Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

ALPHA GENERATION	Revision date: **July 2026**	Revision 3
AG-BO-103	**PROCUREMENT POLICIES & PROCEDURES**	

PROCUREMENT POLICIES & PROCEDURES

Prepared By: Solangel Henriquez
Solangel Henriquez – Director, Procurement

Approved By: Chuck Tack
Chuck Tack – Chief Operating Officer

Revision #	Description of Change	Date	Modified by
0	Original	May 2024	Junnie Campbell
1	Addition of DOA	November 2024	Josue Goetz
2	Various Updates	September 2025	Solangel Henriquez
3	Updated DOA & Various Updates	July 2026	Solangel Henriquez

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

Table of Contents

1. PROCUREMENT PROCEDURES 1
1.1 Requisitioning Procedures 1
1.1.1. Purpose 1
1.1.2. Overview 1
1.1.3. Procedure 1
1.1.4. Work Management System Review Statuses 2
1.1.5. Approval 2
1.2 Bidding Procedure 3
1.2.1. Purpose 3
1.2.2. Overview 3
1.2.3. Procedure 3
1.2.4. Confidentiality of Supplier Bids and Quotations 5
1.2.5. Guidelines to Electronic Bid Submission 5
1.2.6. Evaluating Bids 6
1.3 Form of Supplier Agreement 7
1.4 Segregation of Duties 9

2. PLANT PROCUREMENT GUIDELINES 10
2.1. Purpose 10
2.2. Key Definitions 10
2.3. Overview 10
2.4. Guidelines 10

3. SUPPLIER QUALIFICATION PROCESS 13
3.1. Purpose 13
3.2. Overview 13
3.3. Supplier Qualification Process 13

4. PURCHASING CARD (P-CARD) PROCEDURE 14
4.1. Introduction 14
4.2. Cardholder's Procedures 14
4.3. P-Card Uses 14
4.4. P-Card Misuse 14
4.5. General Instructions for the Use of the Purchasing Card 14
4.6. Monthly Statement Reconciliation 15
4.7. Returns, Credits and Disputed Items 15
4.8. Purchasing Card Security 15
4.9. Sales Tax Issues 16
4.10. Monthly Auditing Procedures 16
4.11. Department Manager's Procedures 16

APPENDIX I 18

APPENDIX II 20

APPENDIX III 31

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

1. PROCUREMENT PROCEDURES

These Procurement Procedures consist of the following sections:

1.1 Requisitioning Procedures
1.2 Bidding Procedures
1.3 Form of Supplier Agreement
1.4 Segregation of Duties

1.1 Requisitioning Procedures

1.1.1. Purpose

This procedure describes how to formally request the acquisition of goods or services necessary to support the operations of the Company.

1.1.2. Overview

To initiate the purchase of goods, materials, equipment, services, or equipment rentals, Requisitioners must complete and submit for approval a Requisition within the work management system.

The Requisitioner's adherence to and support of the following steps will facilitate the processing of a Requisition into a Purchase Order:

1) Any person is permitted to enter a requisition. **Best practice** is to confer with team members to determine or develop the appropriate sourcing strategy (i.e., competitively bid or single source to a preferred supplier) of the material or service requested.
2) Request bids/quotes from qualified suppliers and linked to the appropriate work order and cost account codes.
3) Evaluate and select supplier proposals and/or negotiate acceptable pricing with the selected supplier prior to entering into agreement terms and conditions.
4) The appropriate level Manager in accordance with the Delegation of Authority (as detailed in the Delegation of Authority Grid provided in Section 1.1.5) must approve the Requisition.

1.1.3. Procedure

Prior to completing a Requisition for materials, first thoroughly check existing supplies in the work management system and confer with the Warehouse to determine if required materials are not on hand and a Requisition is necessary.

Requisitions shall be completed and submitted for approval within the work management system.

