	\$ _____
	Additional Repairs	\$ <u>N/A</u>
	Flooring Repairs	\$ <u>N/A</u>
	Total Make Ready Cost	\$ _____
6) Courtland Heights # 109 (5940 Danny Kaye)	Cleaning and Paint	\$ _____
	Additional Repairs	\$ <u>N/A</u>
	Floor Repairs	\$ <u>N/A</u>
	Total Make Ready Cost	\$ _____
7) Courtland Heights # 211 (5940 Danny Kaye)	Cleaning and Paint	\$ _____
	Additional Repairs	\$ <u>N/A</u>
	Flooring Repairs	\$ <u>N/A</u>
	Total Make Ready Cost	\$ _____
8) Courtland Heights # 212 (5940 Danny Kaye)	Cleaning and Paint	\$ _____
	Additional Repairs	\$ <u>N/A</u>
	Flooring Repairs	\$ <u>N/A</u>
	Total Make Ready Cost	\$ _____

9) Courtland Heights # 203 (5940 Danny Kaye)	Cleaning and Paint Additional Repairs Flooring Repairs Total Make Ready Cost	\$ _____ \$ <u>N/A</u> \$ <u>N/A</u> \$ _____
10) Towering Oaks # 402 (7710 Oakdell Way)	Cleaning and Paint Additional Repairs Flooring Repairs Total Make Ready Cost	\$ _____ \$ <u>N/A</u> \$ <u>N/A</u> \$ _____
11) Towering Oaks # 1204 (7710 Oakdell Way)	Cleaning and Paint Additional Repairs Floor Repairs Total Make Ready Cost	\$ _____ \$ <u>N/A</u> \$ <u>N/A</u> \$ _____
12) Towering Oaks # 1110 (7710 Oakdell Way)	Cleaning and Paint Additional Repairs Flooring Repairs Total Make Ready Cost	\$ _____ \$ <u>N/A</u> \$ <u>N/A</u> \$ _____
13) Towering Oaks # 806 (7710 Oakdell Way)	Cleaning and Paint Additional Repairs Flooring Repairs Total Make Ready Cost	\$ _____ \$ <u>N/A</u> \$ <u>N/A</u> \$ _____
14) 1314 Colima (Alazan-Apache)	Cleaning and Paint Additional Repairs Floor Repairs Total Make Ready Cost	\$ _____ \$ _____ \$ <u>N/A</u> \$ _____
15) 1119 San Fernando (Alazan-Apache)	Cleaning and Paint Additional Repairs Flooring Repairs Total Make Ready Cost	\$ _____ \$ _____ \$ _____ \$ _____
16) 1113 San Fernando (Alazan-Apache)	Cleaning and Paint Additional Repairs Flooring Repairs Total Make Ready Cost	\$ _____ \$ _____ \$ <u>N/A</u> \$ _____
17) 727 San Marcos (Alazan-Apache)	Cleaning and Paint Additional Repairs Flooring Repairs Total Make Ready Cost	\$ _____ \$ _____ \$ _____ \$ _____

<b>18) 35 Gus Garcia (Alazan-Apache)</b>	<b>Cleaning and Paint</b>	\$ _____
	<b>Additional Repairs</b>	\$ _____
	<b>Flooring Repairs</b>	\$ <u>N/A</u>
	<b>Total Make Ready Cost</b>	\$ _____
<b>19) Springhill I # 1202-4 (4830 Ray Bon Dr.)</b>	<b>Cleaning and Paint</b>	\$ _____
	<b>Additional Repairs</b>	\$ _____
	<b>Floor Repairs</b>	\$ <u>N/A</u>
	<b>Total Make Ready Cost</b>	\$ _____
<b>20) 2001 S. Zarzamora # 1902 (San Juan Homes)</b>	<b>Cleaning and Paint</b>	\$ _____
	<b>Additional Repairs</b>	\$ _____
	<b>Flooring Repairs</b>	\$ <u>N/A</u>
	<b>Total Make Ready Cost</b>	\$ _____

**Sub-Contractors: Proposer shall identify his sub-contractors if any:**

a) \_\_\_\_\_

b) \_\_\_\_\_

Non-Collusive Affidavit: The undersigned party submitting this proposal hereby certifies that such bid is genuine and not collusive and that said bidder has not colluded, conspired, connived or agreed, directly or indirectly, with any bidder or person, to put in a sham bid or to refrain from bidding, and has not in any manner, directly or indirectly sought by agreement or collusion, or communication or conference, with any person, to fix the bid price of affiant or of any other bidder, to fix overhead, profit or cost element of said bid price, or that of any other bidder or to secure any advantage against the SAHA or any person interested in the proposed contract; and that all statements in said bid are true.

