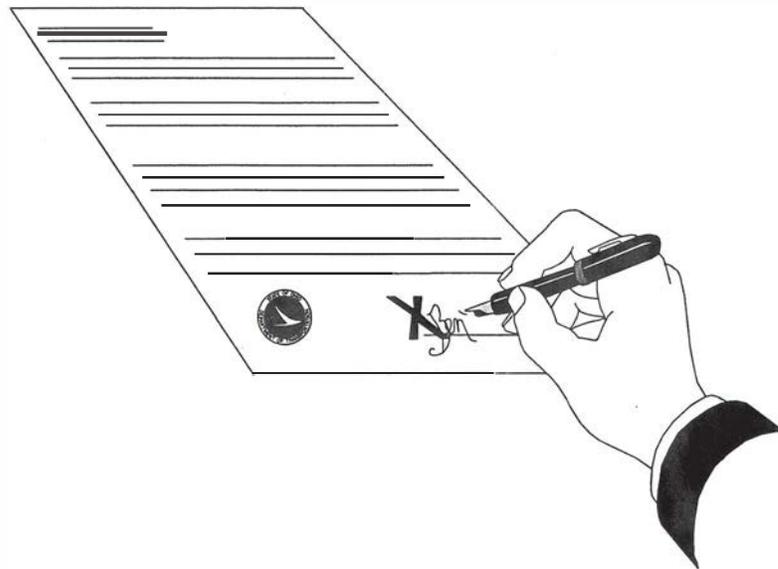
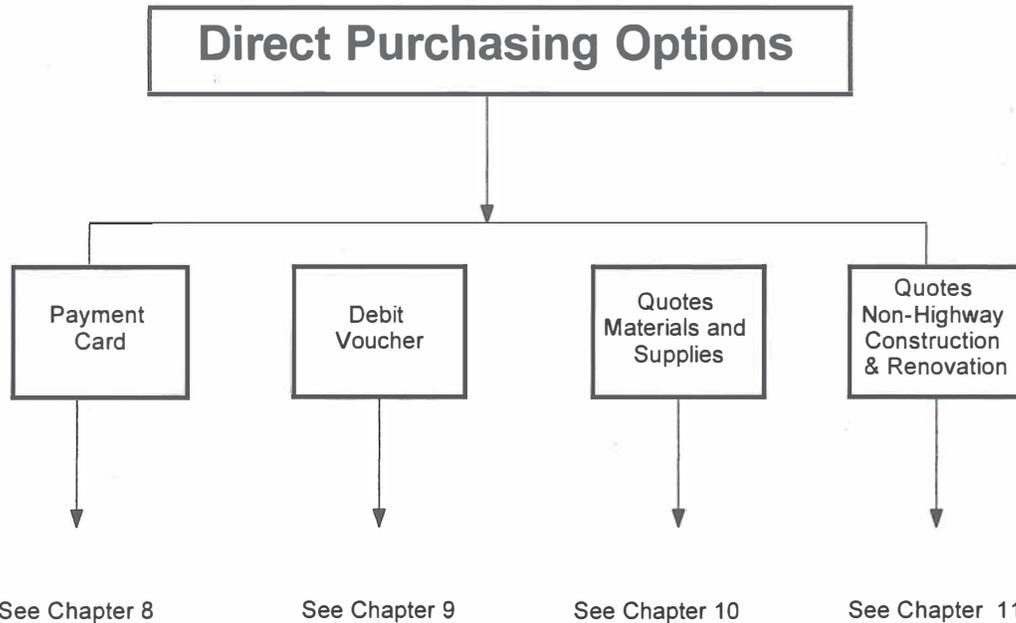


Ohio Department of Transportation

# Purchasing and Contract Administration





**Quote Levels for Options above - see Chapter 10**

\$0 to \$500.00	1 quote	debit voucher or payment card
\$500.01 to \$1,000.00	1 quote	purchase order or payment card
\$1,000.01 to \$2,500.00	2 quotes	purchase order or approval from district/ central office payment card administrator
\$2,500.01 to \$25,000.00	3 quotes	purchase order
\$25,000.01 and above	contact Office of Contracts, Purchasing Services Section	

**Vendor Limits**

- \$50,000.00 per vendor for supplies and personal services
- \$75,000.00 per vendor for real estate leases

## CHAPTER 8 Payment Card

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In this Chapter look for:

- ✓ Benefits
  - ✓ Limits
  - ✓ Security
  - ✓ Where to call for lost/stolen payment cards
  - ✓ Hosting Meetings/Seminars
  - ✓ Employee Awards
  - ✓ Subscriptions
- 

### I. Overview

The State of Ohio's Payment Card Program is designed to empower state employees to acquire goods as they are needed for operations without undue delay. It is designed primarily for the purchase of equipment, materials and supplies that cost less than \$1,000. Use of the card is meant to simplify and streamline the procurement process and lower overall transaction costs. Cardholders are expected to use good judgment. The payment card program introduces an electronic invoicing and payment process which has fundamentally changed the way payments are made.

All cardholders have limits that are defined by their supervisors (within OBM guidelines) and enforced at the point of purchase by MasterCard control features. Limitations are established for spending amounts per transaction, types of vendors from whom purchases can be made, number of transactions that can be made per day, and others.

The Payment Card Program does not supersede State Purchasing regulations or an agency's internal regulations for purchasing. All purchases made with federal monies must meet requirements set forth by the federal grantor.

The program is managed by the Statewide Payment Card Administrator of the Ohio Office of Budget and Management (OBM). Each participating agency has a Payment Card Administrator to manage its card program. The Payment Card Administrator for each agency is responsible for the overall management of the

agency's payment card program. Level of participation in the program and the number of cards issued is determined by the executive staff of each agency. All payment cards issued shall have the written approval of OBM.

Benefits of the payment card:

- vendor limits does not apply - all invoices paid to G.E.
- current W-9 does not apply
- vendor paid in three days
- less paperwork
- cost to process is less expensive (voucher payment \$160.00 vs payment card \$30.00)

Following are highlights from the payment card manual.

## **II. Purchases over \$1,000**

- A. Some of the payment cardholders have authorization to purchase goods over \$1,000. Most of the payment cards have a preset limit of \$1,000, for a single visit to a vendor. The Administrator of the Payment Card Program can approve a purchase for over \$1,000 even if your payment card has the preset limit of \$1,000.
- B. Overriding a payment card with a \$1,000 limit is possible by contacting your District/Central Office Payment Card Administrator.
- C. Payment card purchases over \$1,000.00 must follow the direct purchasing guidelines and the required number of quotes. Quotes should be attached to the log. (See direct purchasing flowchart.)

## **III. OBM Policy and Guidelines**

Card issuance and cancellation. The Agency Payment Card Administrator is responsible for all card issuance and cancellation.

All payment cards issued must have the written approval of OBM.

Cards are to be returned immediately to the Agency Payment Card Administrator upon a change in the cardholder's job status such that they no longer require a card, or upon separation from State employment for any reason.

Cards are to be returned to OBM upon request of the Program Administrator or the Agency Payment Card Administrator.

Cards are issued following the Agency Plan that is signed by the agency director and filed with the Statewide Program Administrator.

If a card is issued as a result of a lost/stolen card being canceled, the Agency Payment Card Administrator notifies the Statewide Payment Card Administrator of that change.

**IV. Payment Card Limitations And Restrictions. Individual cardholder controls constitute a cardholder's profile.**

- A. The Agency Administrator is responsible for establishing and changing cardholder profiles. Issuance of a card or changes to a cardholder setup must have the written approval of the Program Administrator.

The Agency Payment Card Administrator maintains a file of all cardholder agreements, cardholder applications, and cardholder information and approval sheets.

The Agency Payment Card Administrator must provide the Program Administrator at OBM all cardholder information and approval sheet for each cardholder. Any change to a cardholder's setup (limits, payer, reconciler, account number, etc.) must be filed with OBM.

- B. The following types of transactions are specifically **excluded** from the program:
- All Services except those provided on the Approved Services Vendors List
  - Travel expenses including lodging, meals and car rental
  - Gasoline
  - Cash advances
- C. ODOT is legally mandated to set aside 15% of the total goods and services purchased to certified minority vendors.

## V. Payment Card Security

**The only person entitled to use the Payment Card is the person whose name appears on the face of the card. Do not lend your Payment Card to another person for use.** The payment card must not be loaned to another person under any circumstances. If a cardholder is absent for a period of time, the agency should seek to obtain another card for a different designated employee, either temporarily or permanently.

Each cardholder is responsible for the security of his/her card. All precautions should be used to maintain confidentiality of all information relating to the card, such as the cardholder account number and expiration date. The account number should never be left in a conspicuous place.

**The vendors must use the payment card number of the individual placing the order.**

## VI. The Payment Process for cardholders

When you make a transaction using the Payment Card, please follow the procedures below:

- A. Tell the Supplier that you will be paying with your Payment Card.
- B. Retain all receipts or invoices and log the transaction. Please make sure that the invoice or sales slip clearly shows no taxes were paid.
- C. Follow your agency's procedure for logging the purchase and retaining sales slips/invoices.
- D. Forward receipts and log to District/Central Office Accounting Office.
- E. Cardholders are responsible to ensure goods are received, meet specifications and invoiced properly prior to processing the transaction.
- F. Cardholders must process their payments within two business days of the invoice date, provided goods are received.
- G. If goods have been returned for credit and the amount of the credit is greater than \$250, the entire invoice is not paid until the credit has been recorded.

**VII. Hosting Meetings/Seminars**

Object Code 293-02 - all costs except food  
Object Code 293-01 - food and supplies payments only  
Object Code 293-03 - rental of facility

Following are the required documentation to process the invoice for payment.

- A. Itemized original invoice
- B. An agenda
- C. A list of attendees is required unless the meeting is for an entire district or the Central Office. If the ODOT hosted meeting involves an entire District or Central Office, a list of attendees is not required, however please state either: "entire District function" or "entire Central Office function" in your IOC (see item number D below).
- D. An approval IOC from your Deputy Director
  - 1. The IOC should state: "I certify that this purchase/purchases of (food or refreshments) on (date) was an integral part of the meeting for (board, commission, committee)."

**VIII. Employee Awards**

Object Code 291-04 is for non-bargaining unit employees  
Object Code 291-05 is for bargaining unit employees

Following are the required documentation to process the invoice for payment:

- A. Itemized original invoice
- B. An approval IOC from your Deputy Director
- C. If the entire District or Central Office is receiving an employee recognition award, then use the allocation plan (see page 8-11 to identify the percentage of staff that are non-bargaining vs bargaining unit employees). Otherwise, provide a list of employee names and indicate whether they are bargaining or non-bargaining unit employees.

**IX. Subscriptions**

The following is required by State Accounting for purchasing subscriptions:

- A. Subscriptions can only be paid for one year or less.
- B. You must submit a copy of the subscription order form.

**X. Cardholder Log or Electronic Payment Log Procedures**

A. Manual Log

Cardholders must maintain a log showing all purchases made using the payment card. The log provides detailed description of the purchase. An example of a log is attached. All the data on this log must be available on any agency designed log.

Merchant receipts (i.e. purchase documentation that identifies items purchased) are kept with the log and are filed for audit purposes.

B. Electronic Log

Cardholder instructions:

- 1. Do not use the manual payment credit card log (Form AU-118)
- 2. Complete the following label and attach to the supporting documentation

Date good/services received	_____
VPC/PCR Number	_____
Phone order (Y or N)	_____
Signature	_____

- 3. Maintain the supporting documents in a pending file
- 4. After confirmation of the purchase on the computer, then go to the pending file and pull the appropriate invoice and record the VPC# or PCR# on the invoice stamp.
- 5. Print screen the payment card entry screen which shows the VPC/PCR# and the merchant name (Screen No. AAPC0003).

6. Staple the print screen to the invoice/receipt and retain in a final file

On the first day of the next month submit to the Accounting Office all of the final records for reconciliation.

## **XI. Training and Information (contact District/Central Office Accounting Offices)**

All cardholders, cardholder supervisors, card administrators, reconcilers, and payers must attend training on the policies and procedures associated with the Payment Card Program. They must be informed on payment card statements and other sources of information relevant to the program.

You will receive your payment card manual at the time of training.

## **XII. Common questions asked**

### **A. *What do I do if my card is lost or stolen?***

Just like your personal credit cards, if the Payment Card is lost or stolen you must immediately notify the Bank. You must also call the Agency Payment Card Administrator.

Lost/Stolen Cards (24 Hour Bank Coverage): 1-800-274-7378

Agency Payment Card Administrator (contact your District/Central Office Accounting Office for this information).

### **B. *What are the purchasing regulations that must be considered before purchasing with the card?***

1. **The cardholder must follow the agency's internal regulations concerning purchasing.**
2. Items that are available on term contract (GDC, General Distribution Contract), or from another state agency (State Printing, OPI, or Central Warehouse), or from OIH must be purchased from them. Currently these purchases cannot be made with a payment card, unless designated in the contract language as with some GDC contracts.
  - Payment card can be used for ODOT contracts.

3. Employees using the card are expected to exercise prudent judgment in making purchases. In those cases where the cardholder is making a purchase of less than \$1,000 with a vendor, neither phone nor written bids are necessary if the cardholder is reasonably sure that a competitive price is being obtained.

State Term Schedules (STS) and Multiple Award Contracts (MACs) should be considered before purchasing. If you make a payment card purchase from a vendor that is listed on an STS or MAC, in most cases the purchase will be treated as though it was purchased from the MAC or STS for purposes of fee assignments.

**C. *Which Suppliers Can I Use?***

Any supplier or merchant that accepts MasterCard can accept the Payment Card. As this program evolves, suppliers may be identified who do not follow acceptable practices (e.g., billing for goods that have not been shipped) and a list of vendors that are not appropriate to purchase from on the payment card may be developed.

**D. *What If The Supplier Does Not Accept MasterCard?***

The Payment Card system is new in terms of corporate use. You may find suppliers that do not accept MasterCard. If this happens, you have several options:

1. If it is a supplier you regularly use, explain the new payment method and ask them to consider accepting the State Payment Card. Contact your Accounting Officer for a copy of the State of Ohio Supplier Letter.
2. You may also refer the supplier to your Agency Payment Card Administrator

**E. *What Do I Do If I Am Changing Positions Or Will No Longer Be Working For My Agency?***

Your agency's policies should include a plan for ensuring that the card is retained by the agency, canceled and destroyed.

The Agency Payment Card Administrator will contact GE Capital Financial.

**F. *What Do I Do About Problems With The Statement or Merchandise?***

If you have a problem with a purchased item or billing resulting from use of the Payment Card, you should first try to reach a resolution with the supplier or merchant that provided the item; in most cases, disputes can be resolved directly between the Cardholder and the merchant. In some instances the resolution will be that the supplier will issue you a credit. The supplier or merchant should issue you credit for any item that has been discussed and agreed to for return. This credit will appear on a subsequent statement.

Under no circumstances should a vendor be permitted to bill for goods before they are shipped. Back-ordered goods should be billed when they are shipped. Vendors who bill before shipping goods should be advised that the State will not purchase from vendors that follow this practice.

**G. *What about disputed items?***

If you have a dispute and cannot reach resolution with the merchant, contact your Agency Payment Card Administrator who will complete a disputed items form. This must be completed within 30 days and faxed to the Bank fax number shown on the form. The Bank will now intercede with the merchant or supplier on your behalf.

***Examples of disputed items:***

The merchandise arrives broken and the merchant refused to replace it.

The invoice is for more than your receipt and the merchant refuses to give you a credit.

**H. *What Do I Do If My Credit Card Is Declined At Point-Of-Sale?***

The merchant may make an inquiry about why the transaction was declined or you may make an inquiry by calling 1-800-274-7378.

If you make the call, an automated attendant will ask you to enter: 1) your account number, and 2) your social security number. After that, if you wish to speak to someone, you must press 0 (zero).

**I. *Under What Circumstances Might My Credit Card Be Declined?***

Your card will be declined if:

1. You have exceeded your designated transaction limit or monthly credit limit.

**NOTE: There are circumstances when exceeding a limit can be authorized. Contact your program administrator if you believe a temporary increase in your limit is justified.**

2. You attempt to use the card for a blocked merchant category, such as travel-related expenses.

**NOTE: If you wish to purchase from a vendor and believe the category is incorrectly applied, the possibility can be investigated by your program administrator.**

3. MasterCard has a security concern because of a use pattern (e.g., you haven't used it for a long time). They may ask for your mother's maiden name, your social security number, or your address.

**NOTE: If you are asked for your address, give them the address that was on your application. In most cases it is the address of your program administrator.**

**J. *Will I Encounter Questions Concerning The Tax-Free Status Of My Purchases?***

The card itself should be sufficient identification to allow you to make tax-free purchases. However, there are vendors who will want to have on file a Sales and Use Tax Blanket Exemption Certificate or will want you to fill out a standard form that their business requires. Providing a tax ID number should not be necessary, but if you must give one, use 31-1334820. (The state and its agencies have various tax ID numbers to fulfill various needs, but this one is most closely related to your use.)

K. ***How long does it take for a payment voucher to appear in the ODOT Accounting System?***

The vendor determines the length of time for a purchase to be processed to create a voucher to State Accounting. Vendors vary in their frequency in processing their payment credit card transactions. As a rule of thumb allow 30 days for your payment credit card transactions. After the 30 days, contact your District Accounting Office or the Payment Card Administrator.

L. ***What is the comment screen for?***

The “comment screen” is required to communicate special instructions to your approver or payor, for example to provide

1. Inventory numbers for items over \$100
2. State Job Numbers and Federal Apportionment Numbers if required
3. Special Account Coding instructions for your payor



**Comparison of bargaining and exempt as of April 12, 1997**

District	Total Employees	Total Bargaining	Total Exempt	Percent Bargaining	Percent Exempt
1	406	322	84	79%	21%
2	452	334	118	74%	26%
3	491	386	105	79%	21%
4	593	440	153	74%	26%
5	426	334	92	78%	22%
6	533	411	122	77%	23%
7	494	400	94	81%	19%
8	618	456	162	74%	26%
9	426	319	107	75%	25%
10	395	317	78	80%	20%
11	433	360	73	83%	17%
12	549	416	133	76%	24%
C.O.	1,261	777	484	62%	38%
Total	7,077	5,272	1,805	74%	26%

## CHAPTER 10

### Quotes for Supplies and Materials

---

In this Chapter look for:

- ✓ Control limits
  - ✓ Quote limits
  - ✓ Hosting Meetings/Seminars
  - ✓ Employee Awards
  - ✓ Subscriptions
  - ✓ Release and Permit
  - ✓ Real Estate limits
  - ✓ Pre-approval
  - ✓ W-9/VMI
  - ✓ Emergency
- 

#### I. Overview

Direct purchasing includes purchases with a payment card (see Chapter 8), debit voucher (see Chapter 9) or a purchase order with locally obtained quotes.

When you use these purchasing methods, careful considerations to the following limitations (see page 10-2) are necessary. Severe consequences can result if you overlook the limitations. Purchase order requests will not be approved. In some cases, the invoice cannot be paid pending approval of the State Controlling Board. The purchaser will be responsible for obtaining approval of the purchase from the State Controlling Board.

#### II. Purchasing Control Limit Guidelines

To determine if the vendor has reached the \$50,000 spending limit for supplies and personal services or the \$75,000.00 limit for Real Estate Leases, access the accounting system or contact your District/Central Office Accounting Office. If the vendor has reached either of these limits and you still wish to purchase from this vendor, you **MUST** go to the Controlling Board for approval before proceeding (ORC 127.16). The Controlling Board number must be entered into APS in order to

bypass control edit rejects. NOTE: THE AMOUNT SPENT WITH CONTROLLING BOARD APPROVAL DOES NOT COUNT TOWARD THE VENDOR LIMITS LISTED ABOVE.

If the vendor **has not** reached the spending limits as previously mentioned, then proceed with the following guidelines.

For each purchase, determine if the item is for supplies, personal service, or real estate leases.

- A. If a supply item (Supplies - means all property, including but not limited to rental, lease, or purchase of equipment, materials, and Insurance)
  - 1. Obtain quotes using letterhead quote form (see attached form page 10-10)

Amount	No. of Quotes	Type
\$0 to \$500.00	1 quote	debit voucher or payment card
\$500.01 to \$1,000.00	1 quote	purchase order or payment card
\$1,000.01 to \$2,500.00	2 quotes	purchase order or approval from District/Central Office Payment Card Administrator
\$2,500.01 to \$25,000.00	3 quotes	purchase order
\$25,000.01 and above	* **	purchase order

\*- Contact Office of Contracts, Purchasing Services, to determine if they can bid.

- If not, contact Office of Accounting, APS Section to obtain a Release and Permit number from DAS.

\*\* If ODOT does not have or cannot receive R&P authority from DAS and item is over \$25,000.00, DAS/State Purchasing will bid.

## B. Hosting Meetings/Seminars

Object Code 293-02 - all costs except food  
Object Code 293-01 - food and supplies payments only  
Object Code 293-03 - rental of facility

Following are the required documentation to process the invoice for payment.

1. Itemized original invoice
2. An agenda
3. A list of attendees is required unless the meeting is for an entire district or the Central Office. If the ODOT hosted meeting involves an entire District or Central Office, a list of attendees is not required, however please state either: "entire District function" or "entire Central Office function" in your IOC (see item number D below).
4. An approval IOC from your Deputy Director
  - a. The IOC should state: "I certify that this purchase/purchases of (food or refreshments) on (date) was an integral part of the meeting for (board, commission, committee)."
5. If lodging is to be reimbursed at \$60.00 or less, then use object code 230-07 and if lodging is over \$60.00 then use object code 230-08.

## C. Employee Awards

Object Code 291-04 is for non-bargaining unit employees  
Object Code 291-05 is for bargaining unit employees

Following are the required documentation to process the invoice for payment:

1. Itemized original invoice
2. An approval IOC from your Deputy Director

3. If the entire District or Central Office is receiving an employee recognition award, then use the allocation plan (see page 10-11 to identify the percentage of staff that are non-bargaining vs bargaining unit employees). Otherwise, provide a list of employee names and indicate whether they are bargaining or non-bargaining unit employees.

#### D. Subscriptions

The following is required by State Accounting for purchasing subscriptions:

1. Subscriptions can only be paid for one year or less.
2. You must submit a copy of the subscription order form.

#### E. Release and Permit

The DAS, State Purchasing's Administrator, gives ODOT a Blanket Release and Permit each biennium for the purchase of supplies, materials and services necessary for construction and maintenance of state highways. Without this release and permit we would be required to make all our competitive bid purchases through State Purchasing or the Controlling Board. Prior to the start of a new Biennium the State Purchasing Administrator and personnel from the Office of Contracts meet to determine what ODOT will be authorized to bid. Once the decision has been made, the Chief Financial Officer receives an official memorandum from State Purchasing listing the items covered by the blanket release and permit.

- F. Give potential contractors/vendors a clear definition/description of the item you want them to quote on.
  1. Where compatibility is required, you may quote a "brand name".
  2. If compatibility is not essential/required, you must provide an open specification to be quoted.
  3. Questions concerning these guidelines should be addressed to the Office of Contracts, Purchasing Services.
- G. Apply Buy Ohio (ORC 125.11), Buy American (ORC 5513.07), and Political contributions limits, HB 300, guidelines (ORC 125.09 and OAC 123:5-1-06).

- H. Award goes to the lowest responsive and responsible bidder.
- I. Information regarding quotes available to vendors.
- Clarification of specifications is a legitimate question and can be answered.
  - Questions regarding other vendors bids or bid amounts must not be addressed until a vendor has been selected.
- J. ODOT is legally mandated to set aside 15% of the total goods and services purchased to certified minority vendors.
- K. If for personal service contract (services - means the furnishing of labor, time, or effort by a person, not including the delivery of a specific end product other than a report which, if provided is merely incidental to this required performance.) (See Chapter 12)
1. No more than \$50,000 for each single purchase.
  2. A single purchase over \$50,000 must be bid or a Release and Permit number assigned by DAS, so that Controlling Board approval may be obtained.
  3. The Release and Permit number assigned by DAS must be entered into APS to bypass control edit.
- L. If for Real Estate (leases of real property. This does not include land or permanent interest in land.)
1. A \$75,000 limit for all rental/lease contracts.
  2. Contracts must be reviewed by Chief Legal Counsel.
  3. A single purchase over \$75,000 must be bid or a Release and Permit number assigned by DAS.
  4. The Release and Permit number assigned by DAS must be entered into APS to bypass control edit.