At a minimum, Requisitions must include the following information:

- Detailed description of the Good and/or Service
- List each item separately by part number and quantity
- Appropriate technical requirements for unique engineered equipment, material or services (e.g., scope of work, specifications, drawings, etc. should all be attached to the Documents Tab in the Requisition)
- Cost Accounting Code (e.g., Work Order, Capital project number, GL number, etc.)
- Cost estimate or price quotation (attach the Documents in Requisition)
- Suggested supplier/s
- Required Delivery Date. Note that listing "ASAP" is not an acceptable entry
- Name of the person making the request

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

1.1.4. Work Management System Review Statuses

Status	Description/Purpose
Unfinished	The requestor enters the requisition and uploads backup documentation (i.e., multiple quotes, RTA Memo, etc.)
Management Review (Optional)	Optional review status. Station Manager reviews the need for the requested goods or services
Financial Review	Station Business Analyst reviews the work order, budget, and accounting
Procurement Review	**Under $300,000:** Plant Procurement Designated Employee reviews this request has been competitively bid and/or has Sole-Source Justification comments **Over $300,000:** Managed by AlphaGen Procurement (i.e. bidding process, sole-sourcing, terms and conditions, etc.)
Awaiting Approval	Requisition goes through the proper approvals in accordance with the DOA Matrix below
Approved	Requisition has been fully reviewed and approved. AlphaGen Procurement and/or the Plant Procurement Designated Employee shall finalize the Purchase Order and issue it to the supplier



1.1.5. Approval

Requisitions shall be approved in accordance with the Delegation of Authority (DOA) Matrix below:

		PORTFOLIO COMPANIES			PLANT OPERATIONS		
		Chief Operating Officer	**SVP Engineering**	**VP**	**CAMS VP/Director Operations Director, NYC Assets**	**Plant Manager (Operator)**	**Operations & Maintenance Manager (Operator)**
CAPEX	**Budgeted**[1]	Up to the Budgeted Amount	Up to the Budgeted Amount	$200,000	$600,000	$300,000	$150,000
	Unbudgeted	$300,000	$300,000		$300,000	$150,000	
OPEX	**Budgeted**	Up to the Budgeted Amount	Up to the Budgeted Amount	$200,000	$600,000	$300,000	$150,000
	Unbudgeted	$300,000	$300,000		$300,000	$150,000	
G&A	**Budgeted**	Up to the Budgeted Amount	Up to the Budgeted Amount	$200,000	$600,000	$300,000	$150,000
	Unbudgeted	$300,000	$300,000		$300,000	$150,000	

[1] In no event shall the net effect on EBITDA or net cash flow exceed 2% of the approved Annual Budget.

- "Budgeted Amount" includes the spend for a specific budgeted event or item, as tested in the aggregate (i.e., whether paid in a single payment or series of related payments). For a contract covering multiple items and/or time periods, the Budgeted amount should include the value of the life of the contract relative to the status quo."
- "Annual Budget" is defined as the Board-approved budget for the applicable PortCo as measured for the calendar year.
- Transactions requiring the Company to commit (i) unbudgeted resources in excess of $300,000 and (ii) budgeted resources where (a) the scope of the underlying Transaction has materially changed, (b) additional material details have emerged regarding the Transaction or the (c) budgeted amount has increased or decreased by more 10% since the Transaction was approved, shall be subject to the **Commitments Policy**.
- If the requisition is for an unbudgeted expense that exceeds **$300,000**, the applicable site's Plant Manager is required to obtain approval through the **Commitments Committee**. Refer to the "**Alpha Generation Unbudgeted Expenditures Approval Process**" for further requirements.

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

1.2 Bidding Procedure

1.2.1. Purpose

This procedure describes how to secure quotations from vendors in a fair and ethical manner for the purpose of comparing prices and values for requisitioned goods and services.

1.2.2. Overview

Requestors shall obtain pricing quotations and proposals. Bidders that have been pre-qualified in accordance with the Supplier Qualification Process Procedure are preferred. New vendors will need to go through the Supplier Qualification Process.