**Initials** \_\_\_\_\_

In performing this contract, the contractor(s) shall comply with any and all applicable federal, state or local laws including but not limited to: Occupational Safety & Health, Equal Employment Opportunity, Immigration and Naturalization, The Americans with Disabilities Act, State Tax and Insurance Law, and the Fair Housing Act.

**Initials** \_\_\_\_\_

In submitting this bid, it is understood if written notice of the acceptance of this bid is mailed, e-mailed, or delivered to the undersigned within sixty (60) days after the opening thereof, or at any time thereafter before this bid is withdrawn, the undersigned agrees to execute and deliver the products and/or services described herein. By signature hereon the bidder certifies he has the right and authority to bind the company.

Submitted by: \_\_\_\_\_ Date: \_\_\_\_\_  
(Firm)

\_\_\_\_\_  
(Signature) (Printed name and title)

\_\_\_\_\_  
(Business address,)

\_\_\_\_\_  
(Phone) (E-mail)

# **ATTACHMENT A HUD WAGE DECISION**

<b>Maintenance Wage Rate Determination</b>	<b>U.S. Department of Housing and Urban Development Office of Labor Relations</b>	<b>HUD FORM 52158 (06/2006)</b>
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<b>Agency Name:</b>  <b>San Antonio Housing Authority</b>	<b>LR 2000 Agency ID No:</b>  <b>TX006A</b>	<b>Wage Decision Type:</b> <input checked="" type="checkbox"/> Routine Maintenance <input type="checkbox"/> Nonroutine Maintenance
	<b>Effective Date:</b>  <b>7/1/2010</b>	<b>Expiration Date:</b>  <b>6/30/2011</b>

The following wage rate determination is made pursuant to Section 12(a) of the U.S. Housing Act of 1937, as amended, (public housing agencies), or pursuant to Section 104(b) of the Native American Housing Assistance and Self-determination Act of 1996, as amended, (Indian housing agencies). The agency and its contractors may pay to maintenance laborers and mechanics no less than the wage rate(s) indicated for the type of work they actually perform.

*Karen Clark*  
**Karen Clark, Labor Relations Specialist** **Date** **3/24/10**

WORK CLASSIFICATION(S)	HOURLY WAGE RATES	
	BASIC WAGE	FRINGE BENEFIT(S) (if any)
Broiler Mechanic	\$15.35	\$4.61
Carpenter	\$14.20	\$4.26
Construction Inspector	\$15.35	\$4.61
Custodian Lead	\$10.09	\$3.03
Custodian	\$9.36	\$2.81
Electrician	\$15.35	\$4.61
HQ Inspector	\$13.16	\$3.94
HVAC Mechanic	\$15.35	\$4.61
Plumber	\$14.80	\$5.03
Maintenance Tech	\$10.95	\$3.28
Landscaper	\$10.95	\$3.65

	<b>FOR HUD USE ONLY</b> <b>LR2000:</b> <b>Log in: OMW5411</b>
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## **ATTACHMENT B TECHNICAL SPECIFICATIONS**

### **UNIT MAKE READY SERVICES**

The Contractor will furnish all labor, tools, paint brushes, paint rollers, drop cloths, cleaning materials, supplies, transportation, equipment, and supervision of contractor employees (regardless of full time, temp or other) as required to complete unit make ready tasks/functions at the various multi-family and senior residential developments, high-rises and single-family developments.

Prior to commencement of the make-ready, the Authority will furnish all building materials and supplies (such as cabinets, paint, texture, caulking, flooring, windows, doors, door jambs, appliances, etc.).

Basic Make-Ready work will consist of items listed below:

- “A” Cleaning
- “B” Painting
- “C” Cleanup

The make ready scope of work will document and list all items in need of repair or replacement during the completion of the make ready. Scope of work will include Interior and exterior of apartments, residential homes, additional spaces, porches, steps, carports, exterior storage structures, and/or garages attached or detached to include yards, gates, and fences.

