

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

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

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And

Administrator of the Office of Accounting – Therese Dyer

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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

Direct Purchasing		
Quote Requirements/Payment Types		
Dollar Amount	Quotes	Payment Type
\$0 to \$999.99		Debit Voucher, Purchase order, EDI or Payment Card
\$1,000.00 to \$2,499.99	<i>2 quotes required Must have Fiscal Officer approval, prior to purchase.</i>	Purchase order, EDI or Payment Card
\$2,500.00 to \$9,999.99	<i>3 quotes required Must have Fiscal Officer approval, prior to purchase.</i>	Purchase Order or EDI
\$10,000.00 to \$24,999.99	<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>	Purchase Order or EDI
\$25,000.00 to \$49,999.99	<i>Requires Bid Must send specifications to Office of Accounting Administrator and Office of Contract for bid requirements</i>	Purchase Order or EDI
Vendor Limits		
\$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.		
\$75,000.00 per vendor for Real Estate leases		

- 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 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.

Peterson Thermal Equipment Co.
 3545 Monroe Street
 419-475-7100
 Toledo, OH 43606

Quote

Attn: Joe Yee

Customer No.: OHIDEP
 Quote No.: 5078

Quote To: Ohio Department of
 Transportation District
 P.O. Box 306
 Jacksontown, OH 43030

Ship To: OHIO DEPT. TRANS. DIST.5
 9600 JACKSONSTOWN RD.
 ATTN: JOE YEE
 Jacksontown, OH 43030

Date	Ship Via	FOB	Terms
05/04/11	Bestway-PP/Add	Origin	Net 30
Purchase Order Number	Sales Person		Required
			05/04/11

Quantity Required	Quantity Shipped	BO	Item Number	Description	Unit Price	Amount
1				Aurora H6S-BF regenerative turbine pump only with mechanical seals	2190.00	2190.00
			<i>Opt.#1</i>	* Estimated 4-6 weeks		
1				Aurora H6S-BF regenerative turbine pump only with mechanical seals	2480.00	2480.00
			<i>Opt.#2</i>	* Estimated 2-3 weeks		

*PLEASE ADVISE PUMP ROTATION AT TIME OF ORDER!

*clockwise rotation
 Looking from
 motor end*

Quote subtotal
 Quote total

Pump \$ 2190.00
 freight 81.86
 Total = \$ 2271.86

Steve [Signature]
 614-294-6851
 Peterson Thermal

Thank You

MAY:05-2011 10:56 From:

6142946855

To:OHIO Dept of Transp P.1/1

430
93

434
94

**APPROVED COMPONENTS
& SYSTEMS INC**

4955 Reed Rd.
Columbus, OH 43220

State of Ohio MBE/EDGE
Certified Supplier

614-579-9955
fax 614-459-2727

May 5, 2011

To: ODOT Dist 5

Attn: Joe Yee

One (1) – Aurora H6S-BF turbine pump only with seals
\$2,257.73/ea. = 6 weeks + freight
\$2,556.70/ea = 2-3 weeks

Freight: PP/Add or Collect
Prices firm for 30 days!

Thank you,

Steve Garcia



1900 JETWAY BLVD
COLUMBUS, OH 43219
Phone: (614)342-6123
Fax: (614)342-6490
www.otpnet.com

QUOTE

CUST.#: 104221

ATTN:
BILL TO:

OHIO DEPT OF TRANSPORTATION
STATE ROUTE 13
PO BOX 306
JACKSONTOWN, OH 43030
SHIP TO:

OHIO DEPT OF TRANSPORTATION
9600 JACKSONSTOWN RD
ATTN: JOE YEE
JACKSONTOWN, OH 43030

000000		QUOTE NO: 1336286-00
QUOTE DATE: 05/05/11	REQUEST NO: AURORA	PAGE #: 1
QUOTED BY:		Scott Accountius

Please refer to the Quote Number when ordering.

INSTRUCTIONS: PPY/ADD

SHIP POINT	VIA	SCHEDULED DATE	TERMS
OTP COLUMBUS	OTP Choice		Net 30 Days

THANK YOU FOR THE OPPORTUNITY TO PRESENT THE FOLLOWING QUOTE
THIS QUOTE IS VALID FOR 30 DAYS FOLLOWING THE INDICATED QUOTE DATE

LINE NO	PRODUCT AND DESCRIPTION	QUANTITY	QTY U/M	UNIT PRICE	PRICE U/M	AMOUNT NET
	ATTN: JOE YEE					
	THANK YOU,					
	SCOTT ACCOUNTIUS					
1	H6S-BF AURORA TURBIN PUMP ONLY WITH MECH SEALS >DELIVERY: 4-6 WEEKS	1	each	2305.00	each	2305.00
2	H6S-BF AURORA TURBIN PUMP ONLY WITH MECHANICAL SEAL >DELIVERY: 2-3 WEEKS	1	each	2610.50	each	2610.50
	Subtotal					4915.50
	Subtotal May Not Include Freight or Tax Charges					

Last Page

Find the technical information you need... try the new "Ask the OTP Experts" functionality at www.otpnet.com

VOUCHER NO...: 402577 PAYMENT CARD SYSTEM
CARDHOLDER ID: 050036 - YEE, JOE VPC COMMENTS
FUNCTION.....:

AAPC0006
PAGE: 1

ADDED BY: D05AB1 06/15/11 - WELLMAN, AMANDA D
QUOTES?

ADDED BY: D05JY2 06/29/11 - YEE, JOE
FROM JYEE 6/29/2011 : DID NOT USE QUOTE FORM. PETERSON THERMAL IS SOLE DIST
BUTOR FOR AUROA PUMP PRODUCTS IN CENTRAL OHIO. USED AUROA PUMP TO INSURE PUM
FIT INTO EXISTING WELDED PIPE PUMP SYSTEM, AND TO MINIMIZE POTABLE WATER
SYSTEM DOWNTIME.