### III. Pre-Approvals - WARNING cannot use debit voucher

The pre-approval system was created by DAS to provide an additional level of review and approval for certain items. These items are identified in your object code listing manual (see District Auditing for object codes). Some examples of these are: computers, telecommunications, copiers and vehicles. Pre-approval numbers must be included on the purchase order for it to be processed.

Pre-Approvals may be obtained from the following DAS Divisions:

- A. For computer equipment, data processing services and telecommunications needs, the Division of Information Technology (614)466-3553;
- B. For vehicles, the Office of Equipment and Support Services (614) 351-2827.

If request is approved a Pre-approval Number will be assigned and given to the using agency. Pre-Approval Numbers are only released to pay for approved equipment. Standard purchasing procedures must be followed for the procurement of approved equipment.

Using agencies must enter the given Pre-Approval Number in the Pre-Approval Number field when entering their Purchase Order in CAS. Agencies can review Pre-Approval Numbers through CAS inquiry QPREA01.

### IV. W-9, OBM Letter

A vendor must be in the Central Accounting System (CAS) and ODOT Accounting System before a purchase can be made.

- Check CAS for the vendor by the name in QVNAM01 or by Federal Tax Identification number QVNDR01.
- If the vendor is in CAS and not ODOT Accounting, call Office of Accounting, APS Section.
- If the vendor is not in the system, a W-9 Federal Form (page 9-13), OBM letter must be sent to the vendor to be completed.

Vendors will not receive payment unless the completed and correct W-9/VMI form is sent to the Central Office, APS Section for processing. It is then reviewed and

sent to OBM so the vendor's information can be added to the OBM CAS and ODOT APS system. If the W-9/VMI forms are not completed accurately it will delay payment to the vendor. The VMI procedures that are listed below take into account that the completed W-9 has been sent to Central Office APS section for processing:

A. Receive document for processing:

1. VMID form for adding new Vendor. (Form OBM-7214, page 9-14)
2. Vendor Master Modification Document (VMMD) for making any changes to an existing Vendor in IMSCAS. (Form OBM-7213, page 9-15)
3. Check W-9 Form for:
  - a. Correct issued date--forms dated prior to March 1994 are unacceptable
  - b. Original signature is mandatory
  - c. Vendor's status completed
  - d. No alterations on W-9

B. Adding a new Vendor and Subsidiary in the system at the same time:

1. Use VMID for both.
2. One W-9 with parent company name only.
3. One W-9 with subsidiary, name only.
4. Put same Vendor Number on both forms.
5. OBM will assign a number for the S1, S2, S3, etc., to replace the first two digits of the parent Company's number. All other numbers with the tax ID will be the same.
6. An IRS label that displays both names can be used in lieu of a W-9 and is actually more acceptable to OBM.

C. Adding just a subsidiary Vendor.

1. Use VMMD.
2. One W-9 with subsidiary name only.

- D. Adding a Sole Proprietor.
1. Show the individual's name on the top line of W-9 and the business name on the next line.
  2. On the VMMD show the business name on the top line and the individual's name on the next line.
- E. When adding a vendor with a P.O. box and street address, only one will be added. The P.O. box takes precedence over the street address, and additional VMID or VMMD must be used.
1. Show street address on one AC01.
  2. Show P.O. box on one AC02.
- F. When making a change to an existing Vendor number already in the system, e.g. adding a subsidiary or an address or replacing an address, use Form VMMD.
- G. When adding an address code to a Vendor, or a subsidiary, the documentation required is an invoice or a letter from the Vendor. No other documentation will suffice.
- H. If new vendor is being added, check IMSCAS QVNDR05 to make sure the vendor number is not in the system.
1. Check IMSCAS QVNAM01 to make sure the name is not currently in the system with a different Vendor Number. Any discrepancy requires documentation from the Vendor.
  2. Or, if additional documentation is needed, Example: "L" in the W-9 field showing a letter was sent to the company requesting additional information, or, "B" notice requiring IRS label. Do not process form.
- I. If modifying a current Vendor, check IMSCAS QVNDR05 to make sure request has not previously been processed.
- J. Return any incomplete/incorrect forms to Customer, using attached VMI return.

**V. District/Division declares an Emergency as defined under OAC 123:5-1-01 (G)**

*Emergency Condition means a situation which creates a threat to public health, welfare, safety, which may arise by reason of epidemics, riots, equipment failure or such other reasons as may be proclaimed by the governor; or which interrupt the operation of production facilities maintained by Ohio Penal industries in its program for employment of prisoners.*

- **A lack of planning does not constitute an emergency.**
- **Refer to page 9-16 for ODOT Emergency Purchasing Procedures (in accordance with OAC 123:5-1-04)**



**Comparison of bargaining and exempt as of April 12, 1997**

District	Total Employees	Total Bargaining	Total Exempt	Percent Bargaining	Percent Exempt
1	406	322	84	79%	21%
2	452	334	118	74%	26%
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6	533	411	122	77%	23%
7	494	400	94	81%	19%
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C.O.	1,261	777	484	62%	38%
Total	7,077	5,272	1,805	74%	26%

# OHIO DEPARTMENT OF TRANSPORTATION PURCHASING AND CONTRACT ADMINISTRATION MANUAL



Revisions made by:

Linda Coss	District 2
Michael Jeter	District 6
Angie Stanton	District 8
Larry Patterson	District 11
Tom Short	Central Office
Bill Marland	Central Office
Pam Murphy	Central Office

February 2003

## CHAPTER 8

### Payment Card

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In this Chapter look for:

- ✓ Benefits
- ✓ Limits
- ✓ Security
- ✓ Where to call for lost/stolen payment cards
- ✓ Hosting Meetings/Seminars
- ✓ Employee Awards
- ✓ Subscriptions
- ✓ Payment Card Manual

<http://intranet.dot.state.oh.us/finance/Manuals/Accounting/PaymentCardMan.PDF>

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#### I. Overview

The State of Ohio's Payment Card Program allows state employees to acquire goods as they are needed for operations without undue delay. It is designed primarily for the purchase of equipment, materials and supplies that cost less than \$1,000. Use of the card is meant to simplify and streamline the procurement process and lower overall transaction costs. Cardholders are expected to use good judgment. The payment card program introduces an electronic invoicing and payment process which has fundamentally changed the way payments are made.

All cardholders have limits defined by their supervisors (within OBM guidelines) and enforced at the point of purchase by Visa control features. Limitations are established for spending amounts per transaction, types of vendors from whom purchases can be made, number of transactions made per day, and others.

The Payment Card Program **does not** supersede State Purchasing regulations or an agency's internal regulations for purchasing. All purchases made with federal monies must meet requirements set forth by the federal grantor.

The program is managed by the Statewide Payment Card Administrator of the Ohio Office of Budget and Management (OBM). Each participating agency has a Payment Card Administrator to manage its card program. The Payment Card Administrator for each agency is responsible for the overall management of the agency's payment card program. Level of participation in the program and the number of cards issued is determined by the executive staff of each agency. All payment cards issued shall have the written approval of OBM.

Benefits of the payment card:

- W-9 only required when adding vendor to service vendor list
- vendor paid in three days
- less paperwork
- cost to process is less expensive (estimated voucher payment of **\$150.00** vs payment card **\$75.00**)

Following are highlights from the payment card manual:

#### II. Purchases over \$1,000

- A. Some of the payment cardholders have authorization to purchase goods over \$1,000. Most of the payment cards have a preset limit of \$1,000, for a single visit to a vendor. The Administrator of the Payment Card Program can approve a purchase for over \$1,000 even when your payment card has the preset limit of \$1,000.
- B. Overriding a payment card, with a \$1,000 up to \$2,500 (some exceptions) limit is possible by contacting your District/Central Office Payment Card Administrator.

- C. Payment card purchases over \$1,000 must follow the direct purchasing guidelines and the required number of quotes or reference current contract number. Quotes should be attached to the log. (See direct purchasing flowchart on page vi.)
- D. Aggregate Limits: Exceeding the \$2,500 limit applies only to the following contracts: **DOT100, DOT101L, DOT101G, DOT223, DOT099**. There are absolutely no exceptions.

### III. OBM Policy and Guidelines

Card issuance and cancellation. The Agency Payment Card Administrator is responsible for all card issuance and cancellation. All payment cards issued must have the written approval of OBM.

Cards are to be returned immediately to the Agency Payment Card Administrator upon a change in the cardholder's job status such that they no longer require a card, or upon separation from State employment for any reason.

Cards are to be returned to OBM upon request of the Program Administrator or the Agency Payment Card Administrator.

Cards are issued following the Agency Plan that is signed by the agency director and filed with the Statewide Program Administrator.

Issuance of a new card, as a result of a lost/stolen card being canceled, the Agency Payment Card Administrator notifies the Statewide Payment Card Administrator of the change.

### IV. Payment Card Limitations And Restrictions. Individual cardholder controls constitute a cardholder's profile.

- A. The Agency Administrator is responsible for establishing and changing cardholder profiles. Issuance of a card or changes to a cardholder setup must have the written approval of the Program Administrator.

The Agency Payment Card Administrator maintains a file of all cardholder agreements, cardholder applications, and cardholder information and approval sheets.

The Agency Payment Card Administrator must provide the Program Administrator, with OBM, all cardholder information and approval sheet for each cardholder. Any change to a cardholder's setup (limits, payor, reconciler, account number, etc.) must be filed with OBM.

- B. The following types of transactions are specifically **excluded** from the program:
- All Services except those provided on the Approved Service Vendor List <http://itcww012/ccvendor/vendorlist.asp>
  - Travel expenses including lodging (except those that can be paid through the ODOT Direct Bill program), meals and car rental
  - Gasoline
  - Cash advances
- C. ODOT is legally mandated to set aside 15% of the total goods and services purchased to certified minority vendors. Eligible payment card expenditures do count towards the 15% calculation.
- D. Non - contract payment card transactions count towards the \$50,000 vendor limit.

### V. Payment Card Security

**The only person entitled to use the Payment Card is the person whose name appears on the face of the card. Do not lend your Payment Card to another person for use.** The payment card must not be loaned to another person

under any circumstances. When a cardholder is absent for a period of time, the agency should seek to obtain another card for a different designated employee, either temporarily or permanently.

Each cardholder is responsible for the security of his/her card. All precautions should be used to maintain confidentiality of all information relating to the card, such as the cardholder account number and expiration date. The account number should never be left in a conspicuous place.

**The vendors must use the payment card number of the individual placing the order.**

#### **VI. The Payment Process for cardholders (See Payment Card Manual)**

When you make a transaction using the Payment Card, follow the procedures below:

- A. Tell the Supplier you will be paying with your Payment Card and ODOT is tax exempt.
- B. Retain all receipts showing clearly that no taxes were paid.
- C. Cardholders are responsible to ensure goods are received, meet specifications and proper documentation is provided prior to processing the transaction.
- D. After processing transactions through the Accounting system, forward all receipts with label/stamp attached to District/Central Office Accounting Office.
- E. Cardholders must process their payments within two business days of the transaction posting to the system.
- F. Returned goods for credit greater than a \$250 invoice will not be processed until credit is posted.

#### **VII. Hosting Meetings/Seminars**

Verify the object code by referencing the accounting object code manual.

<http://intranet.dot.state.oh.us/finance/Manuals/Accounting/Object%20Code%20Manual.pdf>

Following are the required documentation to process the invoice for payment:

- A. An agenda
- B. A list of attendees is required unless the meeting is for an entire district or the Central Office involving the entire District or Central Office, a list of attendees is not required, however please state either: "entire District function" or "entire Central Office function" in your IOC (item C below).
- C. The purchase of food and refreshments is authorized as part of a special meeting or conference. When submitting an invoice for payment you need to provide copy of prior approval by a Deputy Director (or designee), a list of attendees, an agenda, and a statement that the food was an integral part of the meeting. (refer to page 8-9 for IOC)
- D. An itemized invoice listing the services and/or food that was involved. Banquet charges must be listed.
- E. If lodging is to be reimbursed at current rate or less, then use object code 230-07 for in-state and if lodging is over current rate then use object code 230-08 for conference lodging.

#### **VIII. Employee Awards**

See IOC page 8-10

Object Code 130 - see appropriate sub-object  
Object Code 131

Following are the required documentation to process the invoice for payment:

- A. Itemized original invoice
- B. An approval IOC from your Deputy Director
- C. Awards presented to the entire District or Central Office is receiving an employee recognition award, then use the allocation plan provided by your fiscal officer. Otherwise, provide a list of employee names and indicate whether they are bargaining or non-bargaining unit employees. Length of Service plaques can be purchased with public funds and have always been deemed eligible for reimbursement.
- D. Awards over \$25.00, employees social security number must be provided.

**IX. Subscriptions**

The following is required by State Accounting for purchasing subscriptions:

- A. Subscriptions can only be paid for one year or less.
- B. You must submit a copy of the subscription order form.
- C. Subscriptions must be ODOT only, do not use person's name, only title.

**X. Electronic Payment Card Procedures**

- A. Electronic Process

Cardholder instructions:

- 1. Complete the following label/stamp and attach to the supporting documentation

Date good/services received	_____
VPC/PCR Number	_____
Phone order (Y or N)	_____
Signature	_____
MBE (Y or N)	_____
Contract #	_____
VPC/PCR Number	_____
Funding	_____
Additional Description	_____
Inventory Number	_____

- 2. Maintain the supporting documents in a pending file
- 3. After confirmation of the purchase on the computer, then go to the pending file and pull the appropriate invoice and record the VPC# or PCR# on the label/stamp.
- 4. After completing the transaction, submit all appropriate documentation to the Accounting Office for

reconciliation.

**XI. Training and Information (contact District/Central Office Accounting Offices)**

All cardholders, cardholder supervisors, card administrators, reconcilers, and payors must attend training on the policies and procedures associated with the Payment Card Program. They must be informed on payment card statements and other sources of information relevant to the program.

Payment Card Manual is available on the Finance Web Page  
<http://intranet.dot.state.oh.us/finance/Manuals/manuals.htm>

**XII. Common questions asked**

**A. *What do I do if my card is lost or stolen?***

If the Payment Card is lost or stolen you must immediately notify the Payment Card Administrator.

NOTE: Do not have the Bank reissue the card

Lost/Stolen Cards (24 Hour Bank Coverage): 1-800-300-3084

**B. *What are the purchasing regulations that must be considered before purchasing with the card?***

1. **The cardholder must follow the agency's internal regulations concerning purchasing.**
2. Items that are available from another state agency (DAS State Printing, OPI) or from SUP/OIH must be purchased from them.
  - Payment card can be used for ODOT and DAS contracts.
  - SUP/OIH will accept payment card for supplies only.
3. Employees using the card are expected to exercise good judgment in making purchases. In cases where the cardholder is making a purchase of less than \$1,000 with a vendor, neither phone nor written bids are necessary if the cardholder is reasonably sure a competitive price is being obtained.
4. All contracts should be considered before purchasing.

**C. *Which Suppliers Can I Use?***

Any supplier or merchant that accepts ODOT payment card may be utilized.

**D. *What If The Supplier Does Not Accept Payment Card?***

You may refer the supplier to your Agency Payment Card Administrator.

**E. *What Procedures Are Followed When I Will No Longer Be Working for My Agency?***

Your Payment Card must be submitted to your Payment Card Administrator.

**F. *What Steps Are Taken When Problems Arise with a Purchase?***

- Contact vendor to resolve problem.
- If resolution cannot be reached contact payment card administrator for further assistance.

Under no circumstances should a vendor be permitted to bill for goods before they are shipped.

Back-ordered goods should be billed after they are shipped. Vendors who bill before shipping goods should be advised that ODOT will not allow this practice.

G. *What about disputed Items?*

If you have a dispute and cannot reach resolution with the merchant, contact your Agency Payment Card Administrator who will assist in or complete the disputed items form. The form must be completed within 60 days of the transaction date and faxed to the Bank fax number shown on the form. The Bank will now intercede with the merchant or supplier on your behalf. (see page 8-12 for a dispute form)

*Examples of disputed items:*

The merchandise arrives broken and the merchant refused to replace it.

The invoice is for more than your receipt and the merchant refuses to give you a credit.

H. *What Steps Are Followed When My Credit Card Is Declined At Point-Of-Sale?*

The merchant may make an inquiry about why the transaction was declined or you may make an inquiry by calling current bank card phone number located on the back of your payment card.

I. *Under What Circumstances Might My Credit Card Be Declined?*

Your card will be declined for the following:

1. You have exceeded your designated transaction limit or monthly credit limit.

**NOTE: There are circumstances when exceeding a limit can be authorized. Contact your program administrator if you believe a temporary increase in your limit is justified.**

2. You attempt to use the card for a blocked merchant category, such as travel-related expenses.

**NOTE: If you wish to purchase from a vendor and believe the category is incorrectly applied, the possibility can be investigated by your program administrator.**

3. The credit card company has a security concern because of a use pattern (e.g., you haven't used it for a long time). They may ask for your mother's maiden name, your social security number, or your address.

**NOTE: If you are asked for your address, give them the address that was on your application. In most cases it is the address of your program administrator.**

J. *Will I Encounter Questions Concerning The Tax-Free Status Of My Purchases?*

The card itself should be sufficient identification to allow you to make tax-free purchases. However, there are vendors who will want to have on file a Sales and Use Tax Blanket Exemption Certificate or will want you to fill out a standard form their business requires. Providing a tax ID number should not be necessary, but if you must give one, use <http://intranet.dot.state.oh.us/finance/forms/blanketexempt.pdf>

K. *How long does it take for a payment voucher to appear in the ODOT Accounting System?*

The vendor determines the length of time for a purchase to be processed to create a voucher to State Accounting. Vendors vary in their frequency in processing their payment credit card transactions. As a rule of thumb allow 30 days for your payment credit card transactions. After the 30 days, contact your District Accounting Office or the Payment Card Administrator.

L. *What is the comment screen?*

The “comment screen” is required to communicate special instructions to your approver or payor, for example to provide:

1. Inventory numbers for items over \$1,000 or \$100 if on the sensitivity list. See Finance Web Page for sensitivity list.
2. State Job Numbers and Federal Apportionment Numbers when required
3. Special Account Coding instructions for your payor
4. Listing of quotes and all backup justification (non-contract or emergency purchases)

Chapter 8

Purchasing & Contract Administration  
Payment Card

Certification of Meeting Expense

**To:** DDD  
**From:**  
**Date:**  
**Subject:** Prior approval for meeting expenditures

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The Office of \_\_\_\_\_, is holding a meeting, \_\_\_\_\_  
(Location) (Month-Day-Year)  
for \_\_\_\_\_ following food and refreshments: \_\_\_\_\_  
(Activities)

The cost of hosting the meeting will be \$\_\_\_\_\_.

Your certification of the above-mentioned expenditures is requested.

I certify that this purchase of the above named food and refreshments is an integral part of the meeting.

Signature (Full Name)

Date

\_\_\_\_\_

**INTER-OFFICE COMMUNICATION**

Date: December 12, 2002  
To: D1 Distribution  
From: Rich Winning, <sup>jun</sup> Administrator, Office of Accounting  
Subject: Meal or Food Expenses for Hosting Meetings

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This memo is intended to serve as a reminder on the Office of Budget and Managements (OBM) procedures for submitting meal or food expenses related to meetings for payment.

When planning meals or food expenses for a certain number of people, you need to confirm the number of attendees before ordering the food with the vendor. The objective is to make sure ODOT only pays for the number of people planning to attend. Prepare your List of Attendees based on the people that confirmed their attendance. The invoiced number of meals should be reasonably close with the number of people on the List of Attendees. If not you must provide an explanation for the difference. Employees who just "Don't Show" should be held liable to pay for any meals ordered.

Documentation Requirements for meal and food meeting expenses:

1. List of Attendees
2. Business Agenda
3. IOC signed by your Deputy Director or his/her designee. The IOC must certify the food and refreshments were a necessary and integral part of the meeting.
4. Itemized invoice describing the list of items purchased.

Please contact David Busack, Accounts Payable Manager at (614) 644-7496 if you need clarification of this memo.

C: Julie Ray  
David Busack  
District Fiscal Officers

## INTER-OFFICE COMMUNICATION

Date: December 12, 2002  
To: D1 Distribution  
From: Julie Ray, Deputy Director, Division of Finance  
Subject: Appreciation Gifts and Awards



The purpose of this IOC is to provide some written guidance for the purchase of farewell and appreciation gifts and awards.

### **Farewell & Appreciation Gifts**

There may be occasions where appointees and other staff members will be leaving State service. The policy of the Governor, as well as ODOT, is that **no public funds will be used for the purchase of gifts or any appreciation item outside of our normal recognition program.** Staff may take up **voluntary collections** if they so desire for farewell or thank you gifts. Receptions, lunches, dinners or other similar activities will be held at the expense of attendees. **No state funds should be used to finance any part of such functions.** Also, there should not be any solicitation from anyone doing business with ODOT either now or anticipated in the future.

Any gift from a single source valued in excess of \$75 will need to be reported on the recipient's disclosure form if they file a financial disclosure statement. Please reference the memo dated November 7, 2002 from the Governors office regarding ethics law pertaining to accepting gifts.

Length of service (retirement) plaques can be purchased with public funds and have always been deemed eligible for reimbursement.

### **Awards & Prizes**

According to an Executive Order, ODOT may establish an employee recognition program. The Director may expend Department funds to purchase awards for employee suggestions that reduce Department cost, improve the quality of delivered goods & services, and for the recognition of exemplary performance of employees. **All awards must be for work related performance.** The law does not specify the amount or type of award that can be given. Those are set by the Director thru approved plans and policies. Individual awards in excess of \$25 each will be considered taxable income and recorded on the employees W-2 statement.

Divisions and Districts should budget and code expenditures for employee awards to the Employee State Accounting Codes (SACs 4KAI or 4KA2). This includes Awards for the Employee of the Month, Annual Meetings as well as items purchased under other plans approved by the Director.

.....

### Items Rejected for Reimbursement

Following are some of the items which have previously been determined as not eligible for reimbursement:

- Tee shirts for all employees...not part of a performance recognition program
- Food prior to or at the conclusion of a meeting
- Food and refreshments for "Open House"
- Christmas and Thank You cards
- Christmas decorations not used in a public lobby
- Flowers for deceased employees or family members; or secretaries day

I think from the above list you can get a good idea of the types of things which **should not** be purchased with public funds.