**\* Note: Prior to commencing with the make-ready, property management will notify the contractor of any hazardous materials (such as lead and/or asbestos).**

#### **A. CLEANING:**

- ❑ Range/Ovens: All loose parts such as drip pans, oven bottoms and broiler pans are removed and cleaned or replaced if directed by Housing Authority staff.
- ❑ Dishwasher: All surfaces, float and rubber seals are cleaned. Scum and hard water deposits on interior bottom of door and heating element is removed.
- ❑ Garbage disposal shall be free of debris.
- ❑ Bathrooms non-abrasive cleaners shall be used to remove soap scum, mildew and calcium deposits from tub, commode, shower, sink and ceramic tile.
- ❑ Cabinets/drawers interior and exterior, doors, drawers and hinges shall be cleaned and free of debris.
- ❑ Carports, storage rooms, patios, porches and walks shall be free of debris, dirt, cobwebs, etc. Excessive oil and grease must be removed from floor areas and all areas must be swept.

## **B. PAINTING**

All painted surfaces will be repainted to provide a uniform finish. Work shall be performed in accordance with the manufacturers recommendations. The contractor will be responsible for correcting at his/her expense any work not accepted by SAHA staff.

Materials provided will be used for their intended purpose only (i.e. interior paint for interior surfaces and exterior paint for exterior surfaces, etc.).

NOTE: The Housing Authority will provide products required to perform the following tasks. There will be no substitutions unless approved in writing by Authority staff.

### **PAINT PREPARATION, INTERIOR & EXTERIOR:**

- ❑ Scrape off all flaking and/or loose paint from ceiling, walls and trim, interior and exterior doors, and exterior windowsill surfaces. Where chipped paint exists, sanding will be performed by use of various grades of sandpaper to featheredge chipped areas to allow a smooth flow of paint and prevent further chipping.
- ❑ All nails, screws, brackets, debris etc., shall be removed. All holes in the walls, ceilings, doors, trim, etc. as well as cracks, will be properly filled, floated or caulked flush with existing surfaces. Finish will match all other existing finish work.
- ❑ All bare wood shall receive a thorough primer coat prior to the application of any finished coats of paint. Under no circumstances shall a finished coat product be used as a suitable substitute for a primer product manufactured solely for that purpose.
- ❑ New doors shall be properly primed on all six (6) sides before final paint is applied.
- ❑ The contractor shall insure sufficient drying time between primer and subsequent finished coats, as recommended by the manufacturer of the product.
- ❑ Appropriate texture and primer products will be used where repairs are made on ceilings, walls, siding or trim work.
- ❑ Areas where exposed grain or transparent finishes exist the contractor will be required to use putty or other fillers to match the existing color shade.
- ❑ On any loose, cracked or chipped filler materials, they shall be completely removed and redone prior to any application of primer or finished coat products.
- ❑ Unfinished walls and ceiling surfaces due to repairs will be textured with matching texture and painted (to include new and old patches and/or repairs).
- ❑ All old caulking material will be removed and replaced with new caulking around tubs, fixtures, countertops, and other surfaces as required.
- ❑ As applicable, in apartments with metal type window units, properly scrape and sand the metal prior to installing an oil base primer. Allow sufficient drying time prior to applying a finish coat of oil base gloss enamel paint.
- ❑ Sand, clean, and paint screens and entrance doors.
- ❑ All HVAC Registers (supply/return) vents shall be cleaned and free of rust, dust and debris. The contractor shall install new air filters and filter media with each make ready.
- ❑ All heating units will be cleaned inside and out as well as the face panels.
- ❑ All exhaust fans and heating fans located in restrooms will be cleaned and oiled.
- ❑ Kitchen vent hoods will be cleaned, free of paint, new vent filter installed with each make ready.

**C. CLEAN UP:**

- ❑ The contractor shall remove all equipment and debris from the exterior grounds and will not leave cleanup tools or any other equipment on any grass areas. Residual buildup on yard surfaces, sidewalks or streets is strictly prohibited.
- ❑ Any damages caused by the contractor shall be restored to its original condition at the contractor's own expense.
- ❑ All floors, cabinets, fixtures etc. that require cleaning as a result of repairs made, shall be cleaned off, leaving the apartment ready for occupancy.
- ❑ Chrome fixtures shall be free of any stains and receive a coat of chrome polish. Areas where acid is used for the cleaning of fixtures, contractor shall insure proper and timely neutralization of the acid to eliminate any permanent stains on chrome or other surfaces. All pipe escutcheons will be installed properly and free of paint. Any items damaged due to contractor employee negligence, shall be replaced at the contractor's expense.
- ❑ The contractor shall install spring type doorstops (door bumpers) behind all doors.

**Additional Repairs:**

Additional repairs for Unit Make Ready Services are defined as those repairs on the scope of work other than clean, paint and flooring repairs.