PF7-PAGE BACK PF8-PAGE FWRD PF12-HELP
PF13-HEADER PF14-DETAIL PF15-COMMENTS PF16-APPROVERS PA1/PA2-EXIT

PAYMENT CARD SYSTEM
VOUCHER PAYMENT CARD (VPC)

AAPC0003

VOUCHER NO...: 402577 APPROVE MODE MERCH DETL COMP: Y
 CARDHOLDER ID: 050036 - YEE, JOE ACCOUNTING COMP: N
 SYSTEM DATE...: 06/13/11 COMMENTS FLAG...: Y
 PURCHASE DATE: 06/10/11 SOLE SRC FLAG...: N
 MERCHANT NAME: PETERSON THERMAL EQUIP C
 REFERENCE NO.: 24072801159286020000012 MBE FLAG: N EDGE FLAG: N
 VOUCHER AMT...: 2,271.86 CONTRACT NUMBER:

LN	QUAN	UM	DESCRIPTION	HOW/WHERE USED	AMOUNT
01	1	EA	AURORA REGEN TURBINE PUMP	REPLACE 5090-2302	2,190.00
02	1	EA	FREIGHT	FREIGHT 5090-2302	81.86
03					
04					
05					
06					

PF7-PAGE BACK PF8-PAGE FWRD PF12-HELP
 PF13-DETAIL PF14-ACCNTING PF15-COMMENTS PF16-APPROVERS PA1/PA2-EXIT



"Scott Accountius"
<SAccountius@otpnet.com>
07/06/2011 08:42 AM

To <John.Shore@dot.state.oh.us>
cc
bcc
Subject RE: Quote

Steve McNutt with Peterson Thermal

Thank you

Scott Accountius
Pump Applications & Finishing Sales
614-342-6465 office
614-342-6490 fax
saccountius@otpnet.com
<http://www.otpnet.com>



From: John.Shore@dot.state.oh.us [mailto:John.Shore@dot.state.oh.us]
Sent: Wednesday, July 06, 2011 8:28 AM
To: Scott Accountius
Subject: RE: Quote

Your business acquaintance, would that have been Steve Garcia?

"Scott Accountius" <SAccountius@otpnet.com>

07/05/2011 12:55 PM

To <John.Shore@dot.state.oh.us>
cc
Subject RE: Quote

John,

This was a valid quote for the 30 days after the quote date. I did not talk to Mr Yee. A business acquaintance of mine from Peterson Thermal, who is the authorized distributor for the Aurora Pump Co, asked me to provide a price to Mr Yee to satisfy a requirement that Mr Yee have more then one price for

this equipment. Peterson Thermal provided me with a price, that I added my profit margin to, and the contact information for me to send the quote to.

Thank you

Scott Accountius

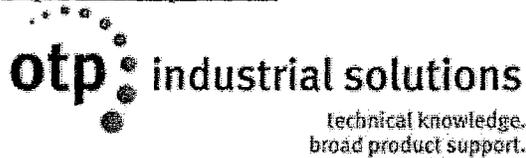
Pump Applications & Finishing Sales

614-342-6465 office

614-342-6490 fax

saccountius@otpnet.com

<http://www.otpnet.com>



From: John.Shore@dot.state.oh.us [<mailto:John.Shore@dot.state.oh.us>]

Sent: Thursday, June 30, 2011 1:54 PM

To: Scott Accountius

Subject: Quote

Scott,

I am investigator for ODOT and stopped by your business on 6/30. I spoke w/Mitch about quote #1336286. Couple questions...

1. Is this a legitimate quote?
2. How did Mr. Yee contact you? Do you remember the date/time he contacted you?
3. To your best recollection, if this was a conversation, was it on the phone? and what was said?
4. On my copy, I cannot read the very top (usually the fax number is here) line. If you faxed it back to Mr. Yee, do you have noted what date and time you did this?

Thank You.

John Shore

Phone: 614-752-5029.

| This e-mail message, including any attachments, is for the sole use of OTP, Air Technologies and/or the intended lawful recipient(s) and may contain private, confidential, and/or privileged information. If you are not the intended recipient,

The Ohio Department Of Transportation - Division Of Finance
 Paycard Quote Information For Joe Yee's Transactions

07/26/11

Document ID	Seq #	Date Entered	Date Added	Comment Added By	Expanded Description	Extract Date
247869	1	12/30/09	01/08/10	D05AB1 - WELLMAN, AMANDA D	F05 100028 EMS VERIFIED	02/17/10
247869	2	01/01/00	01/13/10	D05AB1 - WELLMAN, AMANDA D	GREATER THAN 1000, NON CONTRACT? I THOUGHT WE WERE SPLITTING OUT LABOR	02/17/10
247869	3	01/01/00	01/13/10	D05AB1 - WELLMAN, AMANDA D	AND PARTS SO WE CAN REFERENCE THE CONTRACT? OR DID YOU GET QUOTES?	02/17/10
247869	4	01/01/00	01/14/10	D05JY2 - YEE, JOE	FROM JYEE 1/14: YES I GOT QUOTE (COPY IN MAIL TO YOU THIS AM)	02/17/10
247869	5	02/09/10	01/14/10	D05JY2 - YEE, JOE	\$ 800.00 MAT'L , \$320.00 LABOR TO INSTALL .	02/17/10
247869	6	01/01/00	01/19/10	D05AB1 - WELLMAN, AMANDA D	DID YOU QUOTE ANOTHER VENDOR? PURCHASE >\$1K NON CONTRACT REQUIRE 2 QUOTES.	02/17/10
247869	7	01/01/00	01/25/10	D05JY2 - YEE, JOE	FROMJYEE 1/25/2010 : I GOOFED--- DIDN'T GET SECOND QUOTE.	02/17/10
247869	8	01/01/00	01/25/10	D05DS2 - SAUNDERS, DELL	I TALKED TO JOE ABOUT GETTING QUOTES SO THAT HOPEFULLY IT WON'T HAPPEN AGAI	02/17/10
247869	9	01/01/00	01/27/10	D05AB1 - WELLMAN, AMANDA D	EXCEPTION LETTER IS BEING SUBMITTED TO DDD FOR THIS PURCHASE.	02/17/10
247869	10	01/01/00	01/27/10	D05AB1 - WELLMAN, AMANDA D	IT WILL ALSO BE REPORTED ON MONTHLY QAR.	02/17/10
247869	11	02/09/10	01/29/10	D05JK1 - KALIS, JOHN	PLEASE NOTE THAT THIS TYPE OF PURCHASE WILL BE DISCUSSED DURING YOUR UPCOMI	02/17/10
247869	12	01/01/00	01/29/10	D05JK1 - KALIS, JOHN	REFRESHER TRAINING NEXT WEEK. THANKS	02/17/10
247869	13	01/01/00	02/08/10	D05JY2 - YEE, JOE	THANK YOU	02/17/10
247869	14	01/01/00	02/12/10	D05JK1 - KALIS, JOHN	MARC, PLEASE REVIEW AND APPROVE, THANKS	02/17/10