Please distribute this IOC to the individuals you deem appropriate.

c:   Winning  
      Busack  
      Morrison  
      District Fiscal Officers  
      file

**COMMERCIAL CARD CLAIMS  
STATEMENT OF DISPUTED ITEM**

Instructions: Your company should first make good-faith efforts to settle a claim for purchases directly with the merchant. If assistance from Bank of America is required, please complete this form, and mail with required enclosures within 60 days from the billing close date to:

**Bank of America – Commercial Card Services Operations**  
P. O. Box 53142  
Phoenix, AZ 85072-3142  
**FAX (888) 678-6046**

Company Name: \_\_\_\_\_  
Account Number: \_\_\_\_\_  
Cardholder Name: \_\_\_\_\_

This Charge appeared on my statement, billing close date: \_\_\_\_\_  
Transaction Date: \_\_\_\_\_  
Reference Number: \_\_\_\_\_  
Merchant Name/Location: \_\_\_\_\_  
Posted Amount: \_\_\_\_\_ Disputed Amount: \_\_\_\_\_

\_\_\_\_\_  
(Cardholder Signature) (Authorized Participant Signature) (Date) (Phone Number)

**Please Check Only One**

1.  **Unauthorized Transaction:** I did not authorize, nor did I authorize anyone else to engage in this transaction. No goods or services represented by the above charge were received by me or anyone I authorized. My Bank of America card was in my possession at the time of the transaction.
2.  **Charge Amount Does Not Agree With Order Authorizing the Charge:** The amount entered on the sales slip was increased from \$\_\_\_\_\_ to \$\_\_\_\_\_. I have enclosed a copy of the unaltered sales slip.
3.  **Merchandise or Services Not Received:** I have not received the merchandise or services represented by the above transaction. The expected date of delivery of services was \_\_\_\_\_. (Please describe your efforts to resolve this matter with the merchant, the date(s) you contacted them and their response.)
4.  **Defective or Wrong Merchandise:** I returned the merchandise on \_\_\_\_\_ because it was (check one):  
 \_\_\_\_\_ defective; \_\_\_\_\_ wrong size; \_\_\_\_\_ wrong color; \_\_\_\_\_ wrong quantity.  
 (Please describe your efforts to resolve this matter with the merchant, the date(s) you contacted them, their response and proof of the return of merchandise. Please provide a detailed description of the wrong or defective nature of the merchandise.)
5.  **Recurring Charges After Cancellation:** On \_\_\_\_\_ (date), I notified the merchant to cancel the monthly/yearly agreement. Since then my Bank of America account has been charged \_\_\_\_\_ time(s). (Please enclose a copy of the merchant's confirmation of your cancellation request.)
6.  **Recurring Charges Already Paid by Other Means:** I already paid for the goods and/or services represented by the above charge by means other than my Bank of America Commercial Card. (Please provide a copy of the front and back on the cancelled check, money order, cash receipt, credit card statement, or other documentation as proof of purchase/payment. Describe your efforts to resolve this matter directly with the merchant, the date(s) you contacted them, and their response.)
7.  **Credit Appears as a Charge:** The enclosed Credit Voucher appeared as a charge on my Bank of America Commercial Card account.
8.  **Credit From Merchant Not Received:** I did not receive credit for the enclosed Credit Voucher within 30 calendar days from the date it was issued to me by the merchant shown above. (Please describe your efforts to resolve this matter with the merchant, the date(s) you contacted them and their response. Provide a detailed statement explaining your reason(s) for disputing this charge.)
9.  **Hotel Reservation Cancelled:** I made a reservation with the above hotel which I later cancelled on \_\_\_\_\_ (date) at \_\_\_\_\_ (time). I received a cancellation number which is \_\_\_\_\_. (Please describe how the reservation was cancelled, proof of cancellation and attempts to resolve this issue with the merchant.  
 \_\_\_\_\_ I was not given a cancellation number.  
 \_\_\_\_\_ I was not told at the time that I made the reservation that my account would be charged for a "No Show".  
 \_\_\_\_\_ I was not informed of the cancellation policy.
10.  **Double or Multiple Charges:** My Bank of America Commercial Card Account has been double charged. The valid charge appeared on \_\_\_\_\_ (date). The duplicate charge(s) appeared on \_\_\_\_\_.
11.  **Do Not Recall the Transaction:** The statement has an inadequate description of the charge. Please supply supporting documentation.
12.  **Other; Above Descriptions Do Not Apply:** Please attach a detailed letter explaining the reason for your dispute and your attempts to resolve this issue with the merchant.

## CHAPTER 11

### Quotes for Supplies and Materials

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In this Chapter look for:

- ✓ Control limits
  - ✓ Quote limits
  - ✓ Hosting Meetings/Seminars
  - ✓ Employee Awards
  - ✓ Subscriptions
  - ✓ Release and Permit
  - ✓ Real Estate limits
  - ✓ Pre-approval Requirement- **Warning: Cannot use Debit Voucher**
  - ✓ W-9/Vendor Master Input Document (VMI) /OBM Letter
  - ✓ Emergency defined
- 

#### I. Overview

Direct purchasing includes purchases with EDI, payment card, debit voucher, or a purchase order with obtained quotes.

When utilizing the above purchasing methods, review of proper purchasing guidelines are required. If guidelines are not followed, purchase order requests will not be approved, invoices will not be paid, and/or the purchaser could become personally liable for paying the vendor.

#### II. Purchasing Control Limit Guidelines

To determine if the vendor has reached the \$50,000 spending limit for supplies and personal services or the \$75,000 limit for Real Estate Leases, access the accounting system or contact your District/Central Office Accounting Office. Web Site address for vendors approaching and/or exceeding the \$50,000 spending limit: [http://intranet.dot.state.oh.us/finance/payment card system.htm](http://intranet.dot.state.oh.us/finance/payment_card_system.htm). If the vendor has reached either of these limits and you still wish to purchase from this vendor, you MUST request the purchase go to the Office of Contracts for bid or Controlling Board for approval before proceeding (ORC Section 127.16). The Controlling Board number must be entered into APS in order to bypass controlled edit rejects. NOTE: THE AMOUNT SPENT WITH CONTROLLING BOARD APPROVAL DOES NOT COUNT TOWARD THE VENDOR LIMITS LISTED ABOVE.

If the vendor **has not** reached the spending limits as previously mentioned, then proceed with the following guidelines.

For each purchase, determine if the item is for supplies, personal service, or real estate leases.

A. If a supply item (supplies - means all property, including but not limited to rental, lease, or purchase of equipment, materials, and insurance)

1. Obtain quotes using letterhead quote form:  
<http://intranet.dot.state.oh.us/finance/Manuals/Accounting/Quotform/quotform.qpw>

Total Amount Purchased	No. of Quotes	Type
\$0 to \$500.00	1 quote	Debit voucher, payment card or EDI
\$500.01 to \$1,000.00	1 quote	Purchase order, payment card or EDI
\$1,000.01 to \$2,500.00	2 quotes	Purchase order, EDI, or approval from District/Central Office Payment Card Administrator
\$2,500.01 to \$30,000.00	3 quotes	Purchase order or EDI
\$30,000.01 and above	CO, Contact Office of Contracts, Purchasing Services	

B. Hosting Meetings/Seminars

Verify the object code by referencing the accounting object code manual.

<http://intranet.dot.state.oh.us/finance/Manuals/Accounting/Object%20Code%20Manual.pdf>

Following are the required documentation to process the invoice for payment:

1. An agenda
2. A list of attendees is required unless the meeting is for an entire district or the Central Office. An ODOT hosted meeting involves an entire District or Central Office. a list of attendees is not required, however please state either: "entire District function" or "entire Central Office function" in your IOC (item 3 below).
3. The purchase of food and refreshments is authorized as part of a special meeting or conference. When submitting an invoice for payment you need to provide copy of prior approval by a Deputy Director (or designee), a list of attendees, an agenda, and a statement that the food was an integral part of the meeting. (refer to page 8-9 for IOC)
4. An itemized invoice listing the services and/or food that was involved. Banquet charges must be listed.
5. If lodging is to be reimbursed at current rate or less, then use object code 230-07 for in-state and if lodging is over current rate then use object code 230-08 for conference lodging.

C. Employee Awards

See IOC page 8-10

Object Code 130 - see appropriate sub-object

Object Code 131

Following are the required documentation to process the invoice for payment:

1. Itemized original invoice
2. An approval IOC from your Deputy Director
3. If the entire District or Central Office is receiving an employee recognition award, then use the allocation plan provided by your fiscal officer. Otherwise, provide a list of employee names and indicate whether they are bargaining or non-bargaining unit employees.

4. Awards over \$25.00, employees social security number must be provided.

D. Subscriptions

The following is required by State Accounting for purchasing subscriptions:

1. Subscriptions can only be paid for one year or less.
2. You must submit a copy of the subscription order form.
3. Subscriptions must be ODOT only, do not use person's name, only title.

E. Release and Permit

ODOT requests a Release and Permit number once each biennium from DAS/ State Purchasing for the purchase of specific supplies, materials and services necessary for construction and maintenance of state highways. Without this release and permit we would be required to make all our competitive bid purchases through State Purchasing or the Controlling Board.

F. Give potential contractors/vendors a **clear definition/description** of the item you want them to quote on.

1. Where compatibility is required, you may quote a "brand name", but you must add the following statement "or approved equal"
2. If compatibility is **not** essential/required, you must **provide** an open specification to be quoted.
3. Questions concerning these guidelines should be addressed to the Central Office/District Purchasing Specialist or Office of Contracts/Purchasing Services Section.

G. Award goes to the lowest responsive and responsible bidder.

H. Information regarding quotes available to vendors.

1. Clarification of specifications is a legitimate question and can be answered.
2. Questions regarding other vendors bids or bid amounts must not be addressed until a vendor has been selected and the purchase has been completed.

I. ODOT is legally mandated to set aside 15% of the total goods and services purchased to DAS certified minority vendors.

J. If for personal service contract (services - means the furnishing of labor, time, or effort by a person, not including the delivery of a specific end product other than a report which, if provided is merely incidental to this required performance.)

1. No more than \$49,999.99 for each single purchase. For Personal Service over \$500 see Chapter 13.
2. A single purchase equal to or exceeding \$50,000 must be bid or a Release and Permit number assigned by DAS, so that Controlling Board approval may be obtained.
3. The Release and Permit number assigned by DAS must be entered into APS to bypass control edit.
4. No ODOT employee is authorized to sign any document that binds the Department contractually

other than those employees provided signature authority in writing by Chief Legal Counsel.

- K. If for Real Estate (leases of real property. This does not include land or permanent interest in land.)
1. A \$75,000 limit for all rental/lease contracts.
  2. Contracts must be reviewed by Chief Legal Counsel.
  3. A single purchase over \$75,000 must be bid or a Release and Permit number assigned by DAS.
  4. The Release and Permit number assigned by DAS must be entered into APS to bypass control edit.

### III. Pre-Approvals - WARNING: cannot use debit voucher

The pre-approval system was created by DAS to provide an additional level of review and approval for specific items. These items are identified in your object code listing manual.

<http://intranet/finance/Manuals/Accounting/Object%20Code%20Manual.pdf>

Some examples are: computers, telecommunications, copiers, vehicles, and radios. Pre-approval numbers are required on the purchase order when processing.

Pre-Approvals may be obtained from the following DAS Divisions:

- A. **For computer equipment, data processing services, and telecommunications** needs, contact the ODOT Division of Information Technology (614)466-3553; <http://intranet.dot.state.oh.us/socc/default.asp>
- B. **For vehicles**, the ODOT Office of Equipment and Support Services (614) 351-2827; <http://intranet.dot.state.oh.us/oess/>
- C. **Copiers**  
Upon acceptance of request, a Pre-Approval Number will be assigned to pay for approved equipment. Standard purchasing procedures must be followed. The Pre-Approval Number must be entered on Requisition/Purchase Order. Agencies can review Pre-Approval Numbers through CAS inquiry QPREA01.

### IV. W-9, OBM Letter

A vendor must be in the Central Accounting System (CAS) and ODOT Accounting System before a purchase can be made. If you do not have access to CAS or cannot find the vendor in the ODOT Accounting System, contact your District or CO accounting office.

- A. Check CAS for the vendor by the name in OVNAM01 or by Federal Tax Identification number OVNDR01. If you do not have access to CAS, then you should check the ODOT Accounting system (CICSPRD1),
  - select option # 6 (vendor system) from the main menu,
  - select option #1, if you have the tax ID# or
  - select option 4 to search by name.
- B. If the vendor is in CAS and not ODOT Accounting, call Office of Accounting, Fiscal Support Section.
- C. If the vendor is not in CAS or ODOT Accounting Vendor System, a W-9 Federal Form <http://www.irs.gov/pub/irs-pdf/fw9.pdf>, and an OBM letter <http://www.state.oh.us/obm/Information/memos/2001/12-01-01.pdf> must be sent to the vendor to be completed and returned to the District Accounting or Central Office Fiscal Support Section.

Vendors will not receive payment unless a correctly completed W-9 is entered and sent to OBM to be added to

CAS and ODOT systems. The VMI (Vendor Master Input) procedures that are listed below take into account that the completed W-9 has been sent to District/ Central Office Fiscal Support Section for processing:

- A. District or Central Office of Accounting receives the W-9 document for processing:
  - 1. Check W-9 Form for:
    - a. Correct issued date--forms dated prior to Jan. 2002 are unacceptable  
<http://www.irs.gov/pub/irs-pdf/fw9.pdf>
    - b. **Original signature is mandatory**
    - c. Vendor's status completed
    - d. No alterations on W-9
- B. Adding a new Vendor and Subsidiary in the system at the same time:
  - 1. One W-9 with parent company name only.
  - 2. One W-9 with subsidiary name only.
  - 3. Put same Vendor Number on both forms.
  - 4. OBM will assign a number for the S1, S2, S3, etc.. to replace the first two digits of the parent Company's number. All other numbers with the tax ID will be the same.
  - 5. An IRS label that displays both names can be used in lieu of a W-9 and is actually more acceptable to OBM.
  - 6. Entered on-line by District or Central Office Accounting Personnel.
- C. Adding just a subsidiary Vendor.
  - 1. One W-9 with subsidiary name only.
  - 2. Entered on-line by District or Central Office Accounting Personnel.
- D. Adding a Sole Proprietor.
  - 1. Show the individual's name on the top line of W-9 and the business name on the next line.
  - 2. When entering on-line show the business name on the top line and the individual's name on the next line.
- E. When adding a vendor with a P.O. box and street address, only one will be added. The P.O. box takes precedence over the street address, and additional on-line entry must be used.
  - 1. Show street address on one AC01.
  - 2. Show P.O. box on one AC02.
- F. When making a change to an existing Vendor Number already in the system, e.g, adding a subsidiary or an address or replacing an address, enter on-line.
- G. When adding an address code to a Vendor, or a subsidiary, the documentation required is an invoice or a letter from the Vendor. No other documentation will be accepted.
- H. If a new vendor is being added, check IMSCAS QVNDR05 to make sure the vendor number or name are not in the system.
  - 1. Check IMSCAS QVNAM01 to make sure the name is not currently in the system with a different Vendor Number. Any discrepancy requires documentation from the Vendor.
  - 2. Or, if additional documentation is needed, e.g, "L" in the W-9 field showing a letter was sent to the company requesting additional information, or, "B" notice requiring IRS label. Do not process form.

- I. If modifying a current Vendor, check IMSCAS QVNDR05 to make sure request has not previously been processed.
- J. Return any incomplete/incorrect forms to vendor, using attached VMI return.

**V. District/Division declares an Emergency as defined under OAC 123:5-1-01 (G)**

*Emergency Condition means a situation which creates a threat to public health, welfare, safety, which may arise by reason of epidemics, riots, equipment failure or such other reasons as may be proclaimed by the governor; or which interrupt the operation of production facilities maintained by Ohio Penal industries in its program for employment of prisoners.*

- Poor planning does not constitute an emergency.
- Refer to ODOT Emergency Purchasing Procedures IOC on page 10-9

# OHIO DEPARTMENT OF TRANSPORTATION PURCHASING AND CONTRACT ADMINISTRATION MANUAL



March 2005

**CHAPTER 8****Payment Card**

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In this Chapter look for:

- ✓ Benefits
- ✓ Limits
- ✓ Security
- ✓ Where to call for lost/stolen payment cards
- ✓ Hosting Meetings/Seminars
- ✓ Employee Awards
- ✓ Subscriptions
- ✓ Payment Card Manual

<http://intranet.dot.state.oh.us/finance/Manuals/Accounting/2004version.PDF>

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**I. Overview**

The State of Ohio's Payment Card Program allows state employees to acquire goods as they are needed for operations without undue delay. It is designed primarily for the purchase of equipment, materials and supplies that cost less than \$1,000. Use of the card is meant to simplify and streamline the procurement process and lower overall transaction costs. Cardholders are expected to use good judgment. The payment card program introduces an electronic invoicing and payment process which has fundamentally changed the way payments are made.

All cardholders have limits defined by their supervisors (within OBM guidelines) and enforced at the point of purchase by Visa control features. Limitations are established for spending amounts per transaction, types of vendors from whom purchases can be made, number of transactions made per day, and others.

The Payment Card Program **does not** supersede State Purchasing regulations or an agency's internal regulations for purchasing. All purchases made with federal monies must meet requirements set forth by the federal grantor.

The program is managed by the Statewide Payment Card Administrator of the Ohio Office of Budget and Management (OBM). Each participating agency has a Payment Card Administrator to manage its card program. The Payment Card Administrator for each agency is responsible for the overall management of the agency's payment card program. Level of participation in the program and the number of cards issued is determined by the executive staff of each agency. All payment cards issued shall have the written approval of OBM.

Benefits of the payment card:

- W-9 only required when adding vendor to service vendor list
- vendor paid in three days
- less paperwork
- cost to process is less expensive (estimated voucher payment of **\$150.00** vs payment card **\$75.00**)

Following are highlights from the payment card manual:

**II. Purchases over \$1,000**

- A. Some of the payment cardholders have authorization to purchase goods over \$1,000. Most of the payment cards have a preset limit of \$1,000, for a single visit to a vendor. The Administrator of the Payment Card Program can approve a purchase for over \$1,000 even when your payment card has the preset limit of \$1,000.
- B. Overriding a payment card, with a \$1,000 up to \$2,500 (some exceptions) limit is possible by contacting your District/Central Office Payment Card Administrator.
- C. Payment card purchases over \$1,000 must follow the direct purchasing guidelines and the required number

of quotes or reference current contract number. Quotes should be attached to the log. (See direct purchasing flowchart on page vi.)

- D. Aggregate Limits: Exceeding the \$2,500 limit applies only to the following contracts: **DOT100, DOT101L, DOT101G, DOT223, DOT099**. There are **absolutely no exceptions**.

### III. OBM Policy and Guidelines

Card issuance and cancellation. The Agency Payment Card Administrator is responsible for all card issuance and cancellation. All payment cards issued must have the written approval of OBM.

Cards are to be returned immediately to the Agency Payment Card Administrator upon a change in the cardholder's job status such that they no longer require a card, or upon separation from State employment for any reason.

Cards are to be returned to OBM upon request of the Program Administrator or the Agency Payment Card Administrator.

Cards are issued following the Agency Plan that is signed by the agency director and filed with the Statewide Program Administrator.

Issuance of a new card, as a result of a lost/stolen card being canceled, the Agency Payment Card Administrator notifies the Statewide Payment Card Administrator of the change.

### IV. Payment Card Limitations And Restrictions. Individual cardholder controls constitute a cardholder's profile.

- A. The Agency Administrator is responsible for establishing and changing cardholder profiles. Issuance of a card or changes to a cardholder setup must have the written approval of the Program Administrator.

The Agency Payment Card Administrator maintains a file of all cardholder agreements, cardholder applications, and cardholder information and approval sheets.

The Agency Payment Card Administrator must provide the Program Administrator, with OBM, all cardholder information and approval sheet for each cardholder. Any change to a cardholder's setup (limits, payor, reconciler, account number, etc.) must be filed with OBM.

- B. The following types of transactions are specifically **excluded** from the program:

- All Services except those provided on the Approved Service Vendor List  
<http://itcww012/ccvendor/vendorlist.asp>
- Travel expenses including lodging (except those that can be paid through the ODOT Direct Bill program), meals and car rental
- Gasoline
- Cash advances

- C. ODOT is legally mandated to set aside 15% of the total goods and services purchased to certified minority vendors. Eligible payment card expenditures do count towards the 15% calculation.

- D. Non - contract payment card transactions count towards the \$50,000 vendor limit.

### V. Payment Card Security

**The only person entitled to use the Payment Card is the person whose name appears on the face of the card. Do not lend your Payment Card to another person for use.** The payment card must not be loaned to another person under any circumstances. When a cardholder is absent for a period of time, the agency should seek to obtain another card for a different designated employee, either temporarily or permanently.

Each cardholder is responsible for the security of his/her card. All precautions should be used to maintain confidentiality of all information relating to the card, such as the cardholder account number and expiration date. The account number should never be left in a conspicuous place.

**The vendors must use the payment card number of the individual placing the order.**

**VI. The Payment Process for cardholders (See Payment Card Manual)**

When you make a transaction using the Payment Card, follow the procedures below:

- A. Tell the Supplier you will be paying with your Payment Card and ODOT is tax exempt.
- B. Retain all receipts showing clearly that no taxes were paid.
- C. Cardholders are responsible to ensure goods are received, meet specifications and proper documentation is provided prior to processing the transaction.
- D. After processing transactions through the Accounting system, forward all receipts with label/stamp attached to District/Central Office Accounting Office.
- E. Cardholders must process their payments within two business days of the transaction posting to the system.
- F. Returned goods for credit greater than a \$250 invoice will not be processed until credit is posted.

**VII. Hosting Meetings/Seminars**

Verify the object code by referencing the accounting object code manual.

<http://intranet.dot.state.oh.us/finance/Manuals/Accounting/Object%20Code%20Manual.pdf>

Following are the required documentation to process the invoice for payment:

- A. An agenda
- B. A list of attendees is required unless the meeting is for an entire district or the Central Office involving the entire District or Central Office, a list of attendees is not required, however please state either: "entire District function" or "entire Central Office function" in your IOC (item C below).
- C. The purchase of food and refreshments is authorized as part of a special meeting or conference. When submitting an invoice for payment you need to provide copy of prior approval by a Deputy Director (or designee), a list of attendees, an agenda, and a statement that the food was an integral part of the meeting. (refer to page 8-9 for IOC)
- D. An itemized invoice listing the services and/or food that was involved. Banquet charges must be listed.
- E. If lodging is to be reimbursed at current rate or less, then use object code 230-07 for in-state and if lodging is over current rate then use object code 230-08 for conference lodging.

**VIII. Employee Awards**

See IOC page 8-10  
Object Code 130 - see appropriate sub-object  
Object Code 131

Following are the required documentation to process the invoice for payment:

- A. Itemized original invoice
- B. An approval IOC from your Deputy Director
- C. Awards presented to the entire District or Central Office is receiving an employee recognition award, then use the allocation plan provided by your fiscal officer. Otherwise, provide a list of employee names and indicate whether they are bargaining or non-bargaining unit employees. Length of Service plaques can be purchased with public funds and have always been deemed eligible for reimbursement.
- D. Awards over \$25.00, employees social security number must be provided.

**IX. Subscriptions**

The following is required by State Accounting for purchasing subscriptions:

- A. Subscriptions can only be paid for one year or less.
- B. You must submit a copy of the subscription order form.
- C. Subscriptions must be ODOT only, do not use person's name, only title.

**X. Electronic Payment Card Procedures**

- A. Electronic Process

Cardholder instructions:

- 1. Complete the following label/stamp and attach to the supporting documentation

Date good/services received	_____
VPC/PCR Number	_____
Phone order (Y or N)	_____
Signature	_____
MBE (Y or N)	_____
Contract #	_____
VPC/PCR Number	_____
Funding	_____
Additional Description	_____
Inventory Number	_____

- 2. Maintain the supporting documents in a pending file
- 3. After confirmation of the purchase on the computer, then go to the pending file and pull the appropriate invoice and record the VPC# or PCR# on the label/stamp.

4. After completing the transaction, submit all appropriate documentation to the Accounting Office for reconciliation.

#### **XI. Training and Information (contact District/Central Office Accounting Offices)**

All cardholders, cardholder supervisors, card administrators, reconcilers, and payors must attend training on the policies and procedures associated with the Payment Card Program. They must be informed on payment card statements and other sources of information relevant to the program.

Payment Card Manual is available on the Finance Web Page  
<http://intranet.dot.state.oh.us/finance/Manuals/Accounting/2004version.PDF>

#### **XII. Common questions asked**

**A. *What do I do if my card is lost or stolen?***

If the Payment Card is lost or stolen you must immediately notify the Payment Card Administrator.

**NOTE:** Do not have the Bank reissue the card

Lost/Stolen Cards (24 Hour Bank Coverage): 1-800-300-3084

**B. *What are the purchasing regulations that must be considered before purchasing with the card?***

1. **The cardholder must follow the agency's internal regulations concerning purchasing.**
2. Items that are available from another state agency (DAS State Printing, OPI) or from SUP/OIH must be purchased from them.
  - Payment card can be used for ODOT and DAS contracts.
  - SUP/OIH will accept payment card for supplies only.
3. Employees using the card are expected to exercise good judgment in making purchases. In cases where the cardholder is making a purchase of less than \$1,000 with a vendor, neither phone nor written bids are necessary if the cardholder is reasonably sure a competitive price is being obtained.
4. All contracts should be considered before purchasing.