**Floor Repairs:** Floor repairs are accomplished in conjunction with Make Ready Maintenance and must be on the original scope of work and purchase order. The Contractor shall replace damaged, worn, torn, stained etc. flooring (vinyl tile, sheet vinyl, etc.) when acceptable repairs cannot be made. Items such as commodes, door tracks, caulking and moldings shall be removed to facilitate work underneath.

**The Contractor shall complete the following tasks for all Make Ready Units**

Location	
General	All areas should be clean and free of cobwebs, dirt, and debris. All HVAC registers and vents shall be cleaned and free of rust, dust and debris.
Exterior	All exterior shall be cleaned and free of graffiti. Porch and sidewalk shall be power washed. Wash all windows
Interior	Paint/clean entire apartment; wash windows; all tile floors shall be thoroughly cleaned and free from old wax and shall receive a coat of non-buffing, non-yellowing clear wax. All cabinets shall receive a light coat of furniture oil.
Garage	Clean and remove excess grease and oil from floor, free of cobwebs
Storage room	Clean/paint
Front door	Clean/paint
Back door	Clean/paint
Side door	Clean/paint
A/C room	Clean/paint Replace A/C filter
Kitchen	Clean refrigerator, dishwasher, stove & cabinets (Remove all food particles, grease and dirt from all surfaces and under appliances) (Clean all seals and ice cube trays) (Clean and empty drip pan from refrigerator; remove dust from coils) (Counter top shall be thoroughly cleaned and all stains removed) (Cabinets shall be empty and cleaned) Garbage disposal rubber collar shall be cleaned. Exhaust fans, Vent-a-hood and microwaves shall be free of grease and have a clean filter installed.
Laundry room	Clean/paint
Hallway	Clean/paint
Upstairs bathroom	Clean/Paint clean shower/tub, commode & vanity, remove all stains, soap scum, and calcium deposits, clean mirror, medicine cabinet, counter, exhaust fan grill, oil exhaust fan.
Master bathroom	Clean/paint Clean shower/bathtub, commode & vanity remove all stains, soap scum, and calcium deposits, clean mirror, medicine cabinet, counter, exhaust fan grill, oil exhaust fan.
Living room	Clean and paint Clean light fixtures, blinds, shades, mini blinds.
1 <sup>st</sup> bedroom	Clean and paint Clean light fixtures, blinds, shades, mini blinds.
2 <sup>nd</sup> bedroom	Clean and paint Clean light fixtures, blinds, shades, mini blinds.

3 <sup>rd</sup> bedroom	Clean and paint Clean light fixtures, blinds, shades, mini blinds.

# **ATTACHMENT C SCOPES OF WORK**

**SCOPE OF WORK FOR Courtland Heights#306 2-BR Sq ft 1012**

Location	
Exterior	
Interior	Paint/clean entire apartment
Garage	
W/H room	
Storage room	
Front door	
Back door	
Side door	
A/C room	
Kitchen	
Laundry room	
Hallway	
Hallway bathroom	
Master bathroom	
Living room	
1 <sup>st</sup> bedroom	
2 <sup>nd</sup> bedroom	
3 <sup>rd</sup> bedroom	

**SCOPE OF WORK FOR Courtland Heights#403 2-BR Sq ft 894**

Location	
Exterior	
Interior	Paint/clean entire apartment
Garage	
W/H room	
Storage room	
Front door	
Back door	
Side door	
A/C room	
Kitchen	
Laundry room	
Hallway	
Hallway bathroom	
Master bathroom	
Living room	
1 <sup>st</sup> bedroom	
2 <sup>nd</sup> bedroom	
3 <sup>rd</sup> bedroom	

**SCOPE OF WORK FOR Courtland Heights#412 2-BR Sq ft 1012**

Location	
Exterior	
Interior	Paint/clean entire apartment
Garage	
W/H room	
Storage room	
Front door	
Back door	
Side door	
A/C room	
Kitchen	
Laundry room	
Hallway	
Hallway bathroom	
Master bathroom	
Living room	
1 <sup>st</sup> bedroom	
2 <sup>nd</sup> bedroom	
3 <sup>rd</sup> bedroom	

**SCOPE OF WORK FOR Courtland Heights#404 3-BR Sq ft 1181**

Location	
Exterior	
Interior	Paint/clean entire apartment
Garage	
W/H room	
Storage room	
Front door	
Back door	
Side door	
A/C room	
Kitchen	
Laundry room	
Hallway	
Hallway bathroom	
Master bathroom	
Living room	
1 <sup>st</sup> bedroom	
2 <sup>nd</sup> bedroom	
3 <sup>rd</sup> bedroom	