330 833 7967 MASS. DHQ #3
09/22/2011 08:05 7403235

D5LR0

02:07:25 p.m. 09-22-2011 5/12
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TIME AND MATERIAL-PUMP CHANGE OUT

MATERIAL-

2- 2 inch x 3 inch long brass nipple	39.93
2- 2 inch dielectric union	29.82
3- 2 inch copper 90	45.73
1- 2 inch ball valve	38.65
2- 3 inch x 2 inch reducer	72.12
10 feet- 2 inch copper pipe	145

TOTAL- 371.26

TIME-

1- Plumber 8 hours at \$ 70.00 a hour	560
1- Laborer 8 hours at \$ 35.00 a hour	280

TOTAL- 840

TIME AND MATERIAL TOTAL- 1211.26

330 833 7967 MASS. DHQ #3
09/22/2011 08:05 /403235

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02:07:30 p.m. 09-22-2011 6/12
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** QUOTATION ** S010259066
09 FAMOUS SUPPLY OF NEWARK Page # 1 of 1
25 S 11TH ST
NEWARK, OH 43055-4063 740-345-9617

Bid To:
OHIO DEPT OF TRANSPORTATION
DISTRICT # 5
P O BOX 306
JACKSONTOWN, OH 43030-0306
Select Code : BR09

Ship To:
OHIO DEPT OF TRANSPORTATION
DISTRICT # 5
P O BOX 306
JACKSONTOWN, OH 43030-0306
PHONE # : 740-323-4400 PAUL

Bid-Date---Expr-Date--Writer--Terms-----Ship Via-----Warehouse-----
09/21/11 10/06/11 WDORSEY NET 30 DAYS ----- Shp 9 Prc 9
Purchase Order #-----Release #-----Print Time -----Frght Allowed-
COPPER BID ----- 09:16:22 21 SEP 2011 ----- N

Bid-Qty--		Unit	Net
2ea	NIPPLE BRASS 2" X 3" STD (STANDARD) BRASS NIPPLE	19.967ea	39.93
2ea	WATTS 0821560 301 2" DIELECTRIC FIP X COPPER SOLDER	14.914ea	29.83
3ea	COP-FTG 2-COP-90 607 2" C X C 90 ELL W02086 32-CC-90	15.243ea	45.73
1ea	NIBCO S-FP600N-2 2" C X C 600# FULL PORT BALL VALVE	38.652ea	38.65
2ea	COP-FTG 3X2-COP-RED W01094 3-1/8X2-1/8-OD-COP-RED-CPL 3 X 2" COPPER REDUCER CPL	36.062ea	72.12
10ft	COP-PIPE 2X10-L-HARD 2" X 10' LENGTH TYPE L COPPER TUBING, PRICE PER FT	14.500ft	145.00

BID TOTAL ----- 371.26
Bid Amount ----- 371.26
*** Continued on Next Page ***

330 833 7967

MASS. DHQ #3

02:07:40 p.m.

09-22-2011

7/12

09/22/2011

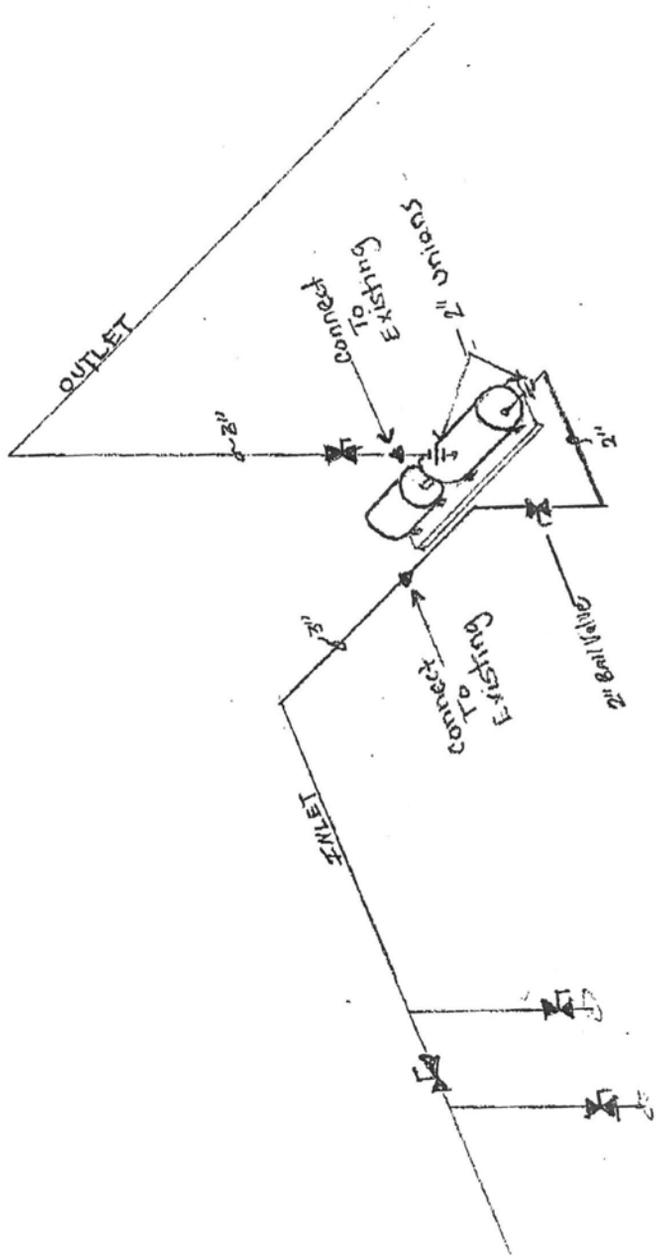
08:05

740323E

D5LR0

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Pump Reconfiguration



330 833 7967

MASS. DHQ #3

02:07:46 p.m.