**C. *Which Suppliers Can I Use?***

Any supplier or merchant that accepts ODOT payment card may be utilized.

**D. *What If The Supplier Does Not Accept Payment Card?***

You may refer the supplier to your Agency Payment Card Administrator.

**E. *What Procedures Are Followed When I Will No Longer Be Working for My Agency?***

Your Payment Card must be submitted to your Payment Card Administrator.

**F. *What Steps Are Taken When Problems Arise with a Purchase?***

- Contact vendor to resolve problem.
- If resolution cannot be reached contact payment card administrator for further assistance.

Under no circumstances should a vendor be permitted to bill for goods before they are shipped. Back-ordered goods should be billed after they are shipped. Vendors who bill before shipping goods should be advised that ODOT will not allow this practice.

**G. *What about disputed Items?***

If you have a dispute and cannot reach resolution with the merchant, contact your Agency Payment Card Administrator who will assist in or complete the disputed items form. The form must be completed within 60 days of the transaction date and faxed to the Bank fax number shown on the form. The Bank will now intercede with the merchant or supplier on your behalf. (see page 8-12 for a dispute form)

***Examples of disputed items:***

The merchandise arrives broken and the merchant refused to replace it.

The invoice is for more than your receipt and the merchant refuses to give you a credit.

**H. *What Steps Are Followed When My Credit Card Is Declined At Point-Of-Sale?***

The merchant may make an inquiry about why the transaction was declined or you may make an inquiry by calling current bank card phone number located on the back of your payment card.

**I. *Under What Circumstances Might My Credit Card Be Declined?***

Your card will be declined for the following:

1. You have exceeded your designated transaction limit or monthly credit limit.

**NOTE: There are circumstances when exceeding a limit can be authorized. Contact your program administrator if you believe a temporary increase in your limit is justified.**

2. You attempt to use the card for a blocked merchant category, such as travel-related expenses.

**NOTE: If you wish to purchase from a vendor and believe the category is incorrectly applied, the possibility can be investigated by your program administrator.**

3. The credit card company has a security concern because of a use pattern (e.g., you haven't used it for a long time). They may ask for your mother's maiden name, your social security number, or your address.

**NOTE: If you are asked for your address, give them the address that was on your application. In most cases it is the address of your program administrator.**

**J. *Will I Encounter Questions Concerning The Tax-Free Status Of My Purchases?***

The card itself should be sufficient identification to allow you to make tax-free purchases. However, there are vendors who will want to have on file a Sales and Use Tax Blanket Exemption Certificate or will want you to fill out a standard form their business requires. Providing a tax ID number should not be necessary, but if you must give one, use <http://intranet.dot.state.oh.us/finance/forms/blanketexempt.pdf>

**K. *How long does it take for a payment voucher to appear in the ODOT Accounting System?***

The vendor determines the length of time for a purchase to be processed to create a voucher to State Accounting. Vendors vary in their frequency in processing their payment credit card transactions. As a rule of thumb allow 30 days for your payment credit card transactions. After the 30 days, contact your District Accounting Office or the Payment Card Administrator.

**L. *What is the comment screen?***

The "comment screen" is required to communicate special instructions to your approver or payor, for example to provide:

1. Inventory numbers for items over \$1,000 or \$100 if on the sensitivity list. See Finance Web Page

Chapter 8

Purchasing & Contract Administration  
Payment Card

- for sensitivity list.
2. State Job Numbers and Federal Apportionment Numbers when required
  3. Special Account Coding instructions for your payor
  4. Listing of quotes and all backup justification (non-contract or emergency purchases)

Chapter 8

Purchasing & Contract Administration  
Payment Card

Certification of Meeting Expense

**To:** DDD  
**From:**  
**Date:**  
**Subject:** Prior approval for meeting expenditures

---

The Office of \_\_\_\_\_, is holding a meeting, \_\_\_\_\_  
(Location) (Month-Day-Year)  
for \_\_\_\_\_ following food and refreshments: \_\_\_\_\_  
(Activities)

The cost of hosting the meeting will be \$ \_\_\_\_\_.

Your certification of the above-mentioned expenditures is requested.

I certify that this purchase of the above named food and refreshments is an integral part of the meeting.

Signature (Full Name)

Date

\_\_\_\_\_

**INTER-OFFICE COMMUNICATION**

Date: December 12, 2002  
To: D1 Distribution  
From: Rich Winning, <sup>per</sup> Administrator, Office of Accounting  
Subject: Meal or Food Expenses for Hosting Meetings

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This memo is intended to serve as a reminder on the Office of Budget and Managements (OBM) procedures for submitting meal or food expenses related to meetings for payment.

When planning meals or food expenses for a certain number of people, you need to confirm the number of attendees before ordering the food with the vendor. The objective is to make sure ODOT only pays for the number of people planning to attend. Prepare your List of Attendees based on the people that confirmed their attendance. The invoiced number of meals should be reasonably close with the number of people on the List of Attendees. If not you must provide an explanation for the difference. Employees who just "Don't Show" should be held liable to pay for any meals ordered.

Documentation Requirements for meal and food meeting expenses:

1. List of Attendees
2. Business Agenda
3. IOC signed by your Deputy Director or his/her designee. The IOC must certify the food and refreshments were a necessary and integral part of the meeting.
4. Itemized invoice describing the list of items purchased.

Please contact David Busack, Accounts Payable Manager at (614) 644-7496 if you need clarification of this memo.

C: Julie Ray  
David Busack  
District Fiscal Officers

## INTER-OFFICE COMMUNICATION

Date: December 12, 2002  
To: D1 Distribution  
From: Julie Ray, Deputy Director, Division of Finance  
Subject: Appreciation Gifts and Awards



The purpose of this IOC is to provide some written guidance for the purchase of farewell and appreciation gifts and awards.

### **Farewell & Appreciation Gifts**

There may be occasions where appointees and other staff members will be leaving State service. The policy of the Governor, as well as ODOT, is that **no public funds will be used for the purchase of gifts or any appreciation item outside of our normal recognition program.** Staff may take up **voluntary collections** if they so desire for farewell or thank you gifts. Receptions, lunches, dinners or other similar activities will be held at the expense of attendees. **No state funds should be used to finance any part of such functions.** Also, there should not be any solicitation from anyone doing business with ODOT either now or anticipated in the future.

Any gift from a single source valued in excess of \$75 will need to be reported on the recipient's disclosure form if they file a financial disclosure statement. Please reference the memo dated November 7, 2002 from the Governors office regarding ethics law pertaining to accepting gifts.

Length of service (retirement) plaques can be purchased with public funds and have always been deemed eligible for reimbursement.

### **Awards & Prizes**

According to an Executive Order, ODOT may establish an employee recognition program. The Director may expend Department funds to purchase awards for employee suggestions that reduce Department cost, improve the quality of delivered goods & services, and for the recognition of exemplary performance of employees. **All awards must be for work related performance.** The law does not specify the amount or type of award that can be given. Those are set by the Director thru approved plans and policies. Individual awards in excess of \$25 each will be considered taxable income and recorded on the employees W-2 statement.

Divisions and Districts should budget and code expenditures for employee awards to the Employee State Accounting Codes (SACs 4KAI or 4KA2). This includes Awards for the Employee of the Month, Annual Meetings as well as items purchased under other plans approved by the Director.

### Items Rejected for Reimbursement

Following are some of the items which have previously been determined as not eligible for reimbursement:

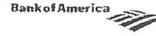
- Tee shirts for all employees...not part of a performance recognition program
- Food prior to or at the conclusion of a meeting
- Food and refreshments for "Open House"
- Christmas and Thank You cards
- Christmas decorations not used in a public lobby
- Flowers for deceased employees or family members; or secretaries day

I think from the above list you can get a good idea of the types of things which **should not** be purchased with public funds.

Please distribute this IOC to the individuals you deem appropriate.

c:   Winning  
      Busack  
      Morrison  
      District Fiscal Officers  
      file

**Commercial Card  
Statement of Disputed Item**



Instructions: Your company should first make good faith efforts to settle a claim or dispute for purchases directly with the merchant. If assistance from Bank of America is required, please complete this form and fax with required enclosures within 60 days from the billing close date to:

Company Level Support  
State of Ohio Account Specialist  
757-823-7473

Gov/Agency Name: \_\_\_\_\_  
Account Number: \_\_\_\_\_  
Cardholder Name: \_\_\_\_\_

This charge appeared on my statement:

Billing close date: \_\_\_\_\_  
Transaction date: \_\_\_\_\_  
Reference Number: \_\_\_\_\_  
Merchant Name: \_\_\_\_\_  
Merchant Location: \_\_\_\_\_  
Po te Amount: \_\_\_\_\_  
Disputed Amount: \_\_\_\_\_

\*\*\*\*Please check only ONE of the following\*\*\*\*

- Unauthorized Transaction**  
I did not authorize, nor did I authorize anyone else to engage in this transaction. No goods or services represented by the above charge were received by me or anyone I authorized. The card was in my possession at the time of the transaction.
- Charge Amount Does Not Agree With Order Authorizing The Charge**  
The amount entered on the sales slip was changed from \$\_\_\_\_\_ to \$\_\_\_\_\_. I have enclosed a copy of the unaltered sales slip.
- Merchandise or Services Not Received**  
I have not received the merchandise or services represented by the above transaction. The expected date of delivery or services was \_\_\_\_\_. (On your business letterhead, please describe your attempt to resolve this matter with the merchant, the date(s) you contacted them and their response).
- Disputed Transaction**  
I did engage in the above transaction, which I am now disputing. I have contacted the merchant, but I have been unable to return the merchandise and/or I have been unsuccessful in reaching an acceptable resolution with them. (On your business letterhead, please describe your attempt to resolve this matter with the merchant, the date(s) you contacted them and their response).
- Defective or Wrong Merchandise**  
I returned the merchandise on (date) \_\_\_\_\_ because it was:(please choose one):  
\_\_defective \_\_wrong size \_\_wrong color \_\_wrong quantity
- Recurring Charges After Cancellation**  
On \_\_\_\_\_ (date), I notified the above merchant to cancel our monthly/yearly agreement. Since then, my account has been charged \_\_\_\_\_ time(s). (Please enclose a copy of the merchant's response to confirmation of your confirmation of your cancellation).
- Items Charged Already Paid by Other Means**  
I already paid for the goods and/or services represented by the above charge by means other than my card. (We must have a copy of the front and back of the canceled check, money order, cash receipt, credit card statement, or other documentation as proof of purchase/payment. On your business letterhead, please describe your attempt to resolve this matter with the merchant, the date(s) you contacted them and their response).
- Credit Appears as a Charge**  
The enclosed Credit Voucher appeared as a charge on my card account.
- Credit From Merchant Not Received**  
I did not receive credit for the enclosed Credit Voucher within 30 calendar days from the date it was issued to me by the merchant shown above.
- Hotel Reservation Canceled**  
I did make a reservation with the above hotel which I then canceled on \_\_\_\_\_ (date) at \_\_\_\_\_ (time). At that time, I asked for a cancellation number which is \_\_\_\_\_. (Please check one if applies):  
\_\_ I was not given a cancellation number  
\_\_ I was not told at the time that I made the reservation that my account would be charged for a "No Show"
- Double or Multiple Charges**  
My account has been doubled charged. The first charge appeared on my \_\_\_\_\_ (date) billing.

Cardholder's Name (Printed) \_\_\_\_\_ Cardholder's Signature \_\_\_\_\_ Date \_\_\_\_\_ Phone Number \_\_\_\_\_

Fax to: 502-597-2960-Commercial Card Services

**CHAPTER 11****Quotes for Supplies and Materials**

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In this Chapter look for:

- ✓ Control limits
  - ✓ Quote limits
  - ✓ Hosting Meetings/Seminars
  - ✓ Employee Awards
  - ✓ Subscriptions
  - ✓ Release and Permit
  - ✓ Real Estate limits
  - ✓ Pre-approval Requirement- **Warning: Cannot use Debit Voucher**
  - ✓ W-9/Vendor Master Input Document (VMI)/OBM Letter
  - ✓ Emergency defined
- 

**I. Overview**

Direct purchasing includes purchases with EDI, payment card, debit voucher, or a purchase order with obtained quotes.

When utilizing the above purchasing methods, review of proper purchasing guidelines are required. If guidelines are not followed, purchase order requests will not be approved, invoices will not be paid, and/or the purchaser could become personally liable for paying the vendor.

**II. Purchasing Control Limit Guidelines**

To determine if the vendor has reached the \$50,000 spending limit for supplies and personal services or the \$75,000 limit for Real Estate Leases, access the accounting system or contact your District/Central Office Accounting Office. Web Site address for vendors approaching and/or exceeding the \$50,000 spending limit: [http://intranet.dot.state.oh.us/finance/payment\\_card\\_system.htm](http://intranet.dot.state.oh.us/finance/payment_card_system.htm). If the vendor has reached either of these limits and you still wish to purchase from this vendor, you MUST request the purchase go to the Office of Contracts for bid or Controlling Board for approval before proceeding (ORC Section 127.16). The Controlling Board number must be entered into APS in order to bypass control edit rejects. NOTE: THE AMOUNT SPENT WITH CONTROLLING BOARD APPROVAL DOES NOT COUNT TOWARD THE VENDOR LIMITS LISTED ABOVE.

If the vendor **has not** reached the spending limits as previously mentioned, then proceed with the following guidelines.

For each purchase, determine if the item is for supplies, personal service, or real estate leases.

- A. If a supply item (supplies - means all property, including but not limited to rental, lease, or purchase of equipment, materials, and insurance)
1. Obtain quotes using letterhead quote form:  
<http://intranet.dot.state.oh.us/finance/Manuals/Accounting/Quotform/quotform.gpw>

Total Amount Purchased	No. of Quotes	Type
\$0 to \$500.00	1 quote	Debit voucher, payment card or EDI
\$500.01 to \$1,000.00	1 quote	Purchase order, payment card or EDI
\$1,000.01 to \$2,500.00	2 quotes	Purchase order, EDI, or approval from District/Central Office Payment Card Administrator
\$2,500.01 to \$31,300.00	3 quotes	Purchase order or EDI
\$31,300.01 and above	CO, Contact Office of Contracts, Purchasing Services	

B. Hosting Meetings/Seminars

Verify the object code by referencing the accounting object code manual.

<http://intranet.dot.state.oh.us/finance/Manuals/Accounting/Object%20Code%20Manual.pdf>

Following are the required documentation to process the invoice for payment:

1. An agenda
2. A list of attendees is required unless the meeting is for an entire district or the Central Office. An ODOT hosted meeting involves an entire District or Central Office, a list of attendees is not required, however please state either: "entire District function" or "entire Central Office function" in your IOC (item 3 below).
3. The purchase of food and refreshments is authorized as part of a special meeting or conference. When submitting an invoice for payment you need to provide copy of prior approval by a Deputy Director (or designee), a list of attendees, an agenda, and a statement that the food was an integral part of the meeting. (refer to page 8-9 for IOC)
4. An itemized invoice listing the services and/or food that was involved. Banquet charges must be listed.
5. If lodging is to be reimbursed at current rate or less, then use object code 230-07 for in-state and if lodging is over current rate then use object code 230-08 for conference lodging.

C. Employee Awards

See IOC page 8-10

Object Code 130 - see appropriate sub-object

Object Code 131

Following are the required documentation to process the invoice for payment:

1. Itemized original invoice
2. An approval IOC from your Deputy Director
3. If the entire District or Central Office is receiving an employee recognition award, then use the allocation plan provided by your fiscal officer. Otherwise, provide a list of employee names and indicate whether they are bargaining or non-bargaining unit employees.
4. Awards over \$25.00, employees social security number must be provided.

## D. Subscriptions

The following is required by State Accounting for purchasing subscriptions:

1. Subscriptions can only be paid for one year or less.
2. You must submit a copy of the subscription order form.
3. Subscriptions must be ODOT only, do not use person's name, only title.

## E. Release and Permit

ODOT requests a Release and Permit number once each biennium from DAS/ State Purchasing for the purchase of specific supplies, materials and services necessary for construction and maintenance of state highways. Without this release and permit we would be required to make all our competitive bid purchases through State Purchasing or the Controlling Board.

F. Give potential contractors/vendors a **clear definition/description** of the item you want them to quote on.

1. Where compatibility is required, you may quote a "brand name", but you must add the following statement "or approved equal"
2. If compatibility is **not** essential/required, you must **provide** an open specification to be quoted.
3. Questions concerning these guidelines should be addressed to the Central Office/District Purchasing Specialist or Office of Contracts/Purchasing Services Section.

## G. Award goes to the lowest responsive and responsible bidder.

## H. Information regarding quotes available to vendors.

1. Clarification of specifications is a legitimate question and can be answered.
2. Questions regarding other vendors bids or bid amounts must not be addressed until a vendor has been selected and the purchase has been completed.

## I. ODOT is legally mandated to set aside 15% of the total goods and services purchased to DAS certified minority vendors.

## J. If for personal service contract (services - means the furnishing of labor, time, or effort by a person, not including the delivery of a specific end product other than a report which, if provided is merely incidental to this required performance.)

1. No more than \$49,999.99 for each single purchase. For Personal Service over \$500 see Chapter 13.
2. A single purchase equal to or exceeding \$50,000 must be bid or a Release and Permit number assigned by DAS, so that Controlling Board approval may be obtained.
3. The Release and Permit number assigned by DAS must be entered into APS to bypass control edit.
4. No ODOT employee is authorized to sign any document that binds the Department contractually other than those employees provided signature authority in writing by Chief Legal Counsel.

K. If for Real Estate (leases of real property. This does not include land or permanent interest in land.)

1. A \$75,000 limit for all rental/lease contracts.

2. Contracts must be reviewed by Chief Legal Counsel.
3. A single purchase over \$75,000 must be bid or a Release and Permit number assigned by DAS.
4. The Release and Permit number assigned by DAS must be entered into APS to bypass control edit.

### III. Pre-Approvals - **WARNING: cannot use debit voucher**

The pre-approval system was created by DAS to provide an additional level of review and approval for specific items. These items are identified in your object code listing manual.

<http://intranet/finance/Manuals/Accounting/Object%20Code%20Manual.pdf>

Some examples are: computers, telecommunications, copiers, vehicles, and radios. Pre-approval numbers are required on the purchase order when processing.

Pre-Approvals may be obtained from the following DAS Divisions:

- A. **For computer equipment, data processing services, and telecommunications** needs, contact the ODOT Division of Information Technology (614)466-3553;  
<http://intranet.dot.state.oh.us/socc/default.asp>
- B. **For vehicles**, the ODOT Office of Equipment and Support Services (614) 351-2827;  
<http://intranet.dot.state.oh.us/oess/>
- C. **Copiers**  
Upon acceptance of request, a Pre-Approval Number will be assigned to pay for approved equipment. Standard purchasing procedures must be followed. The Pre-Approval Number must be entered on Requisition/Purchase Order. Agencies can review Pre-Approval Numbers through CAS inquiry QPREA01.

### IV. W-9, OBM Letter

A vendor must be in the Central Accounting System (CAS) and ODOT Accounting System before a purchase can be made. If you do not have access to CAS or cannot find the vendor in the ODOT Accounting System, contact your District or CO accounting office.

- A. Check CAS for the vendor by the name in QVNAME01 or by Federal Tax Identification number QVNDR01. If you do not have access to CAS, then you should check the ODOT Accounting system (CICSPRD1),
  - select option # 6 (vendor system) from the main menu,
  - select option #1, if you have the tax ID# or
  - select option 4 to search by name.
- B. If the vendor is in CAS and not ODOT Accounting, call Office of Accounting, Fiscal Support Section.
- C. If the vendor is not in CAS or ODOT Accounting Vendor System, a W-9 Federal Form, <http://www.irs.gov/pub/irs-pdf/fw9.pdf>, must be sent to the vendor to be completed and returned to the District Accounting or Central Office Fiscal Support Section.

Vendors will not receive payment unless a correctly completed W-9 is entered and sent to OBM to be added to CAS and ODOT systems. The VMI (Vendor Master Input) procedures that are listed below take into account that the completed W-9 has been sent to District/ Central Office Fiscal Support Section for processing:

- A. District or Central Office of Accounting receives the W-9 document for processing:
  1. Check W-9 Form for:
    - a. Correct issued date--forms dated prior to Jan. 2002 are unacceptable

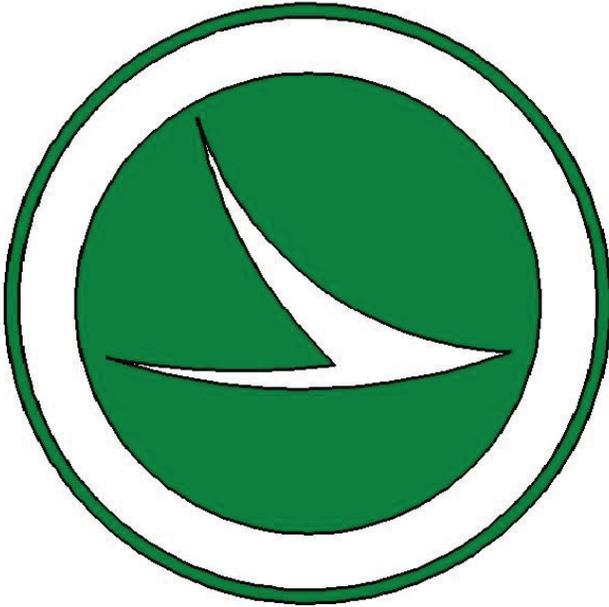
<http://www.irs.gov/pub/irs-pdf/fw9.pdf>

- b. **Original signature is mandatory**
  - c. Vendor's status completed
  - d. No alterations on W-9
- B. Adding a new Vendor and Subsidiary in the system at the same time:
1. One W-9 with parent company name only.
  2. One W-9 with subsidiary, name only.
  3. Put same Vendor Number on both forms.
  4. OBM will assign a number for the S1, S2, S3, etc., to replace the first two digits of the parent Company's number. All other numbers with the tax ID will be the same.
  5. An IRS label that displays both names can be used in lieu of a W-9 and is actually more acceptable to OBM.
  6. Entered on-line by District or Central Office Accounting Personnel.
- C. Adding just a subsidiary Vendor.
1. One W-9 with subsidiary name only.
  2. Entered on-line by District or Central Office Accounting Personnel.
- D. Adding a Sole Proprietor.
1. Show the individual's name on the top line of W-9 and the business name on the next line.
  2. When entering on-line show the business name on the top line and the individual's name on the next line.
- E. When adding a vendor with a P.O. box and street address, only one will be added. The P.O. box takes precedence over the street address, and additional on-line entry must be used.
1. Show street address on one AC01.
  2. Show P.O. box on one AC02.
- F. When making a change to an existing Vendor Number already in the system, e.g, adding a subsidiary or an address or replacing an address, enter on-line.
- G. When adding an address code to a Vendor, or a subsidiary, the documentation required is an invoice or a letter from the Vendor. No other documentation will be accepted.
- H. If a new vendor is being added, check IMSCAS QVNDR05 to make sure the vendor number or name are not in the system.
1. Check IMSCAS QVNAM01 to make sure the name is not currently in the system with a different Vendor Number. Any discrepancy requires documentation from the Vendor.
  2. Or, if additional documentation is needed, e.g, "L" in the W-9 field showing a letter was sent to the company requesting additional information, or, "B" notice requiring IRS label. Do not process form.
- I. If modifying a current Vendor, check IMSCAS QVNDR05 to make sure request has not previously been processed.
- J. Return any incomplete/incorrect forms to vendor, using attached VMI return.

**V. District/Division declares an Emergency as defined under OAC 123:5-1-01 (G)**

*Emergency Condition means a situation which creates a threat to public health, welfare, safety, which may arise by reason of epidemics, riots, equipment failure or such other reasons as may be proclaimed by the governor; or which interrupt the operation of production facilities maintained by Ohio Penal industries in its program for employment of prisoners.*

- Poor planning does not constitute an emergency.
- Refer to ODOT Emergency Purchasing Procedures IOC on page 10-9.