**SCOPE OF WORK FOR Courtland Heights#208 2-BR Sq ft 1012**

Location	
Exterior	
Interior	Paint/clean entire apartment
Garage	
W/H room	
Storage room	
Front door	
Back door	
Side door	
A/C room	
Kitchen	
Laundry room	
Hallway	
Hallway bathroom	
Master bathroom	
Living room	
1 <sup>st</sup> bedroom	
2 <sup>nd</sup> bedroom	
3 <sup>rd</sup> bedroom	

**SCOPE OF WORK FOR Courtland Heights#109 1-BR Sq ft 651**

Location	
Exterior	
Interior	Paint/clean entire apartment
Garage	
W/H room	
Storage room	
Front door	
Back door	
Side door	
A/C room	
Kitchen	
Laundry room	
Hallway	
Hallway bathroom	
Master bathroom	
Living room	
1 <sup>st</sup> bedroom	
2 <sup>nd</sup> bedroom	
3 <sup>rd</sup> bedroom	

**SCOPE OF WORK FOR Courtland Heights#211 2-BR Sq ft 894**

Location	
Exterior	
Interior	Paint/clean entire apartment
Garage	
W/H room	
Storage room	
Front door	
Back door	
Side door	
A/C room	
Kitchen	
Laundry room	
Hallway	
Hallway bathroom	
Master bathroom	
Living room	
1 <sup>st</sup> bedroom	
2 <sup>nd</sup> bedroom	
3 <sup>rd</sup> bedroom	

**SCOPE OF WORK FOR Courtland Heights#212 2-BR Sq ft 1012**

Location	
Exterior	
Interior	Paint/clean entire apartment
Garage	
W/H room	
Storage room	
Front door	
Back door	
Side door	
A/C room	
Kitchen	
Laundry room	
Hallway	
Hallway bathroom	
Master bathroom	
Living room	
1 <sup>st</sup> bedroom	
2 <sup>nd</sup> bedroom	
3 <sup>rd</sup> bedroom	

**SCOPE OF WORK FOR Courtland Heights#203 2-BR Sq ft 894**

Location	
Exterior	
Interior	Paint/clean entire apartment
Garage	
W/H room	
Storage room	
Front door	
Back door	
Side door	
A/C room	
Kitchen	
Laundry room	
Hallway	
Hallway bathroom	
Master bathroom	
Living room	
1 <sup>st</sup> bedroom	
2 <sup>nd</sup> bedroom	
3 <sup>rd</sup> bedroom	

**SCOPE OF WORK FOR Towering Oaks #402 2-bdrm 856 sq ft**

Location	
Exterior	
Interior	Paint/clean entire apartment
Garage	
W/H room	
Storage room	
Front door	
Back door	
Side door	
A/C room	
Kitchen	
Laundry room	
Hallway	
Hallway bathroom	
Master bathroom	
Living room	
1 <sup>st</sup> bedroom	
2 <sup>nd</sup> bedroom	
3 <sup>rd</sup> bedroom	

**SCOPE OF WORK FOR Towering Oaks #1204 2-bdrm 1096 sq ft**

Location	
Exterior	
Interior	Paint/clean entire apartment
Garage	
W/H room	
Storage room	
Front door	
Back door	
Side door	
A/C room	
Kitchen	
Laundry room	
Hallway	
Hallway bathroom	
Master bathroom	
Living room	
1 <sup>st</sup> bedroom	
2 <sup>nd</sup> bedroom	
3 <sup>rd</sup> bedroom	

**SCOPE OF WORK FOR Towering Oaks #1110 1-bdrm 536 sq ft**

Location	
Exterior	
Interior	Paint/clean entire apartment
Garage	
W/H room	
Storage room	
Front door	
Back door	
Side door	
A/C room	
Kitchen	
Laundry room	
Hallway	
Hallway bathroom	
Master bathroom	
Living room	
1 <sup>st</sup> bedroom	
2 <sup>nd</sup> bedroom	
3 <sup>rd</sup> bedroom	

**SCOPE OF WORK FOR Towering Oaks #806 2-bdrm 856 sq ft**

Location	
Exterior	
Interior	Paint/clean entire apartment
Garage	
W/H room	
Storage room	
Front door	
Back door	
Side door	
A/C room	
Kitchen	
Laundry room	
Hallway	
Hallway bathroom	
Master bathroom	
Living room	
1 <sup>st</sup> bedroom	
2 <sup>nd</sup> bedroom	
3 <sup>rd</sup> bedroom	