09-22-2011

8 /12

09/22/2011

08:05

/403235

D5LR0

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PETERSON THERMAL EQUIPMENT COMPANY
MANUFACTURER'S REPRESENTATIVES & SPECIALTY DISTRIBUTORS

Date: 9-20-11

**To: ODOT
Attn: Hank**

Re: Water Transfer / Booster Pump

Based on our conversation, I am pleased to offer the following pump for your consideration. As I mentioned:

1. If the existing pump and motor were removed, the new pump & motor assembly could be mounted on the existing base.
2. The pump I am proposing is able to self prime up to 25ft. Since you do not have a flooded suction (you are drawing the water up a pipe with a check/foot valve on it) this is an ideal pump for you.
3. Piping changes would be minimal.

1 - MP Pumps model HHLF self priming high head pump, cast iron construction
Close coupled to a 7 ½ hp TEFC 3450rpm motor suitable for 230 or 460v /
3 phase. Please review attached dimensions and data.

\$ 1,797.00 + shipping. (estimated shipping is \$ 90.00)

Replacing the entire pump end in the future is less than \$ 1,000.00 (based on current prices)

Allow 2 - 3 weeks for delivery. Pricing firm for 30 days.
No taxes, fees or permits included.

Sincerely,
Ray Peterson

Cc: S McNutt, Shirley Karam

3545 MONROE STREET
TOLEDO, OHIO 43606
(419) 475-7100
FAX 475-1333

1028 GOODALE BLVD.
COLUMBUS, OHIO 43212
(614) 294-8851
FAX 294-8855

330 833 7967

MASS. DHQ #3

02.08.01 p.m.

09-22-2011

9/12

03/22/2011 08:00 140323t

D5LR0

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MP PUMPS, INC.

HHLF

~~1-1/2"~~ or 2" x ~~1-1/2"~~ or 2" High Head Low Flow Self Priming

HHL-Flomax (High Head Low Flow) "HR" high pressure self-priming centrifugal pumps meet USCG specifications for auxiliary fire control.

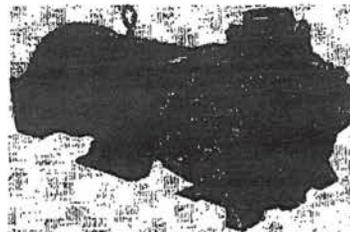
The high suction centerline and impeller design eliminates premature priming loss while ensuring consistent priming capability. The HHLF pump is capable of achieving up to 25 feet suction lift.

The HHLF series is available close coupled to NEMA "C" Face electric motors or as PumPAKs®. The engine drive models are capable of close coupling to both gasoline and diesel engines with 1" keyed drive shafts. Pedestal mounted pumps are also available.

The volute and impeller are removable and easily replaced.

SPECIFICATIONS:

Suction and Discharge	1-1/2" x 1-1/2" NPT 2" x 2" NPT
Materials of Construction	Bronze Cast iron ✓
Flow	Up to 140 GPM
Head Feet	Up to 190'
Impeller	<u>6.7" cast iron Class 30 or silicon bronze CA 875</u>
Drive Options	Close coupled 184TC ✓ Engine-mount 5.5 HP Engine-mount 7.5 HP Hydraulic motor .73 cu. in. Pedestal PumPAK® (without motor)
Seal	Optional seals available <u>Standard - carbon / ceramic / Viton</u>



Application:

- Agricultural
- Commercial
- Industrial
- Marine
- OEM

Adaptor:

• Cast Iron Class 30 or silicon bronze CA 875

Drive Sleeve:

• 304 stainless steel

Features:

• ABS approved for many shipboard services

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09/22/2011 08:05 740323F

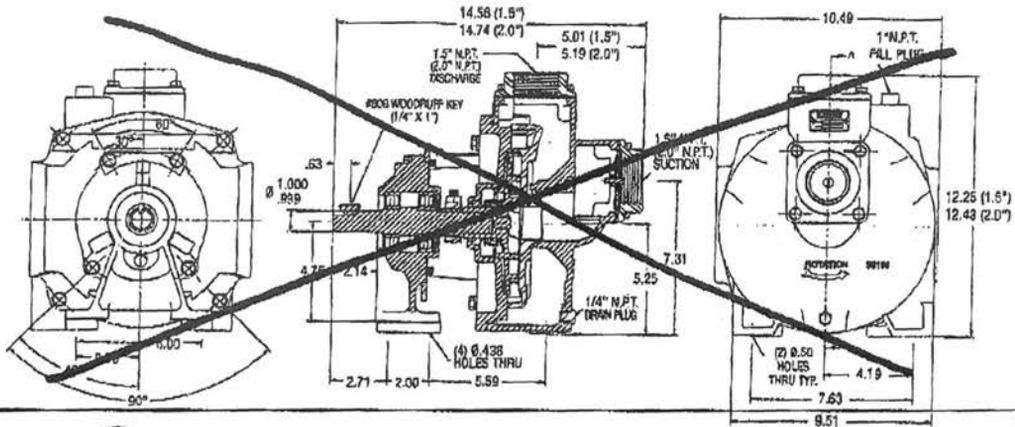
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02:08:24 p.m. 09-22-2011 10/12