***Ohio Department of Transportation***  
***Quote Guidelines***

*Division of Finance and Forecasting*

*Effective 10/01/09*

*Version 1.5*

*The Department of Transportation is committed to purchasing in complete accordance with Ohio Revised Code, Administrative Code, and State of Ohio directives and policies, as well as strict ethical standards. To this end, all Department of Transportation personnel who purchase on behalf of the Department are obligated to avoid conflicts of interest and perceived conflicts of interest in the procurement of goods and services. To avoid conflicts of interests, a documented quote process is necessary. It is the policy of the Department to obtain competitive price quotations or bids. Requests to vendors are conducted in a manner that provides, to the maximum extent possible, open and free competition. Purchasing of goods and services are determined solely on the merits of each transaction. Value to the State of Ohio is the overriding factor when choosing a vendor through a documented quote process.*

*The purpose of this manual is to provide guidance and information regarding the Department's direct purchasing authority specific to quotes. At this time, this manual does not cover quotes for IT (technology) purchases.*

**Effective July 1, 2009 changes were made to the ODOT (Ohio Department of Transportation) quote process in order to comply with Executive Order 2008-12S. Additionally this incorporated new processes implemented relating to the Inspector General's Report 2007-100 which identified areas of concern regarding purchasing practices.**

In the past, our purchasers had the ability to use their direct purchase authority (non-contract) to purchase up to \$50,000.00 per vendor per fiscal year. Effective July 1, 2009 the process will change to reflect the following.

Pursuant to **Executive Order 2008-12S**.....

*State Agencies that purchase supplies or services are to post all state contract opportunities exceeding \$25,000.00 and all of their current contracts exceeding \$25,000.00, on the Ohio Business Gateway procurement portal.... [www.obg.ohio.gov](http://www.obg.ohio.gov)*

If you have any questions regarding this guidance, please contact both Agency Purchasing Officer Contacts via e-mail.

**Administrator of the Office of Contracts – Thomas P. Pannett**

[Tom.pannett@dot.state.oh.us](mailto:Tom.pannett@dot.state.oh.us)

And

**Administrator of the Office of Accounting – Therese Dyer**

[Therese.dyer@dot.state.oh.us](mailto:Therese.dyer@dot.state.oh.us)

**Intentional violations of this guidance will result in disciplinary action up to and including termination.**

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**Quote Requirements**

*This table will replace any information previously published regarding quote information*

<b>Direct Purchasing</b>		
<b>Quote Requirements/Payment Types</b>		
<i>Dollar Amount</i>	<i>Quotes</i>	<i>Payment Type</i>
<b>\$0 to \$999.99</b>		<b>Debit Voucher, Purchase order, EDI or Payment Card</b>
<b>\$1,000.00 to \$2,499.99</b>	<i>2 quotes required Must have Fiscal Officer approval, prior to purchase.</i>	<b>Purchase order, EDI or Payment Card</b>
<b>\$2,500.00 to \$9,999.99</b>	<i>3 quotes required Must have Fiscal Officer approval, prior to purchase.</i>	<b>Purchase Order or EDI</b>
<b>\$10,000.00 to \$24,999.99</b>	<i>3 quotes required Must have Fiscal Officer approval, prior to purchase. Must have CO Office of Accounting Administrator and Administrator of Office of Contracts approval, prior to purchase.</i>	<b>Purchase Order or EDI</b>
<b>\$25,000.00 to \$49,999.99</b>	<i>Requires Bid Must send specifications to Office of Accounting Administrator and Office of Contract for bid requirements</i>	<b>Purchase Order or EDI</b>
<b>Vendor Limits</b>		
<b>\$50,000.00 per vendor for supplies and personal services if non-contract or non-Controlling Board purchase. If going to Controlling Board, quotes or sole source justification must accompany all other required documentation.</b>		
<b>\$75,000.00 per vendor for Real Estate leases</b>		

- Use of the quote request form is mandatory.
- The quote request form is to be completed by ODOT (Ohio Department of Transportation) employees who are authorized to request quotes from vendors for equipment, parts materials, or services for ODOT. Sending quotes on the ODOT quote form ensures that all vendors are provided the same specifications to quote and there is consistency for all vendors.
  - The data entry tab provided in the quote form spreadsheet will assist in the completion of the quote form electronically. The data entry tab is required to ensure that all required fields are completed.
- In order for the quote request form to be sent out, all required fields must be populated. The quote request form must be sent via e-mail or printed and sent to vendors via paper fax or certified US Mail.
  - Acceptable responses to quote request:
    - Original quote request form;
    - Company letterhead;
    - Response that came from legitimate vendor and is approved by Fiscal Officer (Districts) or Central Office Administrators (Divisions);
    - On-Line Pricelists that display a date and vendor website

**Fiscal Officers are required to review and approve quote prior to purchase.**

- Validity of the quotes;
- Required number of quotes have been obtained;
- Ensure quoting like items ;
- Required documentation is on file at District Finance office and readily available for review upon request.

Any Type Code 3 or 13 Requisition quotes over \$10,000.00 require approval by Office of Finance, Accounting Administrator or Office of Contracts Administrator.

Only the items listed on the quote can be purchased using the quote.

For all non-contract purchase of \$25,000.00 and above, the specifications must be sent to the Office of Contracts for review. The Office of Contracts will evaluate the need to create a Request for Purchase or other formal contract document and will post the opportunity to the DAS website [www.obg.ohio.gov](http://www.obg.ohio.gov) for the appropriate period and will be responsible for selecting the awarded vendor.

- If quotes are returned and are over \$25,000.00 threshold, they must be rejected and the Office of Contracts should be contacted to assist with the purchase.
- Do Not split projects or purchases to circumvent procedure as it may lead to Disciplinary Action.

Long term, the goal is to have all quotes posted for vendors electronically. Once quotes are all posted electronically, the quote is to be uploaded to the ODOT purchasing web site.

**The original quotes, including confirmation for non-responsive vendors, must be kept with the Purchase Order and/or payment card logs at the District Fiscal Office/Central Office of Accounting per records retention schedule.**

All quotes reviewed by the district will be initialed or signed by the District Fiscal Officer, or designee in Fiscal Officer's absence, indicating the documents have been reviewed and approved.

**The original quotes, including confirmation for non-responsive vendors, must be reviewed by the District Fiscal Officer prior to purchasing, regardless of amount.**

## Quote Guidelines

Listed below, are the guidelines for a successful purchase using the ODOT Quote process.

### DO....

#### Use the mandatory ODOT Quote Form

- Use of the ODOT quote request form is mandatory. The form can be found at: <http://portal.dot.state.oh.us/Divisions/Finance/Pages/Online%20Forms.aspx>
- **Clearly define the items or scope of work & quote like items and quantities – specifications must be exact for each vendor**
- Purchasers must provide detailed information to ensure all vendors are quoting the same item and/or service.
- Break down labor, materials and any other miscellaneous charges.
- Do not request lump sum quotes.

#### Ensure vendor completes signature and dates fields.

- Signature and printed name are required for quote to be accepted
- Must be able to clearly read the vendor's printed name

#### Notify parties of the outcome

- If quoting vendors inquire about the status of the quote, no information can be shared until after the vendor has been selected.
- A good business practice is to inform a vendor that you may have used for a long period of time if they **do not** win the current quote.
  - This notification will avoid a situation where the old vendor continues providing the service, as they assume they won the current quote, and were not notified otherwise.
- Vendors may now be told of the winning quote verbally, if they initiate the request.

### DO NOT....

#### Do Not obtain Verbal quotes!

- Request for quote must be on quote form.

#### Do not guide a purchase in any way that may be viewed improperly

**Do not obtain quotes from Family or Friends**

- If you have a concern about a conflict of interest, please contact Central Office Accounting.

**Do not obtain quotes after the fact (purchase) as they are not legitimate**

- Districts or Divisions may require a Letter of Exception be signed by the Deputy Director to document the situation. These letters will be kept on file with the purchase order or payment card log per records retention schedule.

**Do not quote brand specific items**

- When defining specifications avoid brand specific items.
  - If a brand name is identified in the quote specifications language “or approved equivalent” must be included.
  - An exception for quoting brand specific items is when the use of a different brand will void a warranty on the original equipment or product.
  - When quoting OEM (Original Equipment Manufacturer) or Non-OEM parts, each vendor should be asked to provide the same parts– either OEM or non-OEM.

**Do not pay a fee for quotes**

- Fees for quotes are very uncommon, but if it does occur, contact the Office of Accounting for guidance.

**Do not help the vendors complete the quotes**

- Quote request form must be created by ODOT and be sent out to vendors to quote prices.
  - Vendor must complete the response.
- Do not change quotes. Any quotes that display evidence of change after submission will not be considered as a valid quote.

**Do not obtain quotes from vendors when quotes will put the vendor over the \$50K limit.**

- Payment card purchases do apply to the vendor’s \$50K limit. The \$50K update is sent weekly to all active Paycard holders and District/Central Office Fiscal Officers.
  - Paycard purchases are **NOT** included in the Appropriation Accounting vendor limits.
  - **It is mandatory to review \$50K list prior to purchasing.** The \$50K list can be found on the Accounting website.

- The Accounting system will provide the \$50K limits, but **does not** include the payment card purchases, since they are made to US Bank, rather than the vendor.
- Quotes cannot be obtained from vendors that have reached their \$50K spending limit for a single vendor or a corporate family. These quotes are not legitimate. New quotes will need to be obtained.
- Do Not mix contract and non-contract items on quotes for a vendor already on the \$50K list or when the quote will put the vendor over the \$50K list.
- Should quotes be obtained and the vendor is placed on the \$50K list before the requisition is entered, please call Central Office Purchasing Manager for approval **before** selecting a vendor.

#### **Do Not Quote Subsidiaries**

- ***Subsidiaries Defined***

*Do not quote vendors having potential corporate family relationships. If you are aware of vendor subsidiaries or any other vendor relationships, please inform the Administrator, Office of Accounting and/or Administrator, Office of Contracts to verify.*

#### **Do Not Share Quotes**

- Quotes are one time use only for a specific purchase at a specific location.
  - They cannot be shared between or within districts.

#### **Do Not Copy Contract Language**

- Purchasers cannot copy Office of Contract or DAS information or use contract language for a quote to circumvent the 10 day contractual bid process. This would be considered a “bid-like” quote, and is not permissible. If a contract needs to be bid, contact Office of Contract Administration. If a personal service agreement or maintenance agreement is necessary, contact the Office of Chief Legal Counsel.

## Minority Business Enterprise Quotes

### Quoting MBE Vendors and Non MBE Vendors per Equal Opportunity Division (EOD)

#### Guidelines:

- To receive the MBE Set Aside, all vendors quoted must be MBE certified by the Ohio EOD.
- To receive MBE Participation, quotes can be obtained from MBE & Non-MBE vendors.
- Participation – May quote MBE and non-MBE vendors, to obtain participation credit per EOD FY09.
- 10% threshold will apply for quoting MBE & Non-MBE vendors (MBE Participation).
  - An MBE Vendor can be selected for award when the quote from the MBE vendor is the lowest quote or if they are no more than 10% higher than the lowest quoting vendor to obtain MBE credit. In the event they are not the lowest quote, Districts have the discretion to use the MBE vendor when higher than lowest quote. *(A rule of thumb is that it would be acceptable for them to be 10% higher)* Justification needs to be included in the comments of the requisition or Paycard/EDI comment screen.

The Office of EOD is currently including both MBE set-aside and MBE participation in the 15% calculation of the Department's MBE goal.

## **Instructions per Specific Type of Quote**

### **Parts, Materials and Equipment**

For quotes, the requestor is to include the OAKs Vendor ID and OAKs Vendor Address.

- When quoting a vendor who is new or who is inactive in OAKs – completed required OBM vendor forms must be submitted with the quote. As forms are received they must be submitted to OBM. Comments must be added to the requisition or payment card comments screen indicating when vendor forms were submitted to OBM.

The quote response deadline should be seven business days after the date the quote is sent to the vendors. Shorter or longer deadlines must be approved by the District Fiscal Officer or Division Administrator prior to the quote request being sent out.

- Quotes cannot be used if expired prior to purchase or entry of requisition.
  - Exception - If expired, due to OIT R & P or Equipment Waiver, contact vendor and ask to verify in writing that the quotes are still valid and will be honored.
    - Keep on file with quote.

When the equipment, parts and/or materials ordered are going to multiple locations, all the locations must be listed on the quote form.

- All shipping should be F.O.B. destination unless the vendor specifies otherwise in the quote.
- If the quote applies to an STS contract the STS contract language for shipping applies.

If the vendor's response is to include core charges/part deposit, that charge must be indicated on the quote. If it is not indicated and the vendor's quote includes core charges, the vendor's quote may be disqualified.

All fields in the description area are required. The quote must include:

- Quantity;
- unit of measure;
- clear description for it to be considered a valid quote;

If a vendor has a question or comment regarding a quote, all vendors invited to quote must be notified of the question and/or comment and be included in the response.

The purchase order should be issued no more than 30 calendar days after response deadline.

## Services

For quotes, the requestor is to include the OAKs Vendor ID and OAKs Vendor Address.

- When quoting a vendor who is new or who is inactive in OAKs – completed required OBM vendor forms must be submitted with the quote. As forms are received they must be submitted to OBM. Comments must be added to the requisition or payment card comments screen indicating when vendor forms were submitted to OBM.

The quote response deadline should be seven business days after the date the quote is sent to the vendors. Shorter or longer deadlines must be approved by the District Fiscal Officer or Division Administrator prior to the quote request being sent out.

- Quotes cannot be used if expired prior to purchase or entry of requisition.
  - Exception - If expired, due to OIT R & P or Equipment Waiver, contact vendor and ask to verify in writing that the quotes are still valid and will be honored.
    - Keep on file with quote.

When the services ordered are going to be provided to multiple locations, all the locations must be listed on the quote request form.

- All shipping should be F.O.B. destination unless the vendor specifies otherwise in the quote.
- If the quote applies to an STS contract the STS contract language for shipping applies.

If the vendor's response is to include core charges/part deposit, that charge must be indicated on the quote. If it is not indicated and the vendor's quote includes core charges, the vendor's quote may be disqualified.

All fields in the description area are required. The quote must include:

- A complete description of service needed;
- The duration and frequency of service;
  - frequency (i.e. 2 fire extinguishers to be tested monthly)
- Make and model of item being serviced if applicable;
- Labor Costs;
  - Terminology should match what will be invoiced.

Rentals should be quoted by duration

- Daily rates;
- Weekly rates;
- Monthly rates.

Should the service require specific certification or licensing, the quote must detail this requirement, and include a request to the vendor for verification.

If a vendor has a question or comment regarding a quote, all vendors invited to quote must be notified of the question and/or comment and be included in the response.

The purchase order should be issued no more than 30 calendar days after response deadline.

### **Sole Source**

***Sole Source defined*** - a purchase made without competition, when competition is otherwise required, based on a determination that there is only one Vendor who can meet the Department's requirements. The Fiscal Officer or Purchasing Specialist must determine the process used to document sole source.

*Although a vendor may have been identified in the past as a sole source vendor, for a particular commodity or service, it is now necessary to quote sole source vendors each fiscal year, to ensure that no other vendors can provide the service or commodity.*

For quotes, the requestor is to include the OAKs Vendor ID and OAKs Vendor Address.

- When quoting a vendor who is new or who is inactive in OAKs –completed required OBM vendor forms must be submitted with the quote. As forms are received they must be submitted to OBM. Comments must be added to the requisition or payment card comments screen indicating when vendor forms were submitted to OBM.

The quote response deadline should be seven business days after the date the quote is sent to the vendors. Shorter or longer deadlines must be approved by the District Fiscal Officer or Division Administrator prior to the quote request being sent out.

- Quotes cannot be used if expired prior to purchase or entry of requisition.
  - Exception - If expired, due to OIT R & P or Equipment Waiver, contact vendor and ask to verify in writing that the quotes are still valid and will be honored.
    - Keep on file with quote.

When the equipment, parts, services and/or materials ordered are going to multiple locations, all the locations must be listed on the quote request form.

- All shipping should be F.O.B. destination unless the vendor specifies otherwise in the quote.

If the vendor's response is to include core charges/part deposit, that charge must be indicated on the quote. If it is not indicated and the vendor's quote includes core charges, the vendor's quote may be disqualified.

All fields in the description area are required. The quote must include:

- Quantity;
- Unit of measure;
- Clear description.

To be considered a valid quote all of the above mentioned must be on the quote request form.

If a vendor has a question or comment regarding a quote, all vendors invited to quote must be notified of the question and/or comment and be included in the response.

The purchase order should be issued no more than 30 calendar days after response deadline.

**True Sole Source should be a very infrequent situation.**

Sole Source examples:

- Items that must be compatible with existing equipment and is only provided through the original manufacturer or one assigned representative;
- Items for which no competition exists due to copyright or patent;
- Subscriptions available from only one provider.

**Non- Contract Blanket**

***Non-Contract Blanket defined - Items ordered multiple times throughout the calendar year or fiscal year for which an individual purchase would require quotes. Examples include: concrete, pipe, non-contract aggregate, sand.***

For quotes, the requestor is to include the OAKs Vendor ID and OAKs Vendor Address.

- When quoting a vendor who is new or who is inactive in OAKs – completed required OBM vendor forms must be submitted with the quote. As forms are received they must be submitted to OBM. Comments must be added to the requisition or payment card comments screen indicating when vendor forms were submitted to OBM.

The quote response deadline should be seven business days after the date the quote is sent to the vendors. Shorter or longer deadlines must be approved by the District Fiscal Officer or Division Administrator prior to the quote request form being sent out.

- When quotes expire prior to processing a purchase order, due to equipment waiver delays, the quotes may still be used, as long as the vendor will honor their prices past the deadline.

When the equipment, parts, services and/or materials ordered are going to be provided to multiple locations, all the locations must be listed on the quote request form.

- All shipping should be F.O.B. destination unless the vendor specifies otherwise in the quote.

If the vendor's response is to include core charges/part deposit, that charge must be indicated on the quote. If it is not indicated and the vendor's quote includes core charges, the vendor's quote may be disqualified.

The expected parameters of the Non-Contract Blanket Purchase Order must be identified in the request for quote description. Include the following:

- Duration;
- Frequency.

All fields in the description area are required. The quote must include:

- Quantity; or dollar amount if quantity is not known.
- Unit of measure;
- Clear description.

To be considered a valid quote all of the above mentioned must on the quote request form.

Non-Contract Blanket Quotes are used for multiple purchases of the same commodity.

Non-Contract Blanket quotes must follow appropriate quote threshold requirements.

Non-Contract Blanket quotes can be valid for either:

- 12 months with no dollar specification, allowing spending up to \$50K allowance for the vendor;
- Up to a specific dollar amount as indicated on the quote.
  - Quotes can not be requested or used for more than a 12 month period, unless for a Personal Service Agreement, since they can be for two years.

Modifications cannot be entered that exceed the original quote threshold.

Purchase orders for Non-Contract Blanket quotes can be cancelled at any time.

Only the items listed on the quote can be purchased using the non-contract blanket quote.

When vendors add additional items, new quotes will be required.

- If the vendor added an additional item that was not requested and is not needed, ask the vendor to re-quote without that particular item.

In the situation that other vendors become available to quote, the district has the option to obtain a new quote to include this new vendor(s) while, including all previous quoting vendors.

If a vendor has a question or comment regarding a quote, all vendors invited to quote must be notified of the question and/or comment and be included in the response.

The purchase order should be issued no more than 30 calendar days after response deadline.

### **Tear Downs**

***Tear Down defined*** - a vehicle or piece of equipment must be sent to a vendor's facility to be dismantled in order to assess the damage and determine the cost of repair.

For quotes, the requestor is to include the OAKs Vendor ID and OAKs Vendor Address.

- When quoting a vendor who is new or who is inactive in OAKs – completed required OBM vendor forms must be submitted with the quote. As forms are received they must be submitted to OBM. Comments must be added to the requisition or payment card comments screen indicating when vendor forms were submitted to OBM.

The quote response deadline should be seven business days after the date the quote is sent to the vendors. Shorter or longer deadlines must be approved by the District Fiscal Officer or Division Administrator prior to the quote request form being sent out.

- Quotes cannot be used if expired prior to purchase or entry of requisition.
  - Exception - If expired, due to OIT R & P or Equipment Waiver, contact vendor and ask to verify in writing that the quotes are still valid and will be honored.
    - Keep on file with quote.

Using the quote request form, obtain a quote from the chosen vendor and set up a Purchase Order for the quoted amount or request vendors quote their labor rate, parts discount from list or mark-up to cost, towing fees or travel charge. When quoting parts pricing, be sure in each quote request, all vendors for that request are quoting either mark-up on cost, or discount from list – not a combination of both.

- It is not necessary to obtain multiple quotes from other vendors completing a physical tear-down of the equipment based upon additional fees that would be incurred after researching the mechanical issue.
- It is important that the choice of vendor be made upon some research for the lowest responsible cost.
  - Understanding the labor rate for local vendors would be helpful in identifying the lowest responsible cost.
  - Purchase order must be issued before work is performed when Payment Card cannot be used.

- At the point it is determined additional work may be needed, the vendor must supply a detailed breakdown of additional costs and a modification for the additional work should be entered immediately before the work can be done.
- Choosing the same vendor for each tear down would not be acceptable unless there was documentation stating why the chosen vendor has the lowest responsible cost.

### **StateTerm Schedule (STS) Contract**

For quotes, the requestor is to include the OAKs Vendor ID and OAKs Vendor Address.

- When quoting a vendor who is new or who is inactive in OAKs – completed required OBM vendor forms must be submitted with the quote. As forms are received they must be submitted to OBM. Comments must be added to the requisition or payment card comments screen indicating when vendor forms were submitted to OBM.

The quote response deadline should be seven business days after the date the quote is sent to the vendors. Shorter or longer deadlines must be approved by the District Fiscal Officer or Division Administrator prior to the quote request being sent out.

- Quotes cannot be used if expired prior to purchase or entry of requisition.
  - Exception - If expired, due to OIT R & P or Equipment Waiver, contact vendor and ask to verify in writing that the quotes are still valid and will be honored.
    - Keep on file with quote.

Research contracts to be referenced, to ensure that the work is contract related.

STS Contracts must be quoted only if there are two or more vendors on the same STS contract with the required products or services.

- When there is only one vendor on an STS contract, quotes are not necessary, but better pricing can be requested.
- When there are multiple vendors on an STS contract, vendors must be quoted, per the quote threshold requirements.
- ODOT considers only the vendors on the STS contract, rather than the entire index for review.
- STS & Non-STS vendor quotes may be mixed for best pricing, when purchase will be under \$25k
  - \$25k and above, will need to be STS vendors only, due to requirement to bid.
- Vendors are required to provide detailed quotes that can be matched to contract price list items.
- If the quote applies to an STS contract, the STS contract language for shipping cost applies to the purchase.

The detailed quote should prove that a minimum of 80% of the total cost is on the contract.

- Vendors are required to provide detailed quotes that can be matched to contract price lists.
- Additional quotes will need to be obtained, if 80% of the costs of the purchase are not the contract.

### **Payment Card**

#### **Purchases of \$2,500 or under should use Payment Card**

- If service related, vendor must be on Service Vendor list prior to purchase, to use payment card.

For quotes, the requestor is to include the OAKs Vendor ID and contact name on the comments screen.

- When quoting a vendor who is new or who is inactive in OAKs – completed required OBM vendor forms must be submitted with the quote. As forms are received they must be submitted to OBM. Comments must be added to the requisition or payment card comments screen indicating when vendor forms were submitted to OBM.

The quote response deadline should be seven business days after the date the quote is sent to the vendors. Shorter or longer deadlines must be approved by the District Fiscal Officer or Division Administrator prior to the quote request being sent out.