**SCOPE OF WORK FOR 1314 COLIMA 2BEDROOM 10/11/2010**  
**798 sq. ft.**

Location	
Exterior	
Interior	Paint/clean entire apartment CLEAN /PAINT Replace all door stoppers x 8ea
Garage	
W/H room	
Storage room	Clean/paint
Front door	Clean/paint
Back door	Clean/paint, repair frame
Side door	
A/C room	
Kitchen	Clean appliances, paint cabinets
Laundry room	Clean/paint replace drywall has damage 96 sq.ft. wall and ceiling
Hallway	Clean/paint
Hallway bathroom	Replace toilet seat shower head
Master bathroom	
Living room	Clean/paint
1 <sup>st</sup> bedroom	Clean/Paint
2 <sup>nd</sup> bedroom	Clean/Paint
3 <sup>rd</sup> bedroom	

**SCOPE OF WORK FOR 1119 SAN FERNANDO 2 BEDROOM      10/11/10**  
**630 sq. ft.**

<b>Location</b>	
Exterior	
Interior	Paint/clean entire apartment
	CLEAN /PAINT
	Replace all door stoppers x6ea
	Replace all broken floor tiles 20 pcs VCT
Garage	
W/H room	
Storage room	Clean/paint
Front door	Clean/paint
Back door	Clean/paint
Side door	
A/C room	
Kitchen	Replace outlet/plate x1ea,switch plate x1ea light fixture,clean appliances,paint cabinets brown,replace gfis x2ea
Laundry room	Clean/paint replace light fixture
Hallway	Clean/paint
Hallway bathroom	Replace light switch/plate,gfi,install wood bracket on lav/sink, replace drain pipe, toilet seat shower head, tub/diverter spout, soap dish, tooth brush holder, toilet paper holder, towel bar, medicine cabinet, bathroom door, recaulk all fixtures
Master bathroom	
Living room	Clean/paint
	Replace outlet/plate x5ea light fixture, smoke alarms x2ea
1 <sup>st</sup> bedroom	Clean/Paint
	Replace outlet/plate x3ea,switch/plate x1ea,bedroom door x1ea,light fixture, passage knob, repair window x1ea,
2 <sup>nd</sup> bedroom	Clean/Paint
	Replace outlet/plate x 3ea,switch/plate x1ea ,bedroom door x 1ea

**SCOPE OF WORK FOR 1113 SAN FERNANDO 2 BEDROOM**  
**739 sq. ft.**

**10/11/2010**

Location	
Exterior	
Interior	Paint/clean entire apartment
	CLEAN /PAINT
	Replace door stoppers x 6ea
Garage	
W/H room	
Storage room	Clean/paint
Front door	Clean/paint
Back door	Clean/paint
Side door	
A/C room	
Kitchen	Paint cabinets,clean appliances,
Laundry room	Clean/paint
Hallway	Clean/paint
Hallway bathroom	Replace toilet seat,shower head,soap dish tooth brush holder,
Master bathroom	
Living room	Clean/paint
1 <sup>st</sup> bedroom	Clean/Paint
	Repair closet door loose from hinges
2 <sup>nd</sup> bedroom	Clean/Paint
3 <sup>rd</sup> bedroom	

**SCOPE OF WORK FOR 727 SAN MARCOS 2 BEDROOM**  
**712 sq. ft.**

**10/11/2010**

Location	
Exterior	
Interior	Paint/clean entire apartment
	CLEAN /PAINT
	Replace floor tiles 712 sq x 16 boxes VCT
	Replace all door stoppers x6ea
Garage	
W/H room	
Storage room	Clean/paint
Front door	Clean/paint
Back door	Clean/paint repair door loose from hinges
Side door	
A/C room	
Kitchen	Replace outlet plug /plate switch /plate replace light fixture clean appliances replace vent a hood, faucet, supply lines, angle stop, paint cabinets brown, replace gfis
Laundry room	Clean/paint
Hallway	Clean/paint
Hallway bathroom	Replace light switch/plate light fixture, gfi ,install wood bracket on lavatory sink, supply lines, angle stops drain line, replace wax ring, commode seat, shower head, tub spout/diverter knob, soap dish, tooth brush holder, toilet holder, towel bar, medince cabinet, recaulk tub
Master bathroom	
Living room	Clean/paint
	Replace outlet plug/plates x5ea,switch /platex2ea,smoke alarmsx2ea
1 <sup>st</sup> bedroom	Clean/Paint
	Replace outlet/platex3ea,switch/platex2ea light fixture x 2ea,bedroom doorx2ea,