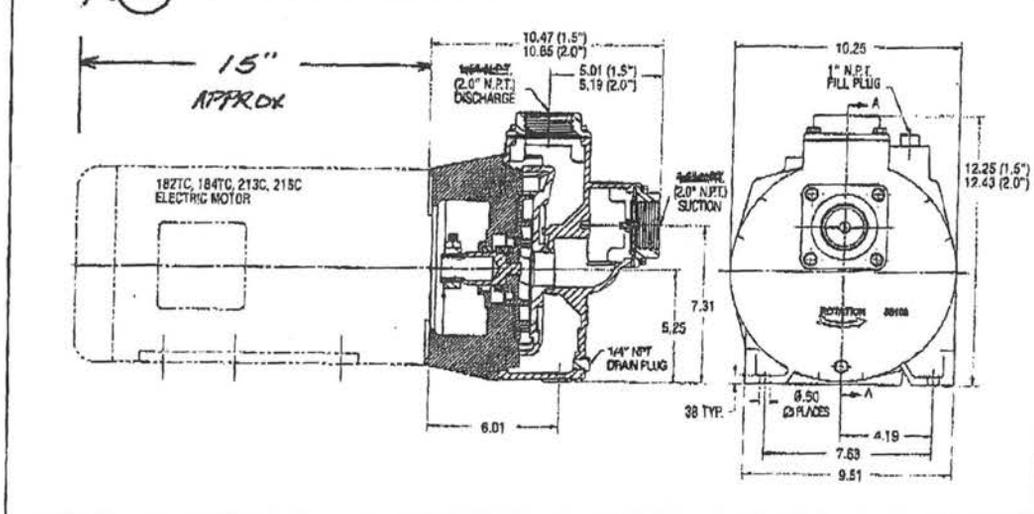
PAGE 10/12

HHLF

HHLF 1.5" (2.0") PEDESTAL PUMP



HHLF X5 (2.0") CLOSE COUPLED ELECTRIC MOTOR



34800 BENNETT • FRASER, MI 48026-1686
(586) 293-8240 • FAX (586) 293-8469
(800) 563-8006 • www.mppumps.com

FORM 6144-A

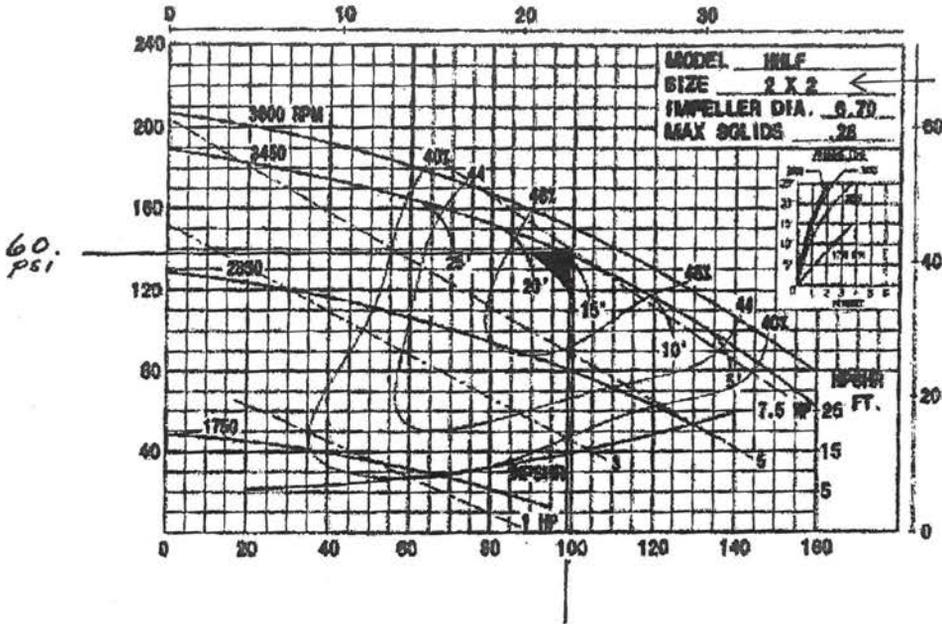
330 833 7967 MASS. DHQ #3
04/22/2011 08:05 740323F

D5LRD

02:08:40 p.m. 09-22-2011 11/12

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HHLF



100 gpm @ 60 psi

APPROXIMATELY 60-90 SECONDS TO DRY PRIME



34800 BENNETT • FRASER, MI 48026-1686
(586) 293-8240 • FAX (586) 293-8469
(800) 563-8006 • www.mppumps.com

FORM 8144-A

and maintenance in accordance with 4.1.2.4, the occupant, management firm, or managing individual shall comply with 4.1.5.

4.1.6 Where changes in the occupancy, hazard, water supply, storage commodity, storage arrangement, building modification, or other condition that affects the installation criteria of the system are identified, the owner or occupant shall promptly take steps, such as contacting a qualified contractor, consultant, or engineer, to evaluate the adequacy of the installed system in order to protect the building or hazard in question.

4.1.6.1 Where the evaluation reveals a deficiency causing a threat to life or property, the owner shall make appropriate corrections. All requirements of the authority having jurisdiction shall be followed.

4.1.6.2 Where an occupant, management firm, or managing individual has received the authority for inspection, testing, and maintenance in accordance with 4.1.2.4, the occupant, management firm, or managing individual shall comply with 4.1.6.

4.1.7 Where a water-based fire protection system is returned to service following an impairment, the system shall be verified to be working properly.

4.2 Impairments. Where an impairment to a water-based fire protection system occurs, the procedures outlined in Chapter 13 of this standard shall be followed, including the attachment of a tag to the impaired system.

4.3 Records.

4.3.1* Records of inspections, tests, and maintenance of the system and its components shall be made available to the authority having jurisdiction upon request.

4.3.2 Records shall indicate the procedure performed (e.g., inspection, test, or maintenance), the organization that performed the work, the results, and the date.

4.3.3 Records shall be maintained by the owner.

4.3.4 Original records shall be retained for the life of the system.

4.3.5 Subsequent records shall be retained for a period of 1 year after the next inspection, test, or maintenance required by the standard.

4.4* Inspection. System components shall be inspected at intervals specified in the appropriate chapters.

4.5 Testing.

4.5.1 All components and systems shall be tested to verify that they function as intended.

4.5.1.1 The frequency of tests shall be in accordance with this standard.

4.5.1.2 Fire protection system components shall be restored to full operational condition following testing including reinstallation of plugs and caps for auxiliary drains and test valves.

4.5.2 During all testing and maintenance, water supplies including fire pumps shall remain in service unless all impairment procedures contained in Chapter 13 are followed.

4.5.3 Test results shall be compared with those of the original acceptance test (if available) and with the most recent test results.

4.5.4 The types of tests required for each protection system and its components are detailed in the appropriate chapter.

4.5.5 Specialized equipment required for testing is defined in the appropriate chapter.

4.5.6* When a major component or subsystem is rebuilt or replaced, the subsystem shall be tested in accordance with the original acceptance test required for that subsystem.

4.5.6.1 Sprinkler systems in accordance with 5.4.3 shall be tested.

4.6* Maintenance. Maintenance shall be performed to keep the system equipment operable or to make repairs.

4.6.1 As-built system installation drawings, original acceptance test records, and device manufacturer's maintenance bulletins shall be retained to assist in the proper care of the system and its components.

4.7 Safety. Inspection, testing, and maintenance activities shall be conducted in a safe manner.

4.7.1 Confined Spaces. Legally required precautions shall be taken prior to entering confined spaces such as tanks, valve pits, or trenches.

4.7.2 Fall Protection. Legally required equipment shall be worn or used to prevent injury from falls to personnel.

4.7.3 Special Hazards. Precautions shall be taken to address any special hazards, such as protection against drowning where working on the top of a filled embankment or a supported, rubberized fabric tank, or over open water or other liquids.