- Quotes cannot be used if expired prior to purchase or entry of requisition.
  - Exception - If expired, due to OIT R & P or Equipment Waiver, contact vendor and ask to verify in writing that the quotes are still valid and will be honored.
    - Keep on file with quote.

Quotes and justification for vendor selection need to be listed in the comment screen of the Paycard Voucher.

When the equipment, parts, services and/or materials ordered are going to be provided to multiple locations

- all the locations must be listed on the quote request form;
- If the quote applies to an STS contract the STS contract language for shipping applies.

If the vendor's response is to include core charges/part deposit, that charge must be indicated on the quote. If it is not indicated and the vendor's quote includes core charges, the vendor's quote may be disqualified.

All fields in the description area are required. The quote must include:

- Quantity;
- Unit of measure;
- Clear description.

To be considered a valid quote all of the above mentioned must on the quote request form.

If a vendor has a question or comment regarding a quote, all vendors invited to quote must be notified of the question and/or comment and be included in the response.

### **All or none/All items only**

All or none/All items only box -selection on the quote form, when marked, indicates that the quote is evaluated for all items quoted in total. If this box is not marked, the individual line items on a quote may be evaluated and awarded to different vendors to provide the best overall cost to the Department.

- Vendor does not have option of selecting “All or none/All items only”.

### **Equipment Waiver**

If items to be purchased have a unit cost of \$300.00 or more and are considered to be equipment, they require an Equipment Waiver or OIT Freeze Waiver. Additionally, all furniture purchases require a freeze waiver, regardless of the unit price.

- Equipment requests are sent to OBM by the Office of Accounting, Accounts Payable Manager.
- Technology requests are sent to the Office of Information Technology (OIT) at DAS by DoIT.
  - These require an Information Technology Purchase Request (ITPR) number, and OIT Release & Permit number, both provided by DoIT prior to entering the requisition.
  - OIT Waiver – Please work with the Office of IT for these situations.

### **Distribution of Request for Quotes**

The form can be e-mailed, faxed or sent via certified mail to the vendor. If faxing or emailing, keep the fax or email log to show the vendor received the faxed or email request for quotes.

In the rare instance that the quote request form(s) must be mailed to vendors, certified mail must be used. The certified mail receipt must be retained to document the vendor was given the opportunity to quote.

If e-mailing the information to the vendors, the vendor will be able to complete the quote form electronically save and return to the requester as an attachment to email.

### Frequently Asked Questions

If 2 of 3 vendors quoted are nonresponsive, yet the purchaser has documentation showing the vendors were contacted to quote; can purchase be made with one responsive vendor? ***Determination will be decided by District Fiscal Officer.***

If vendors were quoted, and one vendor hits the \$50K list between the time the original quote was requested, and the time the requisition is entered, does purchaser need an additional quote? If so, do all vendors have to re-quote, or is only one additional quote needed? ***No re-quote necessary. Cannot use if the chosen vendor has hit the \$50K list. Go to next lowest vendor noting the vendor not on the \$50K at the time of bid.***

Can quotes be accepted after the deadline for response? No. ***Quotes will not be accepted or valid after response deadline.***

### Terms & Conditions

The following Terms & Conditions will be attached to the Quote form with the following link:

<https://extranet.dot.state.oh.us/groups/purchasing/Guidance/Standard%20Terms%20And%20Conditions.doc>

### Determining the Winning Quote

ODOT reserves the right to split purchases *among low quoting vendors if the quote request was not marked All or none/All items only.*

- Vendor selection must be made within five business days of the response deadline.
- If the vendor selection is not made in this timeline, the request for quote must be resubmitted and vendors will be required to provide new quotes.

**Funds must be encumbered prior to the purchase when Payment Card or Debit Voucher cannot be used.**

After reviewing all requirements and specifications, the lowest responsible cost vendor can be awarded.

- Price cannot differ from quoted price
  - Blanket type quotes will match per line item cost quoted, but may vary in total based upon quantities ordered.

**Quote Expiration Date/Guarantee Date**

- Quotes cannot be expired prior to purchase or entry of requisition.
- If expired, due to OIT R & P or Equipment Waiver, contact vendor and ask to verify in writing that the quotes are still valid and will be honored.
  - Keep on file with quote.

### **Choosing Higher Priced Quote**

- Justify why higher priced vendor was chosen in comment screen.
  - Provide detail of lowest responsible cost.
  - Includes travel, employee time, etc.

### **When are Additional Quotes Required?**

If quoted prices come in over the dollar threshold for the number of quotes sent out, it would need to be re quoted with additional vendors contacted and sent a request for the quote.

- If the assumption was made that the purchase would be under \$2,500, and only two vendors were quoted, and both quotes came in over \$2,500, an additional quote would be required if lowest quotes was more than \$3,125. Contact Office of Accounting Administrator or Office of Contracts Administrator for determination of re-quote.
- If you have requested two vendors quote, and one vendor quoted over \$2,500, and the other quoted below \$2,500, an additional quote would not be needed, as the purchase threshold was decided by the lowest quote received.

### **Tiebreaker**

If a tie should occur in the quote prices:

- Districts to determine and justify how the tiebreaker was determined in comment screen of the requisition or payment card.
- Contact the Office of Contracts, if help is needed in a tiebreaker situation.

### **Online Pricelists**

Online Price lists can be used as quotes for goods, if this is the vendor's customary process for providing quotes.

- Purchasers should not choose online pricing based upon ease of request.
- Purchasers should not use online quotes as a means to circumvent local vendors.

### **Non Responsive Quotes**

Non-responsive quotes are quotes sent to a vendor, for which a response was not received. Documentation is required for non-responsive quotes to ensure that the vendor was provided the opportunity to quote:

- A Fax Transmittal log of fax sent to vendor.
- A Return Receipt of e-mail to sent to vendor.
- Return Receipt for certified mail.

**Central Office Accounting may review quote requests and responses at any time.**

When reviewing quotes from the vendors, the following information must be reviewed:

- Quotes were received by required deadline.
  - The receipt date is verified through fax, email and US Mail.
    - Fax header on top of faxed quote with date and time stamp;
    - Email time and date stamp as attachment;
    - Postage date and time and date stamp when received in office for mailed quotes.
  - All items in quote specification must be quoted, if All or none/All items only was selected.
  - A vendor is considered non-responsive if the vendor:
    - Cannot quote all items, on an “All or none/All items only” quote;
    - Cannot provide quoted dimensions;
    - Makes modifications on quote form.
- Quotes must be signed and dated by an authorized representative of the vendor for the quote to be valid.

If vendor responds on Vendor Letterhead:

- Verify all items match the items that were sent out on the Quote Request form.
  - If all items do not match, the quote will be considered a non-responsive or invalid and a re-quote may be necessary to meet quote expectations.

**Purchases without Proper Quotes**

- **Must have supporting documentation from the District/Central Office;**
- Letter of Exception may be required, signed by Deputy Director;
- Lack of quotes must be noted in the Comment Screen;
- All documentation must be on file in District Fiscal Office with approval by the District Fiscal Officer; as determined by the District.
- Office of Accounting/Division will retain Central Office documentation.



Myers Equipment Corporation Quotes						
Instance No.	Req. No	Requisition Date	Quote Amount	Reason Not their Quote	Winning Bidder	Myers Identified as the Highest Bidder?
1	44710	1/11/2000	\$ 4,179.00	CEO Craig Myers stated he did not know what an "SMD" stake bed is. In addition, the phone number listed on the requisition is 216-533-5556 which has not been used since 1996.	Ace Truck Equipment	Yes
2	47610	1/27/2000	\$ 4,179.00	CEO Craig Myers stated his company has never sold Knapheide equipment and as such, this was not a bid prepared by them. In addition, the phone number listed on the requisition is 216-533-5556 which has not been used since 1996.	Cross Truck Equipment	Yes
3	49420	2/9/2000	\$ 2,198.00	CEO Craig Myers stated his business does not and has never sold Thielman products and did not quote this project. It was noted the requisition did not reflect an area code.	Cross Truck Equipment	Yes
4	51660	2/25/2000	\$ 4,604.00	CEO Craig Myers reviewed the purchase order, stated he had not heard of an "Air-Flo Dump Body", and stated his company did not quote this project. In addition, the phone number listed on the requisition is 216-533-5556 which has not been used since 1996.	Ace Truck Equipment	Yes
5	53450	3/6/2000	\$ 4,822.00	CEO Craig Myers reviewed this purchase order, stated he was unfamiliar with "SMD" stake beds, and has never sold Thielman products. As such, CEO Myers stated they did not quote this project. In addition, the phone number listed on the requisition is 216-533-5556 which has not been used since 1996.	Ace Truck Equipment	Yes
6	57910	3/30/2000	\$ 12,585.00	CEO Craig Myers reviewed the purchase order and stated his business does represent the equipment quoted for this project, does not deal with District 11, and stated Myers did not quote this project.	Ace Truck Equipment	Yes
7	63840	5/3/2000	\$ 4,124.00	CEO Craig Myers reviewed the purchase order and stated his business did not sell Thielman equipment and as such did not quote this project. In addition, the phone number listed on the requisition is 216-533-5556 which has not been used since 1996.	Ace Truck Body	Yes
8	37341	1/5/2001	\$ 4,917.00	CEO Craig Myers reviewed this purchase order and stated he was unfamiliar with "SMD" stake beds, has never sold Thielman products, and that his business did not quote this project. In addition, the phone number listed on the requisition is 216-533-5556 which has not been used since 1996.	Ace Truck Equipment	Yes
9	38466	1/26/2006	\$ 6,935.00	Sales Representative Brad Myers stated this was not their quote on 9/29/2011. In addition, the address listed on the letterhead is their previous location in which they moved from approximately 10 years ago.	Ace Truck Equipment	No - middle bid; High bid submitted also fraudulent
10	38776	1/30/2006	\$ 8,322.00	Sales Representative Brad Myers stated this was not their quote on 9/29/2011. In addition, the address listed on the letterhead is their previous location in which they moved from approximately 10 years ago.	Ace Truck Equipment	No - middle bid; High bid submitted also fraudulent
11		N/A	\$ 2,024.00	On March 5, 2009, Myers Equipment Owner David Myers stated this was not a quote that Myers would have mailed from its offices. In addition, we noted this quote was faxed from Ace Truck Zanesville.	Ace Truck Equipment	Yes

Myers Equipment Corporation Quotes				
Instance No.	Trans Date	Quote Date	Quote Amount	Reason Not their Quote
12	Not entered into ODOT's Automated Purchasing System	N/A	5,407.00	Sales Representative Brad Myers stated this was not their quote. The letterhead reflects an address for a previous location which they moved from more than 10 years ago.
13	Not entered into ODOT's Automated Purchasing System	N/A	2,940.00	Sales Representative Brad Myers stated this was not their quote because they do not sell this line of equipment. The letterhead reflects an address for a previous location which they moved from more than 10 years ago.

Kaffenbarger Truck Equipment Company						
Instance No.	Req. No	Requisition Date	Quote Amount	Reason Not their Quote	Winning Bidder	K-Tec Identified as the Highest Bidder?
1	38466	1/26/2006	\$ 7,034.00	Branch Manager Rodney Swigert stated this was not the format used for their quotes and the quote was not contained in K-Tec's database.	Ace Truck Equipment	Yes
2	38776	1/30/2006	\$ 8,411.00	Branch Manager Rodney Swigert stated this was not the format used for their quotes and the quote was not contained in K-Tec's database.	Ace Truck Equipment	Yes
3	40416	2/10/2006	\$ 2,170.00	Branch Manager Rodney Swigert stated this was not the format used for their quotes and the quote was not contained in K-Tec's database.	Ace Truck Equipment	No – Middle quote amount but the high quote submitted was also fictitious
4	54356	5/17/2006	\$ 5,319.00	Branch Manager Rodney Swigert stated this was not the format used for their quotes and the quote was not contained in K-Tec's database.	Ace Truck Equipment	This quote was not entered into ODOT's Appropriation Accounting System but was attached to the purchase order.

PAGE: 1 of 1  
DOCUMENT TYPE: ORDE  
TYPE CODE: 03

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

ODOT P.O. NUMBER: 326138  
OAKS P.O. NUMBER: 000010208  
P.O. DATE: 10/19/07  
REQUISITION NUMBER: 028958

PID NUMBER	CONTRACT/ BID/ OIH	EXPIRATION DATE	CONTROL BOARD NBR.	DAS RELEASE / PERMIT NBR.	TOTAL AMOUNT
					\$6,382.00

**VENDOR INFORMATION:**

NAME: ACECO INC  
ADDRESS 1: PO BOX 2605  
ADDRESS 2:  
CITY, STATE: ZANESVILLE OH  
ZIP CODE: 43702-2605  
COUNTY: D11

OAKS VENDOR NUMBER: 0000047096  
VENDOR CONTACT PERSON: HOWARD CARPENTER  
PHONE NUMBER: (330) 308-3936  
DELIVERY REQUIRED (DATE/ARO):  
TERMS:  
ADDRESS CODE: 001

**BILL TO:**

NAME: DOT D11 ACCOUNTING  
ADDRESS 1: 2201 REISER AVE.  
ADDRESS 2: (330) 339-6633  
CITY, STATE: NEW PHILADELPIA OH  
ZIP CODE: 44663

**SHIP TO:**

NAME: DOT D11 DISTRICT GARAGE  
ADDRESS 1: 2201 REISER AVE.  
ADDRESS 2: (330) 339-6633  
CITY, STATE: NEW PHILADELPIA OH  
ZIP CODE: 44663

1 EACH ONE TON TRUCK UTILITY BED:

108" LONG, 94" WIDE OUT SIDE, 40-3/4" HIGH WITH A POOCHED RECESSED BUMPER  
BUMPER WILL BE EQIPPED WITH A RECEIVER TUBE AND D RINGS  
RECESSED TAIL AND BACKUP LIGHTS  
A-60 GALVANIZED STEEL CONSTRUCTION  
CONCEALED DOOR HINGES ,AND STAINLESS STEEL PADDLE LATCHES  
GAS DOOR STRUTS, DOOR SEALS, AND ROTARY DOOR LATCHES  
BED WILL BE PAINTED WHITE AND INSTALLED ON ODOTS 2007 F-350 CAB & CHASSIS

IN ACCORDANCE WITH EXECUTIVE ORDER NO. 2007-01S, THIS PURCHASE HAS BEEN  
AWARDED WITHOUT COMPETITIVE BIDDING BECAUSE, IN THE OPINION OF THIS AGENCY,  
THE SERVICES OR PRODUCTS OFFERED BY THIS VENDOR MEET THE SPECIFIC NEEDS OF  
THE AGENCY AT THIS TIME AND THE COST REPRESENTS A REASONABLE PRICE FOR THE  
REQUIRED SERVICES OR PRODUCTS, COMPARED TO OTHER VENDORS THAT OFFER THE  
SAME OR SIMILAR SERVICES AND PRODUCTS.

PURCHASE LINE	QUANTITY	UOM	UNSPSC CODE				UNIT PRICE	AMOUNT	
01	1.0000	EA	27000000				\$6,382.000	\$6,382.00	
			UTILITY BED						
DISTRIBUTION LINE	FUND	FISCAL YEAR	SAC	SPRC	RCAT	ACTIVITY	ACCOUNT CODE	STATE JOB NBR.	LINE AMOUNT
01	7002	08	4CN3	0011	5430		532503		\$6,382.00

**COMMENTS FOR VENDOR:**

**\*\* BY ACCEPTING THIS PURCHASE ORDER, THE VENDOR HEREIN NAMED AFFIRMS THAT, AS APPLICABLE TO THE VENDOR, NO PARTY LISTED IN DIVISION (I) OR (J) OF SECTION 3517.13 OF THE REVISED CODE OR SPOUSE OF SUCH PARTY HAS MADE, AS AN INDIVIDUAL, WITHIN THE TWO PREVIOUS CALENDAR YEARS, ONE OR MORE CONTRIBUTIONS TOTALING IN EXCESS OF \$1,000.00 TO THE GOVERNOR OR TO THE GOVERNOR'S CAMPAIGN COMMITTEES.**

THE DIRECTOR OF BUDGET AND MANAGEMENT HEREBY CERTIFIES THAT THERE IS A BALANCE IN THE APPROPRIATION NOT OTHERWISE OBLIGATED TO PAY PRECEDENT OBLIGATIONS, PURSUANT TO WHICH THE OBLIGATION DETAILED ABOVE IS TO BE PAID

NOTICE TO SUPPLIER

1. PURCHASE ORDER NUMBER MUST BE PLAINLY MARKED ON ALL PACKAGES AND PAPERS.
2. PRICES QUOTED ARE FIRM. OTHER THAN AS PROVIDED IN THE INVITATION TO BID, INCREASES ARE NOT AUTHORIZED AND WILL NOT BE PAID.
3. REJECTED GOODS SHALL REMAIN VENDOR'S PROPERTY.

OCT-17-2007 WED 07:12 AM ACE TRUCK ZANESVILLE

FAX:740 453 7023

P.002



1130 Newark Road P.O. Box 2605 Zanesville, Ohio 43702-2605  
 888-799-6220 740 453-0551 FAX 740 453-7023

**PRICE QUOTATION**

QUOTE \_\_\_\_\_ DATE 10/16/07  
 ORDER \_\_\_\_\_ DATE \_\_\_\_\_  
 SALESMAN DARREN

PURCHASE ORDER \_\_\_\_\_

COMPANY O.D.O.T. DISTRICT 11 ATTN: HOWARD CARPENTER  
 ADDRESS NEW PHILADELPHIA, OHIO  
 END USER PHONE FAX

CHASSIS INFORMATION	MAKE	MODEL	W/B	CA/CT	60"
	TRANS.	MODEL	TIRES	PAINT	

**READING MODEL 108ADW SERVICE BODY**

- 108" LONG
- 94" WIDE OUTSIDE
- 40-3/4" HIGH
- POOCHED RECESSED BUMPER
- RECEIVER TUBE AND D-RINGS IN RECESS OF BUMPER
- RECESSED TAIL AND BACKUP LIGHTS
- "A" COMPARTMENT LAYOUT ROADSIDE AND CURBSIDE
- A-60 GALVANIZED STEEL CONSTRUCTION
- CONCEALED DOOR HINGES
- COMPLETE STAINLESS STEEL PADDLE LATCHES
- GAS STRUT DOOR HOLDERS ON ALL VERTICAL DOORS
- RUBBER DOOR SEALS
- SLAM ACTION TAILGATE
- ROTARY DOOR LATCHES
- ACRYLIC E-COAT PRIMING PROCESS
- INSTALLED
- POWDER COAT WHITE

\$6,382.00

PRICE \$6,382.00  
 FED. TAX  
 SALES TAX  
 SUB TOTAL \$6,382.00  
 TRADE-IN  
 NET PRICE \$6,382.00

**TRADE DESCRIPTION**

This quotation becomes an order when signed here: Name \_\_\_\_\_ Title \_\_\_\_\_  
 This order is not binding until approved by a company official. All quotations and delivery promises made and orders accepted subject to delays caused by fire, accident, strikes or other causes beyond our control. Deliveries delayed by any of the above conditions shall not constitute cause for cancellation of this order. Prices subject to change without notice.

*HNC-000144*

10/17/2007 08:21 4192817500  
 10/02/2007 15:28 3305330634  
 09/26/2007 13:02 4192817500

D03 GARAGE ODOT  
 FALLSWAY EQUIPMENT  
 D03 GARAGE L001

PAGE 04  
 PAGE 02/02  
 PAGE 02

Quotation Request - Page 5

Page 1 of 1

**ODOT - Request for Quotation**

Date of Request: 9/28/2007  
 RESPONSE Deadline: 10/2/2007  
 Commodity or Service must be provided no later than: 45 days ARO

Ohio Department of Transportation  
 District Garage  
 906 N. Clark  
 Ashland, OH 44805

ODOT Contact Person:  
 SHAPER, PHILIP  
 Phone: 419-207-7144  
 Fax: 419-281-7580  
 Email: Phil.Shaper@dot.state.oh.us

To: Vendor ID: 000066660  
 Vendor Name: FALLSWAY EQUIPMENT CO INC  
 Attn: Scott Ramsey  
 Address: 1277 DEVALERA AVE

Ship To Address:  
 Contract: District Stank Room  
 Location: ODOT - District 3 Garage  
 Address: 906 N. Clark St

City/State/Zip: AKRON, OH 44310  
 Phone: 330 - 652 - 6000  
 Fax: 330 - 652 - 0834  
 Email:

City/State/Zip: Ashland, OH 44805

Terms Offered:  
 This will be an ALL-OR-NONE bid

Note: Please quote the lowest new price for the commodities (or services) herein described. Price shall be F.O.B. destination unless otherwise specified.  
 Quote is guaranteed by vendor until: 10-31-07

Qty	Item #	U/A	Description	Total
1	1	ea	READING MODEL 108ADW SERVICE BODY 108" LONG 94" WIDE OUTSIDE 45-3/4" HIGH LATCH-MATIC - KEYLESS ENTRY FOR BODY (3) EXTENDA-SHELVES IN FRONT POCHED RECESSED BUMPER RECEIVER TUBE AND HINGES IN RECESS OF BUMPER RECESSED TAIL AND BACK LIGHTS "A" COMPARTMENT LAYOUT ROADSIDE AND CURBSIDE A-80 GALVANIZED STEEL CONSTRUCTION CONCEALED DOOR HINGES COMPLETE STAINLESS STEEL PADDLE LATCHES GAS STRUT DOOR HOLDERS ON ALL VERTICAL DOORS RUBBER DOOR SEALS SLAM ACTION TAILGATE ROTARY DOOR LATCHES ACRYLIC E-COAT PRIMING PROCESS INSTALLED ON 2005 F-350 CHASSIS - COU LIA POWDER COATED WHITE	

Authorized by:  
 Please sign:  


Total cost \$ 7398<sup>00</sup>

OCT-17-2007 WED 07:12 AM ACE TRUCK ZANESVILLE

FAX: 740 453 7023

P. 003



BAKER TRUCK EQUIPMENT COMPANY  
 STATE ROUTE 60 AT MYNES ROAD PO BOX 482  
 HURRICANE, WEST VIRGINIA 25526  
 304-722-3814 FAX 304-722-3829 800-342-3119

**PRICE QUOTATION**

QUOTE \_\_\_\_\_ DATE 10/15/07  
 ORDER \_\_\_\_\_ DATE

PURCHASE ORDER \_\_\_\_\_

SALESMAN

COMPANY ODOT DISTRICT 11  
 ADDRESS

ATTN: HOWARD

END USER

PHONE  
 FAX

CHASSIS INFORMATION	MAKE	MODEL	W/B	CA/CT
	TRANS.	MODEL	TIRES	PAINT

READING MODEL 108ADW SERVICE BODY  
 108" LONG  
 94" WIDE OUTSIDE  
 40-3/4" HIGH  
 POOCHED RECESSED BUMPER  
 RECEIVER TUBE AND D-RINGS IN RECESS OF BUMPER  
 RECESSED TAIL AND BACKUP LIGHTS  
 "A" COMPARTMENT LAYOUT ROADSIDE AND CURBSIDE  
 10 GALVANIZED STEEL CONSTRUCTION  
 CONCEALED DOOR HINGES  
 COMPLETE STAINLESS STEEL PADDLE LATCHES  
 GAS STRUT DOOR HOLDERS ON ALL VERTICAL DOORS  
 RUBBER DOOR SEALS  
 SLAM ACTION TAILGATE  
 ROTARY DOOR LATCHES  
 ACRYLIC E-COAT PRIMING PROCESS  
 INSTALLED  
 POWDER COAT WHITE

\$6,496.00

PRICE \$6,496.00  
 FED. TAX  
 SALES TAX  
 SUB TOTAL  
 TRADE-IN  
 NET PRICE \$6,496.00

TRADE DESCRIPTION

This quotation becomes an order when signed here: Name \_\_\_\_\_ Title \_\_\_\_\_  
 This order is not binding until approved by a company official. All quotations and delivery promises made and orders accepted subject to delays caused by fire, accident, strikes or other causes beyond our control. Deliveries delayed by any of the above conditions shall not constitute cause for cancellation of this order. Prices subject to change without notice.