2 <sup>nd</sup> bedroom	Clean/Paint
	Replace outlet/plate3ea switch/plate2ea light fixture bedroom door, passage knob1ea replace broken window also replace balancer
3 <sup>rd</sup> bedroom	

**SCOPE OF WORK FOR 35 GUS GARCIA 3 BEDROOM 10/11/2010**  
**1053 sq. ft.**

<b>Location</b>	
Exterior	Replace outside light fixture x 1ea
Interior	Paint/clean entire apartment
	CLEAN /PAINT
Garage	
W/H room	
Storage room	Clean/paint
Front door	Clean/paint repair screen door loose,& door jamb broken,and door trim
Back door	Clean/paint replace screen on door torn
Side door	
A/C room	
Kitchen	Replace gfis plate x4ea,clean appliances paint cabinets,repair cabinet doors
	replace light switch/plate,outlet/plate
Laundry room	Clean/paint replace light switch/plate,doorsx2ea
Hallway	Clean/paint replace outlet/plate,switch/plate
Hallway bathroom	Replace toilet seat,wax ring,shower head,toilet paper holder,recaulk sink stopper
Master bathroom	Replace toilet seat wax ring shower head,toilet paper holder, recaulk,sink stopper
Living room	Clean/paint
	Replace outlet/plate x7ea,switch/plate,repair holes on wall
1 <sup>st</sup> bedroom	Clean/Paint
	Replace outlet/plate x4ea,light switch/plate x1ea,light fixturex1ea,bedroom doorx1ea remove closet doors & track,passage knob repair door trim
2 <sup>nd</sup> bedroom	Clean/Paint

	Replace outlet/plate x4ea,light switch/plate x1ea,bedroom door x 1ea,remove closet doors & track
3 <sup>rd</sup> bedroom	Replace outlet/plate x4ea light switch/plate x 1ea,remove closet doors & tracks,passage knob

**SCOPE OF WORK FOR 1202-4 2 Bdrm 850 SQFT SPRINGHILL I**

<b>Location</b>	
Exterior	CLEAN AND PAINT ENTIRE APT
Interior	CLEAN AND PAINT ENTIRE APT
Garage	
W/H room	
Storage room	
Front door	
Back door	
Side door	
A/C room	
<b>Kitchen</b>	Replace 2qty 8" drip pans and 2 qty 6" drip pans
Laundry room	
Hallway	
<b>Hallway bathroom</b>	
<b>Master bathroom</b>	
Living room	
1 <sup>st</sup> bedroom	
2 <sup>nd</sup> bedroom	
MISC	

**Cassiano Homes Make Readies**  
**SCOPE OF WORK FOR 2001 S. Zarzamora # 1902**  
**Square Footage of Unit : 946**  
**Bedroom Size 3**  
**DATE - 10/14/2010**

Location	
Exterior	<b>Power wash the front and back concrete areas, walls, porch areas, etc.</b> Dispose of junk/trash items at front/back yards
Interior	<b>Paint/clean entire apartment</b>
Front door	<b>Replace top metal screen, Paint doors RED</b>
Back door	<b>Clean metal screen, Paint doors RED</b>
Kitchen	<b>Clean the refrigerator, stove</b> Replace 23x36 mini blind in kitchen Leave (2) strainers in kitchen Clean vent hood, and replace filter Replace all (4) drip pans on stove Resurface kitchen countertops Replace door stop
Laundry room	Patch 6x6 hole in laundry door
Hallway/Stairs	<b>Paint Stairs, and handrail GRAY</b> Replace 16x30x1 filter Replace bulbs in fixture
Hallway bathroom	Replace elongated toilet seat Replace towel rack, soap dish, and toothbrush holder Remove old caulk on tub, toilet and sink, and recaulk Replace 23x36 mini blind Replace bulb in fixture above shower Caulk around switch plate
Dining Room	Replace 47x60 mini blind Replace bulbs in fixture Replace door stop
Living room	Replace front door weather strip Repair front entry door Replace (2) 29x60 mini blinds Replace (2) door stops
1 <sup>st</sup> bedroom	Replace bulbs and cover on light Re-attach closet door to hinges Replace 47x60 mini blind Replace door stop
2 <sup>nd</sup> bedroom	Repair light cover in closet Re-attach closet door to hinges Replace 47x60 mini blind Replace door stop

3 <sup>rd</sup> bedroom	Repair bedroom door Replace (2) round light covers Replace 47x60 mini blinds Replace door stop
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# **ATTACHMENT D W-9 FORM**

## Request for Taxpayer Identification Number and Certification

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

<b>Print or type See Specific Instructions on page 2.</b>	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"/> Limited liability company. Enter the tax classification (D=disregarded entity, C=corporation, P=partnership) ▶ ..... <input type="checkbox"/> Exempt payee <input type="checkbox"/> Other (see instructions) ▶	
	Address (number, street, and apt. or suite no.)	Requester's name and address (optional)
	City, state, and ZIP code	
	List account number(s) here (optional)	

### Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on 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.