4.7.4* Hazardous Materials.

4.7.4.1 Legally required equipment shall be used where working in an environment with hazardous materials present.

4.7.4.2 The owner shall advise anyone performing inspection, testing, and maintenance on any system under the scope of this document, with regard to hazardous materials stored on the premises.

4.8* Electrical Safety. Legally required precautions shall be taken when testing or maintaining electric controllers for motor-driven fire pumps.

4.9 Corrective Action. Manufacturers shall be permitted to make modifications to their own listed product in the field with listed devices that restore the original performance as intended by the listing, where acceptable to the authority having jurisdiction.

Chapter 5 Sprinkler Systems

5.1 General. This chapter shall provide the minimum requirements for the routine inspection, testing, and maintenance of sprinkler systems. Table 5.1 shall be used to determine the minimum required frequencies for inspection, testing, and maintenance.

Table 5.1 Summary of Sprinkler System Inspection, Testing, and Maintenance

Item	Activity	Frequency	Reference
Gauges (dry, preaction, and deluge systems)	Inspection	Weekly/monthly	5.2.4.2, 5.2.4.3
Control valves	Inspection	Weekly/monthly	Table 12.1
Alarm devices	Inspection	Quarterly	5.2.6
Gauges (wet pipe systems)	Inspection	Monthly	5.2.4.1
Hydraulic nameplate	Inspection	Quarterly	5.2.7
Buildings	Inspection	Annually (prior to freezing weather)	5.2.5
Hanger/seismic bracing	Inspection	Annually	5.2.3
Pipe and fittings	Inspection	Annually	5.2.2
Sprinklers	Inspection	Annually	5.2.1
Spare sprinklers	Inspection	Annually	5.2.1.3
Fire department connections	Inspection	Quarterly	Table 12.1
Valves (all types)	Inspection		Table 12.1
Alarm devices	Test	Quarterly/semiannually	5.3.3
Main drain	Test	Annually	Table 12.1
Antifreeze solution	Test	Annually	5.3.4
Gauges	Test	5 years	5.3.2
Sprinklers — extra-high temperature	Test	5 years	5.3.1.1.1.3
Sprinklers — fast response	Test	At 20 years and every 10 years thereafter	5.3.1.1.1.2
Sprinklers	Test	At 50 years and every 10 years thereafter	5.3.1.1.1
Valves (all types)	Maintenance	Annually or as needed	Table 12.1
Obstruction investigation	Maintenance	5 years or as needed	10.2.1, 10.2.2
Low point drains (dry pipe system)	Maintenance	Annually prior to freezing and as needed	12.4.4.3.3

5.1.1 Valves and Connections. Valves and fire department connections shall be inspected, tested, and maintained in accordance with Chapter 12.

5.1.2 Impairments. The procedures outlined in Chapter 14 shall be followed where an impairment to protection occurs.

5.1.3 Notification to Supervisory Service. To avoid false alarms where a supervisory service is provided, the alarm receiving facility shall be notified by the owner or designated representative as follows:

- (1) Before conducting any test or procedure that could result in the activation of an alarm
- (2) After such tests or procedures are concluded

5.1.4 Records. Records shall be maintained in accordance with Section 4.3.

5.2* Inspection.

5.2.1 Sprinklers.

5.2.1.1* Sprinklers shall be inspected from the floor level annually.

5.2.1.1.1 Sprinklers shall not show signs of leakage; shall be free of corrosion, foreign materials, paint, and physical damage; and shall be installed in the proper orientation (e.g., upright, pendent, or sidewall).

5.2.1.1.2 Any sprinkler shall be replaced that has signs of leakage; is painted, corroded, damaged, or loaded; or in the improper orientation.

5.2.1.1.3 Glass bulb sprinklers shall be replaced if the bulbs have emptied.

5.2.1.1.4* Sprinklers installed in concealed spaces such as above suspended ceilings shall not require inspection.

5.2.1.1.5 Sprinklers installed in areas that are inaccessible for safety considerations due to process operations shall be inspected during each scheduled shutdown.

5.2.1.2* Unacceptable obstructions to spray patterns shall be corrected.

5.2.1.3 The supply of spare sprinklers shall be inspected annually for the following:

- (1) The proper number and type of sprinklers
- (2) A sprinkler wrench for each type of sprinkler

5.2.2* Pipe and Fittings. Sprinkler pipe and fittings shall be inspected annually from the floor level.

5.2.2.1 Pipe and fittings shall be in good condition and free of mechanical damage, leakage, corrosion, and misalignment.

5.2.2.2 Sprinkler piping shall not be subjected to external loads by materials either resting on the pipe or hung from the pipe.

5.2.2.3* Pipe and fittings installed in concealed spaces such as above suspended ceilings shall not require inspection.

5.2.2.4 Pipe installed in areas that are inaccessible for safety considerations due to process operations shall be inspected during each scheduled shutdown.

5.2.3* Hangers and Seismic Braces. Sprinkler pipe hangers and seismic braces shall be inspected annually from the floor level.

5.2.3.1 Hangers and seismic braces shall not be damaged or loose.

5.2.3.2 Hangers and seismic braces that are damaged or loose shall be replaced or refastened.

5.2.3.3* Hangers and seismic braces installed in concealed spaces such as above suspended ceilings shall not require inspection.

5.2.3.4 Hangers installed in areas that are inaccessible for safety considerations due to process operations shall be inspected during each scheduled shutdown.

5.2.4 Gauges.

5.2.4.1* Gauges on wet pipe sprinkler systems shall be inspected monthly to ensure that they are in good condition and that normal water supply pressure is being maintained.

5.2.4.2 Gauges on dry, preaction, and deluge systems shall be inspected weekly to ensure that normal air and water pressures are being maintained.

5.2.4.3 Where air pressure supervision is connected to a constantly attended location, gauges shall be inspected monthly.

5.2.4.4* For dry pipe or preaction systems protecting freezers, in accordance with Figure A.5.2.4.4 the air pressure gauge near the compressor shall be compared weekly to the pressure gauge above the dry pipe or preaction valve. When the gauge near the compressor is reading higher than the gauge near the dry pipe valve, the air line in service shall be taken out of service, and the alternate air line opened to equalize the pressure. The air line taken out of service shall be internally inspected, have all ice blockage removed, and shall be reassembled for use as a future alternate air line.