*HNC-000145*

FROM

<MED> OCT 17 2007 10:11/ST. 10:10/No. 7500000238 P 2



## ODOT - Request for Quotation



Date of Request: 10/17/07  
 RESPONSE Deadline: 10/25/07  
 Commodity or Service must be provided no later than:

Ohio Department of Transportation  
 2201 RISER AVE.  
 NEW PHILADELPHIA, OH

ODOT Contact Person:  
 HOWARD CARPENTER  
 Ph: 330-308-3936  
 Fax 330-308-3938  
 Email:

Fed. Tax ID #: 0  
 Vendor Name: BAKER TRUCK EQUIP CO.  
 ATTN: ST RT 60 PO BOX 482  
 HURRICANE, WVA. 25526  
 Ph: 304-722-3814  
 Fax: 304-722-3829

Terms Offered:  
 Quotes may be split among low bidders  
 unless Quoted "ALL or NONE"

Note: Please quote the lowest new price for the commodities (or services) herein described. Prices shall be F.O.B destination unless otherwise specified.

Quote is guaranteed by vendor until 11/30/07

Qty	Item #	Description	Unit Price	Total
1	1	TRUCK UTILITY SERVICE BODY		
		108" LONG, 94" WIDE OUTSIDE		
		POOCHED RECESSED BUMPER		
		RECEIVER TUBE AND D RINGS IN RECESS OF		
		BUMPER, RECESSED TAIL & BACK UP LIGHTS		
		A-60 GALVANIZED STEEL CONSTRUCTION,		
		STAINLESS STEEL PADDLE LATCHES		
		DOOR SEALS, TAIL GATE,		
		A-60 GALVANIZED STEEL CONSTRUCTION,		
		BED WILL BE PAINTED WHITE, AND INSTALLED		
		ON A 2007 F-350 FORD CAB&CHASSIS		
Subtotal			\$ 696	- 00
Shipping (Emergency only) should be FOB			\$ FOB	-
GRAND TOTAL			\$ 696	- 00
Authorized by: <i>Robert Beitzel</i>			Date: 10/17/07	

OCT-18-2007 THU 09:12 AM ACE TRUCK ZANESVILLE

FAX: 740 453 7023

P. 002

# ACECO INC.

P.O. BOX 2605  
ZANESVILLE, OHIO 43702-2605  
PHONE (740) 453 - 0551  
FAX (740) 453 - 7023

## PRICE QUOTATION

QUOTE \_\_\_\_\_ DATE 10/18/07  
ORDER \_\_\_\_\_ DATE

PURCHASE ORDER \_\_\_\_\_

SALESMAN

COMPANY O.D.O.T. DISTRICT 11  
ADDRESS

ATTN: HOWARD CARPENTER

END USER

PHONE  
FAX

CHASSIS INFORMATION	MAKE	MODEL	W/B	CA/CT	60"
	TRANS.	MODEL	TIRES	PAINT	

### READING MODEL 108ADW SERVICE BODY

- 108" LONG
- 94" WIDE OUTSIDE
- 40-3/4" HIGH
- POOCHED RECESSED BUMPER
- RECEIVER TUBE AND D-RINGS IN RECESS OF BUMPER
- RECESSED TAIL AND BACKUP LIGHTS
- "A" COMPARTMENT LAYOUT ROADSIDE AND CURBSIDE
- A-60 GALVANIZED STEEL CONSTRUCTION
- CONCEALED DOOR HINGES
- COMPLETE STAINLESS STEEL PADDLE LATCHES
- GAS STRUT DOOR HOLDERS ON ALL VERTICAL DOORS
- RUBBER DOOR SEALS
- SLAM ACTION TAILGATE
- ROTARY DOOR LATCHES
- ACRYLIC E-COAT PRIMING PROCESS
- INSTALLED
- POWDER COATED WHITE

00000 47096

TRADE DESCRIPTION

PRICE	\$6,382.00
FED. TAX	
SALES TAX	
SUB TOTAL	\$6,382.00
TRADE-IN	
NET PRICE	\$6,382.00

This quotation becomes an order when signed here: Name \_\_\_\_\_ Title \_\_\_\_\_  
 This order is not binding until approved by a company official. All quotations and delivery promises made and orders accepted subject to delays caused by fire, accident, strikes or other causes beyond our control. Deliveries delayed by any of the above conditions shall not constitute cause for cancellation of this order. Prices subject to change without notice.

HNC 000143

OCT-18-2007 THU 10:41 AM ACE TRUCK ZANESVILLE

FAX: 740 453 7023

P. 002

(THU) OCT 18 2007 9:51/9T. 9:50/No. 7500000245 P 1



## ODOT - Request for Quotation



Date of Request: 10/18/07  
 RESPONSE Deadline: 10/25/07  
 Commodity or Service must be provided no later than:

Ohio Department of Transportation  
 2201 REISER AVE.  
 NEW PHILADELPHIA, OH

ODOT Contact Person:  
 HOWARD CARPENTER  
 Ph: 330-308-3936  
 Fax 330-308-3938  
 Email:

To Fed. Tax ID # :  
 Vendor Name: ACECO INC  
 ATTN:  
 PO BOX 2605  
 ZANESVILLE, OHIO  
 Ph: 740-453-0551  
 Fax: 740-453-7023

Terms Offered:  
 Quotes may be split among low bidders  
 unless Quoted "ALL or NONE"

Note: Please quote the lowest new price for the commodities (or services) herein described. Prices shall be F.O.B destination unless otherwise specified.

Quote is guaranteed by vendor until 11/30/07

Item #	Description	Unit Price	Total
1	TRUCK UTILITY SERVICE BODY		
	108" LONG, 94" WIDE OUTSIDE		
	POOCHED RECESSED BUMPER		
	RECEIVER TUBE AND D RINGS IN RECESS OF		
	BUMPER, RECESSED TAIL & BACK UP LIGTHS		
	A-60 GALVANIZED STEL CONSTRUCTION,		
	STAINLESS STEEL PADDLE LATCHES		
	DOOR SEALS, TAIL GATE,		
	A-60 GALVANIZED STEL CONSTRUCTION,		
	BED WILL BE PAINTED WIHTE, AND INSTALLED		
	ON A 2007 F-350 FORD CAB&CHASSISS		
Subtotal		\$	6,382 - 00
Shipping (Emergency only) should be FOB		\$	FOB -
GRAND TOTAL		\$	6,382 - 00
Authorized by: <u>D. Founds</u>		Date:	10/18/07

11/18/07 - MAA 129

<b>ACECO, INC.</b> P.O. Box 2605 Zanesville, OH 43702-2605 740-453-0551		<b>INVOICE NO. N<sup>o</sup> 3305</b>	
ORDER NO	INVOICE DATE	12/21/07	
DATE SHIPPED	SHIPPED VIA		
NO. PCS	WT	FOB	TERMS

<input type="checkbox"/> SOLD TO ODOT DISTRICT 11 2201 Reiser Ave New Philadelphia, OH 44663	<input type="checkbox"/> SHIPPED TO
---	-------------------------------------

QUANTITY	UNIT	DESCRIPTION	UNIT PRICE	TOTAL PRICE
1		Reading U108ADWHH S/N #669699 Purchase Order #326138		
<b>TOTAL DUE:</b>				<b>6,382.00</b>

<b>ODOT 11</b> Receiving Certification	
Page	<u>1</u> of <u>1</u>
Amount	<u>\$6,382.00</u>
Authorized By	<u>H. Carpenter</u>
Received By	<u>H. Carpenter</u>
Work Unit	<u>5430</u>
TI #	<u>000047096</u> Ord # <u>326138</u>
Invoice #	<u>3305</u>
Purpose / Equip #	<u>BED for T11715</u>
Date Rec'd	<u>12-31-07</u>
Date / Loc Used	<u>Bridge Dept</u>
Comments / Problems	



STATE OF OHIO VOUCHER  
OHIO DEPARTMENT OF TRANSPORTATION

Page: 800 of 875  
Date: 01/11/08

ODOT Voucher Number 08V55246

OAKS Voucher Number 00061443

Document Type VOCE  
Approval Status Approved

Action Code E - Enter  
Invoice Nbr 3305

Batch ID 1832Y1  
Voucher Date 01/08/08  
Remit Address Cd 001  
Vendor Name ACECO INC  
Vendor Address PO BOX 2605  
ZANESVILLE, OH 43702-2605  
Invoice Date 01/03/08  
Last Receipt Date 12/21/07  
Invoice Address Cd 001  
Pay Loc CHK  
Total Voucher Amt. \$6,382.00

Processor ID D11BM8  
ODOT Vendor Nbr 0000047096  
OAKS Vendor Nbr 0000047096

Line Nbr	Fund	SAC	SPRC	RCAT	Activity	Account	PO Nbr	Pur Line	Dist Line	Amt
01	7002	4CN3	0011	5430	0000	532503	326138	01	01	\$6,382.00

Remit info: DOT 330-339-6633 PATTERSON, LARR XXXXXXXX

**OBM REVIEW REQUIRED**

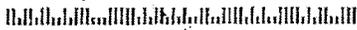
*Handwritten signature*



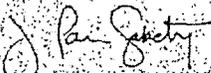
Dept of Transportation      Date      Warrant No.      61      RA  
1980 West Broad Street 4th Floor      01/14/2008      0001901835      25 - 217 / 440  
(614) 644-7496      281

Columbus, OH 43223      Pay Amount \$6,382.00\*\*\*

Pay      \*\*\*SIX THOUSAND THREE HUNDRED EIGHTY-TWO AND 00/100 DOLLARS\*\*\*

To The        
Order Of      ACECO INC

PO BOX 2605  
ZANESVILLE, OH 43702-2605

  
J. Paul Sabety, Director  
Office of Budget Management

VOID AFTER 90 DAYS

207976

40RT1XSTON | COLUMBUS, OH  
71 EASTON BOWL  
014054806 01-31-08  
DIN 014054806 1558 10 014054806

01-31-08  
014054806

Pay to the order of  
HUNTINGTON BANK  
FOR DEPOSIT ONLY  
ACECO INC

207976

Posted : 01/31/2008  
Bank : 00000101  
R/T :   
Account :   
Check : 638200  
Amount : 6382.00  
DIN : 14054806



THE HUNTINGTON NATIONAL BANK  
PO BOX 1558 EA1W37 1  
COLUMBUS OH 43224-1558

COPY



ACECO INC  
PO BOX 2605  
ZANESVILLE OH 43702-2605

STATEMENT PERIOD  
01/01/08 - 01/31/08  
ACCOUNT: [REDACTED]

PAGE 1 OF 3 EMP 0



**ANALYZED CHECKING ACCOUNT**

BALANCE LAST STATEMENT	25,000.00		
CREDIT SUMMARY FOR THE PERIOD		DEBIT SUMMARY FOR THE PERIOD	
REGULAR DEPOSITS	32,575.39	REGULAR CHECKS PAID	51,239.45
AFI PRINCIPAL CREDITS	45,852.06		
TOTAL CREDITS	78,427.45	TOTAL DEBITS	51,239.45
BALANCE THIS STATEMENT	52,188.00	ITEMS ENCLOSED	0
		DAYS IN STATEMENT PERIOD	31
		AVERAGE LEDGER BALANCE	25,877.03
		AVERAGE COLLECTED BALANCE	25,000.00

**REGULAR DEPOSITS**

DATE	AMOUNT	SERIAL NUMBER	REFERENCE NUMBER	DATE	AMOUNT	SERIAL NUMBER	REFERENCE NUMBER
01/31	32,575.39		00014054796				

**OTHER CREDITS**

DATE	AMOUNT	DESCRIPTION / SERIAL NUMBER	REFERENCE NUMBER
01/02	8,734.00	TARGET SWEEP CREDIT	10200000568
01/03	966.00	TARGET SWEEP CREDIT	10300000521
01/07	1,680.05	TARGET SWEEP CREDIT	10700000514
01/08	316.00	TARGET SWEEP CREDIT	10800000512
01/09	1,142.80	TARGET SWEEP CREDIT	10900000506
01/14	325.00	TARGET SWEEP CREDIT	11400000530
01/15	61.60	TARGET SWEEP CREDIT	11500000609
01/22	6,382.00	TARGET SWEEP CREDIT	12200000604
01/24	416.00	TARGET SWEEP CREDIT	12400000555
01/25	47.00	TARGET SWEEP CREDIT	12500000549
01/29	8,734.00	TARGET SWEEP CREDIT	12900000519
01/30	17,000.00	TARGET SWEEP CREDIT	13000000554
01/31	47.61	TARGET SWEEP CREDIT	13100003488

**CHECK DETAIL**

CHECK NUMBER	AMOUNT	DATE	REFERENCE NUMBER	CHECK NUMBER	AMOUNT	DATE	REFERENCE NUMBER
3552S	1,140.00	01/09	00973427477	3557	117.25	01/07	00011154628
3553	966.00	01/03	00074019512	3558	8,734.00	01/02	00011044997
3554S	47.00	01/25	00975244566	3559S	316.00	01/08	00972014390
3555S	698.27	01/07	00971242929	3560S	864.53	01/07	00971429489
3556S	2.80	01/09	00973091006	3561S	61.60	01/15	00972121610

CONTINUED

THE HUNTINGTON NATIONAL BANK  
PO BOX 1558 EA1W37 1  
COLUMBUS OH 43224-1558

COPY

ACECO INC  
PO BOX 2605  
ZANESVILLE OH 43702-2605

STATEMENT PERIOD  
01/01/08 - 01/31/08  
ACCOUNT: [REDACTED]

EMP (

PAGE 2 OF 3



**CHECK DETAIL**

CHECK NUMBER	AMOUNT	DATE	REFERENCE NUMBER	CHECK NUMBER	AMOUNT	DATE	REFERENCE NUMBER
3562S	325.00	01/14	00971123057	3565	6,382.00	01/22	00073019903
3563S	416.00	01/24	00974274345	3566S	17,000.00	01/30	00973007742
3564	5,435.00	01/31	00014054786	3567	8,734.00	01/29	00012046340

(S) INDICATES THIS CHECK WAS CONVERTED TO A SUBSTITUTE CHECK  
 (\*) INDICATES THE PRIOR SEQUENTIALLY NUMBERED CHECK(S) IS MISSING. THESE CHECKS MAY HAVE:  
 1) BEEN VOIDED BY YOU, 2) NOT YET PRESENTED TO THE BANK, 3) APPEARED ON A PREVIOUS STATEMENT, DR  
 4) BEEN INCLUDED IN A LIST OF CHECKS

**BALANCE SUMMARY**

DATE	BALANCE	DATE	BALANCE	DATE	BALANCE
12/31	25,000.00	01/09	25,000.00	01/25	25,000.00
01/02	25,000.00	01/14	25,000.00	01/29	25,000.00
01/03	25,000.00	01/15	25,000.00	01/30	25,000.00
01/07	25,000.00	01/22	25,000.00	01/31	52,188.00
01/08	25,000.00	01/24	25,000.00		

[REDACTED] 01 03 000 00 N N N EMP 1

YEARLY CUSTOMER SUMMARY  
ACE TRUCK EQUIPMENT

(Open RCV/History)

RUN ON: 03-May-11 AT 09:01 AM

PAGE 1

Trans. Typ Date	Invoice Number	Description	Transaction Amount
-----			
Customer #:	3000 -	ACECO, INC.	
I 03292004	28311	READING AEROTECH PBN110DW	9,684.00
I 03292004	28313	READING AEROTECHPBN110DW	9,684.00
I 04062004	28327	READING PBN-110DW #581160	9,684.00
I 05032004	28365	BRAND SMD1296 #0403-075	3,574.80
I 05272004	28413	READING 108ABDW #585829	6,624.00
I 06242004	28459	TOMMYGATE 91-1650 #M16-24807	2,477.00
I 06212005	29008	BRAND SMD996#0504-024	4,914.00
I 06212005	29009	6-TOOLBOXES	1,695.00
I 06212005	29010	BRAND SSMD #0505-005	4,914.00
I 06232005	29014	BRAND SSMD9' #0505-006	4,914.00
I 07012005	29027	READING U108ABDW #6062448	6,289.00
I 04032006	29407	KNAPHEIDE PVMX93C #910775	4,198.00
I 04192006	29438	HANNAY HOSE REEL	710.00
I 06152006	29511	GALION 100 U #3495	3,690.00
I 07032006	29526	TOMMYGATE MDL-91 #417630M	2,988.00
I 08242006	29584	TOMMYGATE 91-165OLD #419683	3,076.00
I 08282006	29591	KNAPHEIDE PVMX103C #24740	5,236.00
I 08082007	29963	KNAPHEIDE PVMX163C #75536	7,807.00
I 12132007	30111	READING U108ABDWHH #663980	8,734.00
I 12212007	30124	READING U108ADWHH #669699	6,382.00
01112008	30145	READING U108ABDWHH #660792	8,734.00
04122006	166264	BULKHEAD W/MTG BRKT	5,944.12
			-----
			121,952.92
			=====

Security enhanced document. See back for details. (D)

ACECO, INC.  
1130 NEWARK RD.  
P.O. BOX 2605  
ZANESVILLE, OH 43701  
740-453-0551

3565

DATE Jan 18, 2008 56-1609/441  
1431

PAY TO THE ORDER OF Ace Truck Equipment \$ 6,382.00

Six thousand three hundred eighty two 00/100 DOLLARS

 [www.huntington.com](http://www.huntington.com)

FOR 30124 3000 

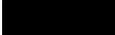
GUARDIAN & SAFETY

HUNTINGTON COLUMBUS, OH  
7 EASTON OVAL  
073019903 01-22-08  
02 073019903 1872 02 073019903

01-22-08  
073019903

PAY TO THE ORDER OF  
HUNTINGTON BANK  
FOR DEPOSIT ONLY  
ACE TRUCK EQUIPMENT CO.

ENCLOSURE

Account	
Amount	\$6,382.00
Bank	101
Date	20080122
Routing	
Rsn	
Sequence	73019903
Serial	3565

COPY

NAME: DARREN DATE: Dec-07

E#	DATE	CUSTOMER	DESCRIPTION	AMOUNT	TRADE-IN	NET
30095	12/3/2007	PAINT TOWNSHIP	GLEDHILL 707 SPREADER	2152.00		
30097	12/4/2007	FOX COAL CO.	MEYER C-7.5	4755.00		
30103	12/5/2007	K & R CONSTRUCTION	READING SC-101GS+8	4798.00		
30106	12/10/2007	FERRIS CHEVROLET	READING U98ASWHH	5998.00		
30109	12/12/2007	JIM HARPER	MEYER C-7.5	4390.00		
30111	12/13/2007	ACECO/ODOT DISTRICT 5	READING U108ABDWHH	8734.00		
30114	12/17/2007	AEP-CONESVILLE COAL	AUTO CRANE 6406H-HW	23600.00		
30116	12/17/2007	DAWES ARBORTEUM	MEYER ST-7.5	4485.00		
30117	12/17/2007	VILLAGE OF LEXINGTON	CRYSTEEL SLTS-10	24791.00		
30118	12/17/2007	VILLAGE LANDSCAPE	MEYER C-8.5	4339.00		
30119	12/17/2007	AEP	TOMMYGATE 60-1040F11	2448.50		
30120	12/17/2007	CITY OF DOVER	SWENSON EV-100-10-56	7196.00		
30124	12/21/2007	ACECO/ODOT DISTRICT 1	READING U108ADWHH	6382.00		
30125	12/24/2007	ROBERTSON TRUCK SALE	GOOD ROADS GR200	1195.00		
30126	12/24/2007	MPW INDUSTRIAL	2 SWENSON V BOX	9,486.00		
30127	12/27/2007	HUMPHRIES AUTO/TWIN	READING U98ASWHH	7319.00		
TOTAL				122068.50		
						122,068.50*
						2%
						2,441.37*
						2,441.37+
						1,077.78*
						3,519.12*

0.0\*

Yr: 2007  
Qtr: 4

PAYROLL EARNINGS RECORD  
ACE TRUCK EQUIPMENT CO.  
RUN DN: 28-Dec-07 AT 12:00 PM

Page 7

		Hours	Gross Pay	Net Pay	FICA	FIT W/H	SIT W/H	LIT W/H	OTHER W/H	
SST ERN	MCT ERN									
11883.56	11883.56	QTD Totals:	520.00	11883.56	7943.13	909.03	1184.98	344.29	225.86	1120.34
50814.76	50814.76	YTD Totals:	2080.00	50814.76	34198.64	3887.39	5796.50	1758.68	965.61	4052.01

Employee: 110 - KING, STEVEN K.

		Hours	Gross Pay	Net Pay	FICA	FIT W/H	SIT W/H	LIT W/H	OTHER W/H	
Beg. Bal.:		1560.00	66452.26	46508.61	4936.90	9695.46	2945.16	0.00	2366.13	
Check #	29611	04-Oct-2007	40.00	455.00	342.14	31.04	12.11	9.04	0.00	60.67
Check #	29630	11-Oct-2007	40.00	455.00	342.14	31.04	12.11	9.04	0.00	60.67
Check #	29649	18-Oct-2007	40.00	455.00	342.14	31.04	12.11	9.04	0.00	60.67
Check #	29668	25-Oct-2007	40.00	455.00	342.14	31.04	12.11	9.04	0.00	60.67
Check #	29676	31-Oct-2007	0.00	1363.69	1032.11	104.32	169.52	57.74	0.00	0.00
Check #	29692	01-Nov-2007	40.00	455.00	343.89	31.22	12.34	9.14	0.00	58.41
Check #	29712	08-Nov-2007	40.00	455.00	343.89	31.22	12.34	9.14	0.00	58.41
Check #	29731	15-Nov-2007	40.00	455.00	343.89	31.22	12.34	9.14	0.00	58.41
Check #	29750	21-Nov-2007	40.00	455.00	343.89	31.22	12.34	9.14	0.00	58.41
Check #	29769	29-Nov-2007	40.00	455.00	343.89	31.22	12.34	9.14	0.00	58.41
Check #	29777	30-Nov-2007	0.00	2462.12	1832.67	188.35	330.52	110.58	0.00	0.00
Check #	29795	06-Dec-2007	40.00	455.00	343.89	31.22	12.34	9.14	0.00	58.41
Check #	29816	14-Dec-2007	40.00	455.00	343.89	31.22	12.34	9.14	0.00	58.41
Check #	29836	20-Dec-2007	40.00	455.00	343.89	31.22	12.34	9.14	0.00	58.41
Check #	29856	27-Dec-2007	40.00	455.00	343.89	31.22	12.34	9.14	0.00	58.41
Check #	15	08-Dec-2007	0.00	1055.77	975.00	80.77	0.00	0.00	0.00	0.00
Check #	29864	31-Dec-2007	0.00	2172.21	1170.68	166.18	204.52	59.87	0.00	0.00

SST ERN	MCT ERN									
12348.88	12348.88	QTD Totals:	520.00	12968.79	9474.03	944.76	864.06	346.61	0.00	768.37
76880.39	76880.39	YTD Totals:	2080.00	79421.05	55982.64	5881.66	10559.52	3291.77	0.00	3134.50

Employee: 115 - FOUNDS, DARREN

		Hours	Gross Pay	Net Pay	FICA	FIT W/H	SIT W/H	LIT W/H	OTHER W/H	
Beg. Bal.:		1560.00	37387.20	30130.69	2657.95	1000.00	857.17	0.00	2741.39	
Check #	29612	04-Oct-2007	40.00	345.00	252.34	21.21	0.00	3.73	0.00	67.72
Check #	29631	11-Oct-2007	40.00	345.00	252.34	21.21	0.00	3.73	0.00	67.72
Check #	29650	18-Oct-2007	40.00	345.00	252.34	21.21	0.00	3.73	0.00	67.72
Check #	29669	25-Oct-2007	40.00	345.00	252.34	21.21	0.00	3.73	0.00	67.72
Check #	29677	31-Oct-2007	0.00	3255.93	2711.61	249.08	150.00	145.24	0.00	0.00
Check #	29693	01-Nov-2007	40.00	345.00	255.46	21.48	0.00	3.83	0.00	64.23
Check #	29713	08-Nov-2007	40.00	345.00	255.46	21.48	0.00	3.83	0.00	64.23
Check #	29732	15-Nov-2007	40.00	345.00	255.46	21.48	0.00	3.83	0.00	64.23
Check #	29751	21-Nov-2007	40.00	345.00	255.46	21.48	0.00	3.83	0.00	64.23
Check #	29770	29-Nov-2007	40.00	345.00	255.46	21.48	0.00	3.83	0.00	64.23
Check #	29778	30-Nov-2007	0.00	5622.15	4728.37	430.09	200.00	263.69	0.00	0.00
Check #	29796	06-Dec-2007	40.00	345.00	255.46	21.48	0.00	3.83	0.00	64.23
Check #	29817	14-Dec-2007	40.00	345.00	255.46	21.48	0.00	3.83	0.00	64.23
Check #	29837	20-Dec-2007	40.00	345.00	255.46	21.48	0.00	3.83	0.00	64.23
Check #	29857	27-Dec-2007	40.00	345.00	255.46	21.48	0.00	3.83	0.00	64.23
Check #	16	08-Dec-2007	0.00	433.13	400.00	33.13	0.00	0.00	0.00	0.00

Yr: 2007  
Qtr: 4

PAYROLL EARNINGS RECORD  
ACE TRUCK EQUIPMENT CO.  
RUN ON: 28-Dec-07 AT 12:00 PM

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Check #	29865	31-Dec-2007	Hours	Gross Pay	Net Pay	FICA	FIT W/H	SIT W/H	LIT W/H	OTHER W/H
	SST ERN	MCT ERN								
	16466.41	16466.41	QTD Totals:	520.00	17315.36	12736.88	1259.68	500.73	558.29	0.00 1182.00
	51212.53	51212.53	YTD Totals:	2000.00	54702.56	42867.57	3917.63	1500.73	1415.46	0.00 3923.39

Employee: 120 - BEITZEL, DAVID R.