### Part II Certification

Under penalties of perjury, I certify that:

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

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

<b>Sign Here</b>	Signature of U.S. person ▶	Date ▶
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## General Instructions

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

### Purpose of Form

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

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

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding, or
3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income.

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

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

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

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

The person who gives Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States is in the following cases:

- The U.S. owner of a disregarded entity and not the entity,

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

**Foreign person.** If you are a foreign person, do not use Form W-9. Instead, use the appropriate Form W-8 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

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

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

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

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

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

**What is backup withholding?** Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments. This is called “backup withholding.” Payments that may be subject to backup withholding include interest, tax-exempt interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

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

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

1. You do not furnish your TIN to the requester,
2. You do not certify your TIN when required (see the Part II instructions on page 3 for details),
3. The IRS tells the requester that you furnished an incorrect TIN,

4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or

5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

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

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

## Penalties

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

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

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

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

## Specific Instructions

### Name

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

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

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

**Limited liability company (LLC).** Check the “Limited liability company” box only and enter the appropriate code for the tax classification (“D” for disregarded entity, “C” for corporation, “P” for partnership) in the space provided.

For a single-member LLC (including a foreign LLC with a domestic owner) that is disregarded as an entity separate from its owner under Regulations section 301.7701-3, enter the owner’s name on the “Name” line. Enter the LLC’s name on the “Business name” line.

For an LLC classified as a partnership or a corporation, enter the LLC’s name on the “Name” line and any business, trade, or DBA name on the “Business name” line.

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

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

### Exempt Payee

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

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

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

The following payees are exempt from backup withholding:

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

Other payees that may be exempt from backup withholding include:

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

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

IF the payment is for . . .	THEN the payment is exempt for . . .
Interest and dividend payments	All exempt payees except for 9
Broker transactions	Exempt payees 1 through 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 payees 1 through 5
Payments over \$600 required to be reported and direct sales over \$5,000 <sup>1</sup>	Generally, exempt payees 1 through 7

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

<sup>2</sup> However, 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 ITIN, see *How to get a TIN* below.

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

If you are a single-member LLC that is disregarded as an entity separate from its owner (see *Limited liability company (LLC)* on page 2), enter the owner's SSN (or EIN, if the owner has one). Do not enter the disregarded entity's EIN. If the LLC is classified as a corporation or partnership, enter the entity's EIN.

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

**How to get a TIN.** If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local Social Security Administration office or get this form online at [www.ssa.gov](http://www.ssa.gov). You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at [www.irs.gov/businesses](http://www.irs.gov/businesses) and clicking on Employer Identification Number (EIN) under Starting a Business. You can get Forms W-7 and SS-4 from the IRS by visiting [www.irs.gov](http://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.** Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

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

## Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if 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 payees, see *Exempt Payee* 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 <sup>1</sup>
3. Custodian account of a minor (Uniform Gift to Minors Act)	The minor <sup>2</sup>
4. 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>
5. Sole proprietorship or disregarded entity owned by an individual	The owner <sup>3</sup>
For this type of account:	Give name and EIN of:
6. Disregarded entity not owned by an individual	The owner
7. A valid trust, estate, or pension trust	Legal entity <sup>4</sup>
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

<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 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), 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.) Also see *Special rules for partnerships* on page 1.

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

## Secure Your Tax Records from Identity Theft

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

To reduce your risk:

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

Call the IRS at 1-800-829-1040 if you think your identity has been used inappropriately for tax purposes.

Victims of identity theft who are experiencing economic harm or a system problem, or are seeking help in resolving tax problems that have not been resolved through normal channels, may be eligible for Taxpayer Advocate Service (TAS) assistance. You can reach TAS by calling the TAS toll-free case intake line at 1-877-777-4778 or TTY/TDD 1-800-829-4059.

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

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

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

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

Visit the IRS website at [www.irs.gov](http://www.irs.gov) to learn more about identity theft and how to reduce your risk.

## Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons 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, the District of Columbia, and U.S. possessions 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.