5.2.5 Buildings. Annually, prior to the onset of freezing weather, buildings with wet pipe systems shall be inspected to verify that windows, skylights, doors, ventilators, other openings and closures, blind spaces, unused attics, stair towers, roof houses, and low spaces under buildings do not expose water-filled sprinkler piping to freezing and to verify that adequate heat [minimum 4.4°C (40°F)] is available.

5.2.6 Alarm Devices. Alarm devices shall be inspected quarterly to verify that they are free of physical damage.

5.2.7* Hydraulic Nameplate. The hydraulic nameplate for hydraulically designed systems shall be inspected quarterly to verify that it is attached securely to the sprinkler riser and is legible.

5.2.8 Hose Connections. Hose connections and hose shall be inspected in accordance with the requirements of Chapter 6 and Chapter 12.

5.3 Testing.

5.3.1* Sprinklers.

5.3.1.1* Where required by this section, sample sprinklers shall be submitted to a recognized testing laboratory acceptable to the authority having jurisdiction for field service testing.

5.3.1.1.1 Where sprinklers have been in service for 50 years, they shall be replaced or representative samples from one or

more sample areas shall be tested. Test procedures shall be repeated at 10-year intervals.

5.3.1.1.1.1 Sprinklers manufactured prior to 1920 shall be replaced.

5.3.1.1.1.2 Sprinklers manufactured using fast-response elements that have been in service for 20 years shall be tested. They shall be retested at 10-year intervals.

5.3.1.1.1.3* Representative samples of solder-type sprinklers with a temperature classification of extra high 163°C (325°F) or greater that are exposed to semicontinuous to continuous maximum allowable ambient temperature conditions shall be tested at 5-year intervals.

5.3.1.1.1.4 Where sprinklers have been in service for 75 years, they shall be replaced or representative samples from one or more sample areas shall be submitted to a recognized testing laboratory acceptable to the authority having jurisdiction for field service testing. Test procedures shall be repeated at 5-year intervals.

5.3.1.1.1.5 Dry sprinklers that have been in service for 10 years shall be tested or replaced. If maintained and serviced, they shall be retested at 10-year intervals.

5.3.1.1.2* Where sprinklers are subjected to harsh environments, including corrosive atmospheres and corrosive water supplies, on a 5-year basis, sprinklers shall either be replaced or representative sprinkler samples shall be tested.

5.3.1.1.3 Where historical data indicates, longer intervals between testing shall be permitted.

5.3.1.2* A representative sample of sprinklers for testing per 5.3.1.1.1 shall consist of a minimum of not less than 4 sprinklers or 1 percent of the number of sprinklers per individual sprinkler sample, whichever is greater.

5.3.1.3 Where one sprinkler within a representative sample fails to meet the test requirement, all sprinklers represented by that sample shall be replaced.

5.3.1.3.1 Manufacturers shall be permitted to make modifications to their own sprinklers in the field with listed devices that restore the original performance as intended by the listing, where acceptable to the authority having jurisdiction.

5.3.2* Gauges. Gauges shall be replaced every 5 years or tested every 5 years by comparison with a calibrated gauge. Gauges not accurate to within 3 percent of the full scale shall be recalibrated or replaced.

5.3.3* Alarm Devices.

5.3.3.1 Water-flow devices including, but not limited to, mechanical water motor gongs and pressure switch type shall be tested quarterly.

5.3.3.2* Vane-type waterflow devices shall be tested semiannually.

5.3.3.3* Testing the water-flow alarms on wet pipe systems shall be accomplished by opening the inspector's test connection.

5.3.3.3.1 Where freezing weather conditions or other circumstances prohibit use of the inspector's test connection, the bypass connection shall be permitted to be used.

5.3.3.4 Fire pumps shall not be turned off during testing unless all impairment procedures contained in Chapter 14 are followed.

5.3.3.5* Testing the water-flow alarm on dry pipe, preaction, or deluge systems shall be accomplished by using the bypass connection.

5.3.4* **Antifreeze Systems.** The freezing point of solutions in antifreeze shall be tested annually by measuring the specific gravity with a hydrometer or refractometer and adjusting the solutions if necessary.

5.3.4.1 Solutions shall be in accordance with Table 5.3.4.1(a) and Table 5.3.4.1(b).

5.3.4.2 The use of antifreeze solutions shall be in accordance with any state or local health regulations.

5.3.5 **Hose Connections.** Hose connections and hose shall be tested in accordance with the requirements of Chapter 6 and Chapter 12.

5.4 Maintenance.

5.4.1 Sprinklers.

5.4.1.1 Replacement sprinklers shall have the proper characteristics for the application intended. These shall include the following:

(1) Style

(2) Orifice size and *K*-factor

(3) Temperature rating

(4) Coating, if any

(5) Deflector type (e.g., upright, pendent, sidewall)

(6) Design requirements

5.4.1.1.1* Spray sprinklers shall be permitted to replace old-style sprinklers.

5.4.1.1.2 Replacement sprinklers for piers and wharves shall comply with NFPA 307, *Standard for the Construction and Fire Protection of Marine Terminals, Piers, and Wharves*.

5.4.1.2 Only new, listed sprinklers shall be used to replace existing sprinklers.

5.4.1.3* Special and quick-response sprinklers as defined by NFPA 13, *Standard for the Installation of Sprinkler Systems*, shall be replaced with sprinklers of the same make, model, orifice, size, temperature range and thermal response characteristics, and *K*-factor.

5.4.1.3.1 If the special or quick-response sprinkler is no longer manufactured, a special or quick-response sprinkler with comparable performance characteristics shall be installed.

5.4.1.4* A supply of spare sprinklers (never fewer than six) shall be maintained on the premises so that any sprinklers that have operated or been damaged in any way can be promptly replaced.

Table 5.3.4.1(a) Antifreeze Solutions to Be Used If Nonpotable Water Is Connected to Sprinklers

Material	Solution (by volume)	Specific Gravity at 60°F (15.6°C)	Freezing Point	
			(°C)	(°F)
Glycerine*				
Diethylene glycol	50% water	1.078	-25.0	-13
	45% water	1.081	-32.8	-27
	40% water	1.086	-41.1	-42
	Hydrometer scale 1.000 to 1.120 (subdivisions 0.002)			
Ethylene glycol				
	61% water	1.056	-23.3	-10
	56% water	1.063	-28.9	-20
	51% water	1.069	-34.4	-30
	47% water	1.073	-40.0	-40
	Hydrometer scale 1.000 to 1.120 (subdivisions 0.002)			
Propylene glycol*				
Calcium chloride 80% "flake"	lb CaCl ₂ /gal of water			
Fire protection grade**				
Add corrosion inhibitor of sodium bichromate	2.83	1.183	-17.8	0
¾ oz/gal water	3.38	1.212	-23.3	-10
	3.89	1.237	-28.9	-20
	4.37	1.258	-34.4	-30
	4.73	1.274	-40.0	-40
	4.93	1.283	-45.6	-50

*If used, see Table 5.3.4.1(b).