Check #	29613	04-Oct-2007	40.00	435.00	295.60	33.28	28.12	10.28	0.00	67.72
	Beg. Bal.:		1560.00	49233.61	23486.56	3766.39	17411.01	1928.57	0.00	2641.08
Check #	29632	11-Oct-2007	40.00	435.00	295.60	33.28	28.12	10.28	0.00	67.72
Check #	29651	18-Oct-2007	40.00	435.00	295.60	33.28	28.12	10.28	0.00	67.72
Check #	29670	25-Oct-2007	40.00	435.00	295.60	33.28	28.12	10.28	0.00	67.72
Check #	29678	31-Oct-2007	0.00	3005.49	1134.55	229.92	1502.75	138.27	0.00	0.00
Check #	29694	01-Nov-2007	40.00	435.00	299.09	33.28	28.12	10.28	0.00	64.23
Check #	29714	08-Nov-2007	40.00	435.00	299.09	33.28	28.12	10.28	0.00	64.23
Check #	29733	15-Nov-2007	40.00	435.00	299.09	33.28	28.12	10.28	0.00	64.23
Check #	29752	21-Nov-2007	40.00	435.00	299.09	33.28	28.12	10.28	0.00	64.23
Check #	29771	29-Nov-2007	40.00	435.00	299.09	33.28	28.12	10.28	0.00	64.23
Check #	29779	30-Nov-2007	0.00	6234.97	2332.39	476.98	3117.49	308.11	0.00	0.00
Check #	29797	06-Dec-2007	40.00	435.00	299.09	33.28	28.12	10.28	0.00	64.23
Check #	29818	14-Dec-2007	40.00	435.00	299.09	33.28	28.12	10.28	0.00	64.23
Check #	29838	20-Dec-2007	40.00	435.00	299.09	33.28	28.12	10.28	0.00	64.23
Check #	29858	27-Dec-2007	40.00	435.00	326.06	6.31	28.12	10.28	0.00	64.23
Check #	29842	26-Dec-2007	0.00	30000.00	494.60	4505.40	24200.00	53000.00	0.00	0.00
Check #	17	08-Dec-2007	0.00	1299.41	1200.00	99.41	0.00	0.00	0.00	0.00
Check #	29801	07-Dec-2007	0.00	15000.00	352.50	1147.50	11250.00	2250.00	0.00	0.00
Check #	29822	19-Dec-2007	0.00	15000.00	352.50	1147.50	10500.00	3000.00	0.00	0.00
Check #	29866	31-Dec-2007	0.00	15284.37	1806.80	82.64	2085.26	195.82	0.00	0.00
	SST ERN	MCT ERN								
	48266.39	351893.99	QTD Totals:	520.00	361479.24	11574.52	8095.02	270821.06	59025.84	0.00 848.95
	97500.00	401127.60	YTD Totals:	2000.00	410712.85	35061.08	11861.41	288232.07	60954.41	0.00 3490.03

Employee: 140 - HAMPP, STEPHEN W.

Check #	29614	04-Oct-2007	40.00	615.00	428.64	43.70	57.85	16.05	0.00	68.76
	Beg. Bal.:		1560.00	59719.95	40280.57	4438.25	9860.71	2458.78	0.00	2681.64
Check #	29633	11-Oct-2007	40.00	615.00	428.64	43.70	57.85	16.05	0.00	68.76
Check #	29652	18-Oct-2007	40.00	615.00	428.64	43.70	57.85	16.05	0.00	68.76
Check #	29671	25-Oct-2007	40.00	615.00	428.64	43.70	57.85	16.05	0.00	68.76
Check #	29695	01-Nov-2007	40.00	615.00	430.29	43.88	58.19	16.14	0.00	66.50
Check #	29715	08-Nov-2007	40.00	615.00	430.29	43.88	58.19	16.14	0.00	66.50
Check #	29734	15-Nov-2007	40.00	615.00	430.29	43.88	58.19	16.14	0.00	66.50
Check #	29753	21-Nov-2007	40.00	615.00	430.29	43.88	58.19	16.14	0.00	66.50
Check #	29772	29-Nov-2007	40.00	615.00	430.29	43.88	58.19	16.14	0.00	66.50
Check #	29798	06-Dec-2007	40.00	615.00	430.29	43.88	58.19	16.14	0.00	66.50
Check #	29819	14-Dec-2007	40.00	615.00	430.29	43.88	58.19	16.14	0.00	66.50
Check #	29839	20-Dec-2007	40.00	615.00	430.29	43.88	58.19	16.14	0.00	66.50
Check #	29859	27-Dec-2007	40.00	615.00	430.29	43.88	58.19	16.14	0.00	66.50

**ODOT Payments Issued to Ace Truck Equipment Affiliates  
Subsequently Paid to Ace Truck Equipment**

The following table identifies payments issued by ODOT to the winning vendor in which the winning vendor was invoiced by and remitted the amount of the ODOT payment to Ace Truck Equipment.

<b>Instance No.</b>	<b>Fiscal Year</b>	<b>Winning Company</b>	<b>District</b>	<b>Amount</b>
1	2002	ACE TRUCK BODY INC	11	\$ 2,581.00
2	2002	ACE TRUCK BODY INC	11	\$ 2,581.00
3	2002	ACE TRUCK BODY INC	5	\$ 15,656.00
4	2002	ACE TRUCK BODY INC	5	\$ 7,828.00
5	2002	ACE TRUCK BODY INC	5	\$ 3,914.00
6	2003	ACE TRUCK BODY INC	5	\$ 7,828.00
7	2003	ACE TRUCK BODY INC	5	\$ 7,828.00
8	2003	ACE TRUCK BODY INC	3	\$ 1,790.00
9	2003	ACECO INC	10	\$ 2,982.38
10	2003	BAKER TRUCK EQUIPMENT	5	\$ 5,890.00
11	2003	BAKER TRUCK EQUIPMENT	5	\$ 5,968.00
12	2003	BAKER TRUCK EQUIPMENT	5	\$ 10,156.00
13	2003	BAKER TRUCK EQUIPMENT	10	\$ 4,855.00
14	2003	BAKER TRUCK EQUIPMENT	5	\$ 7,640.00
15	2003	BAKER TRUCK EQUIPMENT	10	\$ 14,176.00
16	2003	BAKER TRUCK EQUIPMENT	5	\$ 1,096.00
17	2004	ACE TRUCK BODY INC	5	\$ 5,620.00
18	2004	ACE TRUCK BODY INC	5	\$ 2,387.00
19	2004	ACECO INC	5	\$ 29,052.00
20	2004	ACECO INC	5	\$ 2,477.00
21	2004	ACECO INC	5	\$ 6,624.00
22	2004	ACECO INC	5	\$ 3,274.80
23	2004	BAKER TRUCK EQUIPMENT	10	\$ 17,580.00
24	2004	BAKER TRUCK EQUIPMENT	10	\$ 11,325.00
25	2004	BAKER TRUCK EQUIPMENT	10	\$ 2,299.00
26	2004	BAKER TRUCK EQUIPMENT	10	\$ 3,045.00
27	2004	BAKER TRUCK EQUIPMENT	10	\$ 802.58
28	2005	ACECO INC	5	\$ 16,437.00
29	2005	ACECO INC	5	\$ 6,289.00
30	2005	BAKER TRUCK EQUIPMENT	10	\$ 9,128.00
31	2005	BAKER TRUCK EQUIPMENT	3	\$ 3,386.88
32	2006	ACECO INC	3	\$ 5,944.12
33	2006	ACECO INC	11	\$ 4,198.00
34	2006	ACECO INC	5	\$ 710.00
35	2006	ACECO INC	5	\$ 5,236.00
36	2006	ACECO INC	3	\$ 2,988.00
37	2006	ACECO INC	5	\$ 3,690.00
38	2006	ACECO INC	6	\$ 3,076.00
39	2007	ACECO INC	5	\$ 8,734.00
40	2008	ACECO INC	5	\$ 7,807.00
41	2008	ACECO INC	5	\$ 8,734.00
42	2008	ACECO INC	11	\$ 6,382.00
43	2008	BAKER TRUCK EQUIPMENT	5	\$ 29,537.00
<b>Total</b>				<b>\$ 309,532.76</b>

Vendor: AASAFETY | Show: Current Register  
 To: AASAFETY | Checking Account: CHECKING - PNC

Check Register  
 Quattro, Inc.  
 9/23/2011

Page 1  
 9/23/11 13:04  
 12 80:110315

Check	Check Date	Vendor Number and Name	Voucher	Invoice	Payable/ Payroll	Retention	Cash	Discount	Workers Comp.
3099	1/15/2004 G/L Jan, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	3	12524 ✓	113.55	0.00	-113.55	0.00	0.00
3100	1/15/2004 G/L Jan, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	4		94.00	0.00	-94.00	0.00	0.00
3101	1/15/2004 G/L Jan, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	5	12530 ✓	179.00	0.00	-179.00	0.00	0.00
3102	1/15/2004 G/L Jan, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	6		634.80	0.00	-634.80	0.00	0.00
3103	1/21/2004 G/L Jan, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	7	12656 ✓	15.00	0.00	-15.00	0.00	0.00
3104	1/21/2004 G/L Jan, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	8	12657 ✓	21.60	0.00	-21.60	0.00	0.00
3105	1/21/2004 G/L Jan, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	9	12658 ✓	109.07	0.00	-109.07	0.00	0.00
3106	1/30/2004 G/L Jan, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	10	12834 ✓	504.00	0.00	-504.00	0.00	0.00
3108	2/5/2004 G/L Feb, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	12	12912 ✓	959.00	0.00	-959.00	0.00	0.00
3109	2/11/2004 G/L Feb, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	13	13043 ✓	154.75	0.00	-154.75	0.00	0.00
3110	2/12/2004 G/L Feb, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	14	13063 ✓	399.00	0.00	-399.00	0.00	0.00
3111	2/25/2004 G/L Feb, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	15	13310 ✓	228.99	0.00	-228.99	0.00	0.00
3112	2/25/2004 G/L Feb, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	16	13309 ✓	538.58	0.00	-538.58	0.00	0.00
3113	2/25/2004 G/L Feb, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	17	13311 ✓	288.00	0.00	-288.00	0.00	0.00
3114	2/26/2004 G/L Feb, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	18	13333 + 13384 ✓	1,643.00	0.00	-1,643.00	0.00	0.00
3116	3/5/2004 G/L Mar, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	20	13518, 13520 + 13517 ✓	1,387.13	0.00	-1,387.13	0.00	0.00
3117	3/17/2004 G/L Mar, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	21		27,209.83	0.00	-27,209.83	0.00	0.00
3118	3/30/2004 G/L Mar, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	22	14091 ✓	935.06	0.00	-935.06	0.00	0.00
3120	4/2/2004 G/L Apr, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	24	13516 ✓	4,695.00	0.00	-4,695.00	0.00	0.00
3121	4/2/2004 G/L Apr, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	25	14198 ✓	603.55	0.00	-603.55	0.00	0.00
3123	4/7/2004 G/L Apr, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	27	14336 ✓	399.00	0.00	-399.00	0.00	0.00
3125	4/9/2004 G/L Apr, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	29	14079 ✓	8,850.00	0.00	-8,850.00	0.00	0.00
3146	12/13/2004 G/L Dec, 2004	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	52	21141 ✓	1,447.50	0.00	-1,447.50	0.00	0.00
3152	1/20/2005 G/L Jan, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	56	22010 ✓	950.40	0.00	-950.40	0.00	0.00
3153	1/20/2005 G/L Jan, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	57		608.00	0.00	-608.00	0.00	0.00
3154	1/20/2005 G/L Jan, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	58	22016 ✓	495.00	0.00	-495.00	0.00	0.00
3155	1/31/2005 G/L Jan, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	59	22199 ✓	907.00	0.00	-907.00	0.00	0.00

As noted by the Ohio Inspector General, a ✓ Agrees to a sale by Quattro Inc. to ODOT for the same amount paid to A&A Safety

QUA 000705

Check Register  
Quattro, Inc.  
9/23/2011

Check	Check Date	Vendor Number and Name	Voucher	Invoice	Payable/ Payroll	Retention	Cash	Discount	Workers Comp.
3156	2/1/2005 G/L Feb, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	60	22233 ✓	637.20	0.00	-637.20	0.00	0.00
3162	2/17/2005 G/L Feb, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	66	22574 ✓	322.50	0.00	-322.50	0.00	0.00
3163	2/24/2005 G/L Feb, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	67	22760 ✓	367.40	0.00	-367.40	0.00	0.00
3164	2/24/2005 G/L Feb, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	68	22758 ✓	200.00	0.00	-200.00	0.00	0.00
3167	3/22/2005 G/L Mar, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	71	23368 ✓	434.20	0.00	-434.20	0.00	0.00
3169	3/29/2005 G/L Mar, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	73	23516 ✓	718.37	0.00	-718.37	0.00	0.00
3173	4/20/2005 G/L Apr, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	77	22923 ✓	725.00	0.00	-725.00	0.00	0.00
3174	4/20/2005 G/L Apr, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	78	24262 ✓	190.21	0.00	-190.21	0.00	0.00
3175	4/20/2005 G/L Apr, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	79	24263 ✓	334.00	0.00	-334.00	0.00	0.00
3176	4/20/2005 G/L Apr, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	80	24264 ✓	117.00	0.00	-117.00	0.00	0.00
3177	4/28/2005 G/L Apr, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	81	24485 ✓	475.00	0.00	-475.00	0.00	0.00
3178	4/28/2005 G/L Apr, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	82	24488 ✓	85.10	0.00	-85.10	0.00	0.00
3180	5/12/2005 G/L May, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	84	25163 ✓	912.00	0.00	-912.00	0.00	0.00
3181	5/12/2005 G/L May, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	85	25165 ✓	122.00	0.00	-122.00	0.00	0.00
3183	5/18/2005 G/L May, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	87	25332 ✓	114.90	0.00	-114.90	0.00	0.00
3185	5/31/2005 G/L May, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	89	2443 *Quattro Inv. ✓	986.00	0.00	-986.00	0.00	0.00
3187	6/1/2005 G/L Jun, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	91	25738 ✓	250.00	0.00	-250.00	0.00	0.00
3188	6/1/2005 G/L Jun, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	92	25740 ✓	274.66	0.00	-274.66	0.00	0.00
3190	6/10/2005 G/L Jun, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	94	26233 ✓	700.00	0.00	-700.00	0.00	0.00
3191	6/17/2005 G/L Jun, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	95	26470 ✓	158.85	0.00	-158.85	0.00	0.00
3192	6/23/2005 G/L Jun, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	96	26680 ✓	128.27	0.00	-128.27	0.00	0.00
3193	6/23/2005 G/L Jun, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	97	26680 ✓	78.00	0.00	-78.00	0.00	0.00
3209	11/1/2005 G/L Nov, 2005	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	113	32662 ✓	322.00	0.00	-322.00	0.00	0.00
✓ Total: \$34,347.60					63,022.47	0.00	-63,022.47	0.00	0.00

QUA 000706

As noted by the Ohio Inspector General, a ✓ Agrees to a sale by Quattro Inc. to ODOT for the same amount paid to A&A Safety

Vendor: AASAFETY      Show: Current Register  
 To: AASAFETY      Checking Account: KEY CHECKING

Check Register  
 Quattro, Inc.  
 9/23/2011

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 12 80:10315

Check	Check Date	Vendor Number and Name	Voucher	Invoice	Payable/ Payroll	Retention	Cash	Discount	Workers Comp.
3506	8/25/2006 G/L Aug, 2006	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	151	41995 ✓	9,620.00	0.00	-9,620.00	0.00	0.00
3511	10/13/2006 G/L Oct, 2006	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	156		11,500.00	0.00	-11,500.00	0.00	0.00
3517	12/11/2006 G/L Dec, 2006	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	162	Escrow	13,000.00	0.00	-13,000.00	0.00	0.00
3525	3/19/2007 G/L Mar, 2007	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	170	50972 ✓	398.84	0.00	-398.84	0.00	0.00
3526	3/22/2007 G/L Mar, 2007	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	171		398.84	0.00	-398.84	0.00	0.00
3528	4/5/2007 G/L Apr, 2007	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	173	51795 ✓	123.31	0.00	-123.31	0.00	0.00
3530	5/10/2007 G/L May, 2007	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	175	53025 ✓	304.80	0.00	-304.80	0.00	0.00
3531	5/22/2007 G/L May, 2007	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	176	53259 ✓	249.00	0.00	-249.00	0.00	0.00
3533	5/29/2007 G/L May, 2007	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	178	53560 ✓	1,995.00	0.00	-1,995.00	0.00	0.00
3536	6/18/2007 G/L Jun, 2007	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	181	53258 ✓	4,695.00	0.00	-4,695.00	0.00	0.00
3538	6/22/2007 G/L Jun, 2007	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	183	2466 53519 ✓	8,987.00	0.00	-8,987.00	0.00	0.00
3539	6/22/2007 G/L Jun, 2007	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	184	2469 ✓	646.00	0.00	-646.00	0.00	0.00
3540	6/28/2007 G/L Jun, 2007	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	185	2467 ✓	2,425.00	0.00	-2,425.00	0.00	0.00
3543	7/13/2007 G/L Jul, 2007	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	188	2468 ✓	4,695.00	0.00	-4,695.00	0.00	0.00
✓ Total: \$34,138.95					59,037.79	0.00	-59,037.79	0.00	0.00

QUA 000707

As noted by the Ohio Inspector General, a ✓ Agrees to a sale by Quattro Inc. to ODOT for the same amount paid to A&A Safety

Vendor: AASAFETY | Show: Current Register  
 To: AASAFETY | Checking Account: NSB CHECKING

Check Register  
 Quattro, Inc.  
 9/23/2011

Page 1  
 9/23/11 13:04  
 12 80.11085

Check	Check Date	Vendor Number and Name	Voucher	Invoice	Payable/ Payroll	Retention	Cash	Discount	Workers Comp.
4011	5/7/2008 G/L May, 2008	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	235		30,000.00	0.00	-30,000.00	0.00	0.00
4014	7/2/2008 G/L Jul, 2008	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	238	Pay Back Pymt	10,000.00	0.00	-10,000.00	0.00	0.00
4017	8/25/2008 G/L Aug, 2008	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	240	Q2470 ✓	4,695.00	0.00	-4,695.00	0.00	0.00
4025	2/26/2009 G/L Feb, 2009	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	248	022709	17,000.00	0.00	-17,000.00	0.00	0.00
4031	4/29/2009 G/L Apr, 2009	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	254	042909	16,870.97	0.00	-16,870.97	0.00	0.00
4066	5/4/2010 G/L May, 2010	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	288	050410	6,701.05	0.00	-6,701.05	0.00	0.00
4067	5/27/2010 G/L May, 2010	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	289	052710	6,701.05	0.00	-6,701.05	0.00	0.00
4079	8/4/2010 G/L Aug, 2010	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	301	080410	1,600.00	0.00	-1,600.00	0.00	0.00
4139	8/1/2011 G/L Aug, 2011	AASAFETY A & A Safety, Inc. 1126 Ferris Road Amelia, OH 45102	357	080111	1,535.86	0.00	-1,635.86	0.00	0.00
					<u>95,203.93</u>	<u>0.00</u>	<u>-95,203.93</u>	<u>0.00</u>	<u>0.00</u>

QUA 000708

As noted by the Ohio Inspector General, a ✓ Agrees to a sale by Quattro Inc. to ODOT for the same amount paid to A&A Safety

Quattro, Inc.  
P.O. Box 30195  
Cincinnati, OH 45230

Invoice No. 2467

**INVOICE**

Customer			
Name	ODOT #4 - District Office		
Address	2088 S. Arlington Road		
City	Akron	State	OH ZIP 44306
Phone			

Misc	
Date	6/5/2007
Order No.	
Rep	
FOB	

Qty	Description	Unit Price	TOTAL
1	Trafcon M03-15 (30x60) AB, 15 Lamp, Power Tilt Mount, Bed Rail Mount, Direct Wire, Interior Controls	\$ 2,425.00	\$ 2,425.00

SubTotal	\$ 2,425.00
Shipping	
<b>TOTAL</b>	<b>\$ 2,425.00</b>

Payment	
Comments	First Response Truck
Name	
CC #	
Expires	

Tax Rate(s)

Office Use Only

Terms: Net 30 days

**PAYMENT CARD**

Date Goods/Services Rec'd 6-5-2007  
 CNT # \_\_\_\_\_ Inventory # 3160495  
 Phone Order Y or N \_\_\_\_\_ MBE Y or N \_\_\_\_\_  
 Signature [Signature]  
 Add'l Description FIR NEW FIRST TRUCK  
 VPC/PCR # 004555 Funding 5400 - 4CN3

Copy  
original sent to IG  
7/7/09

MAT. 10. 2007 2:30PM

A&amp;A SAFETY

NO. 3489 P. 2

**A&A SAFETY, INC.**  
**W.B.E. BUSINESS ENTERPRISE**  
 All Types of Flashers, Signs and Traffic Safety Devices  
 Rentals-Sales-Services  
 Equal Opportunity Employer

1126 Ferris Road, Amelia OH 45102      513-943-6100      Fax: 513-943-6106  
 2705 Needmore Road, Dayton OH 45414      937-567-9781      Fax: 937-567-1629  
 16000 Miles Avenue, Cleveland OH 44128      216-283-8040      Fax: 216-283-8041  
 888-943-6151 TOLL FREE  
[www.aasafetyinc.com](http://www.aasafetyinc.com)

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May 16, 2007

ODOT # 4 - Portage County  
 Attn: Ron Milliron  
 2088 S. Arlington Road  
 Akron, OH 44308

Phone: 330-786-3140      Fax: 330-786-3141

Dear Ron:

**PRICE QUOTATION:**

<u>Qty</u>	<u>Description</u>	<u>Price/Per</u>
1	Trafcon MB3-15 (30" x 60") Arrowboard with 15 Lamps Power Tilt Mount Bed Rail Mount Direct Wire Power Controls for Interior of Truck	\$ 2,675.00 ea.

The above quotation is good for 30 days.

Thank you for the opportunity to submit this quotation. If you have any questions, please feel free to contact me at (513) 943-6100.

Sincerely,

TR O'Brien

OHDOT-011331