**Free from magnesium chloride and other impurities.

Table 5.3.4.1(b) Antifreeze Solutions to Be Used If Potable Water Is Connected to Sprinklers

Material	Solution (by volume)	Specific Gravity at 60°F (15.6°C)	Freezing Point	
			(°C)	(°F)
Glycerine C.P. or U.S.P. grade*	50% water	1.133	-26.1	-15
	40% water	1.151	-30.0	-22
	30% water	1.165	-40.0	-40
	Hydrometer scale 1.000 to 1.200			
Propylene glycol	70% water	1.027	-12.8	+9
	60% water	1.034	-21.1	-6
	50% water	1.041	-32.2	-26
	40% water	1.045	-51.1	-60
	Hydrometer scale 1.000 to 1.200			

*C.P. = Chemically pure; U.S.P. = United States Pharmacopoeia 96.9%.

5.4.1.4.1 The sprinklers shall correspond to the types and temperature ratings of the sprinklers in the property.

5.4.1.4.2 The sprinklers shall be kept in a cabinet located where the temperature in which they are subjected will at no time exceed 38°C (100°F).

5.4.1.4.2.1 Where dry sprinklers of different lengths are installed, spare dry sprinklers shall not be required, provided that a means of returning the system to service is furnished.

5.4.1.5 The stock of spare sprinklers shall include all types and ratings installed and shall be as follows:

- (1) For protected facilities having under 300 sprinklers — no fewer than 6 sprinklers
- (2) For protected facilities having 300 to 1000 sprinklers — no fewer than 12 sprinklers
- (3) For protected facilities having over 1000 sprinklers — no fewer than 24 sprinklers

5.4.1.6* A special sprinkler wrench shall be provided and kept in the cabinet to be used in the removal and installation of sprinklers. One sprinkler wrench shall be provided for each type of sprinkler installed.

5.4.1.7 Sprinklers protecting spray coating areas shall be protected against overspray residue.

5.4.1.7.1 Sprinklers subject to overspray accumulations shall be protected using plastic bags having a maximum thickness of 0.076 mm (0.003 in.) or shall be protected with small paper bags.

5.4.1.7.2 Coverings shall be replaced when deposits or residue accumulate.

5.4.1.8* Sprinklers shall not be altered in any respect or have any type of ornamentation, paint, or coatings applied after shipment from the place of manufacture.

5.4.1.9 Sprinklers and automatic spray nozzles used for protecting commercial-type cooking equipment and ventilating systems shall be replaced annually.

5.4.1.9.1 Where automatic bulb-type sprinklers or spray nozzles are used and annual examination shows no buildup of grease or other material on the sprinklers or spray nozzles,

such sprinklers and spray nozzles shall not be required to be replaced.

5.4.2* **Dry Pipe Systems.** Dry pipe systems shall be kept dry at all times.

5.4.2.1 During nonfreezing weather, a dry pipe system shall be permitted to be left wet if the only other option is to remove the system from service while waiting for parts or during repair activities.

5.4.2.2 Air driers shall be maintained in accordance with the manufacturer's instructions.

5.4.2.3 Compressors used in conjunction with dry pipe sprinkler systems shall be maintained in accordance with the manufacturer's instructions.

5.4.3* **Installation and Acceptance Testing.** Where maintenance or repair requires the replacement of sprinkler system components affecting more than 20 sprinklers, those components shall be installed and tested in accordance with NFPA 13, *Standard for the Installation of Sprinkler Systems*.

5.4.4* **Marine Systems.** Sprinkler systems that are normally maintained using fresh water as a source shall be drained and refilled, then drained and refilled again with fresh water following the introduction of raw water into the system.

Chapter 6 Standpipe and Hose Systems

6.1 **General.** This chapter shall provide the minimum requirements for the routine inspection, testing, and maintenance of standpipe and hose systems. Table 6.1 shall be used to determine the minimum required frequencies for inspection, testing, and maintenance.

6.1.1 **Valves and Connections.** Valves and fire department connections shall be inspected, tested, and maintained in accordance with Chapter 12.

6.1.2 **Impairments.** Where the inspection, testing, and maintenance of standpipe and hose systems results or involves a system that is out of service, the procedures outlined in Chapter 14 shall be followed.

#1

Fire Pump Standpipes
 Wet Pre-Action
 Dry Deluge
 Antifreeze Other

Valve Serial No.

Static psi 82 112

Residual psi - 65

Did Alarms Operate? Yes Yes

Air (psi) / QOD Trip (sec.) / QOD Trip (psi) / Valve Trip (sec.) / Valve Trip (psi) / Water Flow @ IT (sec.)

Low Points Drained Water Supply & Valve Left Open Yes Yes

No. Low Points to Drain

Date	Inspector	AF Protection
5-6-08	Terry Dickson	54-25-1035
7-24-08	Terry Dickson	54-25-1035

S.A. Comunale Co. Inc.
 FIRE PROTECTION CONTRACTORS
 SPECIALIST IN AUTOMATIC FIRE SPRINKLER SYSTEMS
 1-614-291-7001

#2

Fire Pump Standpipes
 Wet Pre-Action
 Dry Deluge
 Antifreeze Other

Valve Serial No.

Static psi 83 115

Residual psi - 65

Did Alarms Operate? Yes Yes

Air (psi) / QOD Trip (sec.) / QOD Trip (psi) / Valve Trip (sec.) / Valve Trip (psi) / Water Flow @ IT (sec.)

Low Points Drained Water Supply & Valve Left Open Yes Yes

No. Low Points to Drain

Date	Inspector	AF Protection
5-6-08	Terry Dickson	54-25-1035
7-24-08	Terry Dickson	54-25-1035

S.A. Comunale Co. Inc.
 FIRE PROTECTION CONTRACTORS
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