In accordance with the requisition total estimated value as per the following table, quotations and proposals shall be obtained either as:

1) A written quote received via a verbal request,
2) A written quote received via a written request for quotation (RFQ), or
3) A sealed bid received through a formal sealed bid Request for Proposal (RFP)

Estimated Requisition Value (excluding tax & freight)	Required Bid Quotations
Less than $50,000	1 Written Bid
$50,001 to $300,000	At least 2-3 Written Bids*
Greater than $300,000	3 Sealed Bids via RFP with appropriate specification and terms and conditions

***Note that regardless of the requisition value, a written Request for Quotation or Proposal should be utilized as a best practice to ensure that the company is receiving quotations and proposals that are in accordance with the company's requirements and Procurement's duty to secure best pricing.**

1.2.3. Procedure

Bid Solicitation: Quotations and proposals may be solicited from suppliers utilizing one of the following methods, depending on the estimated requisition value:

1) Obtaining Bid Quotations via Verbal Request

When verbally soliciting written quotations for less complicated goods and services that are under $50,000, at a minimum, request that Bidders include the following details:

- Bidder's company name, address, telephone number
- Quotation date
- Name of the person providing the quotation
- Identify quantity, a clear description, unit pricing for each item, supplier part number, manufacturer and manufacturer part number, and any other specification details needed to accurately describe the item
- Payment Terms (Net 30 or 2%/10 days)
- Lump Sum or Time & Material Purchase
- Shipment Method (i.e. UPS, Air Freight, etc.)

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

- Freight Terms (i.e. FOB point and who is paying for freight)
- Any other special terms & conditions (Note that standard terms & conditions shall be referenced and included in all subsequent Purchase Orders unless another agreement with the supplier is in place that will govern the transaction)

2) Obtaining Bid Quotations (non-sealed) via a written Request for Quotation

When soliciting quotations for goods and services that range between $50,001 and $300,000, a Request for Quotation that is e-mailed to Bidders must include the following components:

- Include a clear and detailed description of the goods, materials, or services requested. If parts are requested, the supplier part number, manufacturer and manufacturer part number or any other specification details needed to accurately describe the item
- Bidder's company name, address, telephone number
- Quotation due date
- Name of the person providing the quotation
- Identify quantity, description, and unit pricing for each item
- Payment Terms
- Shipment Method (i.e. UPS, Air Freight, etc.)
- Freight Terms (i.e. FOB point and who is paying for freight)
- Any other special terms & conditions (Note that the standard terms & conditions shall be referenced in all subsequent Purchase Orders unless a previous agreement with the supplier is in place that will govern the transaction)
- Do **not** send the internal Requisition to the Bidder.

3) Obtaining Sealed Bid Proposals via written Request for Proposal (RFP)

When the total estimated value of a Requisition is greater than $300,000, or when the Requisition contains engineered equipment, materials or services supported with a written Specification, a Bid Evaluation Team from the appropriate functional areas (e.g. Engineering, Operations, Maintenance, Procurement, etc.) must be formed to develop a RFP package as follows:

- Procurement will initiate the Bid Evaluation Team to review the specifications, drawings, term-sheet, and all other details to establish the bidder response criteria;
- Develop a list of recommended Bidders in accordance with the Bid Evaluation Team;
- Organize the response criteria utilizing the applicable Request for Proposal (RFP) template. Note that when conforming the RFP template to meet the requirements of a specific bid, the RFP must contain at a minimum:
    1. Bid Instructions;
    2. A commercial Bid Form that requires the bidder to list proposals in a specific format that has been conformed to the specific Scope of Work;
    3. The appropriate pro-forma Agreement template, or term-sheet, that stipulates the applicable terms and conditions for the good or service being procured;
    4. A Bid Due Date, which includes the time bids are due.

The above items will expedite the bid evaluation process and assist in more fairly assessing the proposals.

After the Bid Package has been reviewed by the Bid Evaluation Team, AlphaGen Procurement will issue the RFP to Bidders by e-mail.

A Pre-Bid Meeting (aka Bid Walk) shall be scheduled for most medium/large RFPs, which allows bidders the opportunity to ask questions regarding the RFP Package and Specification, and to review the actual site conditions where the work will be performed. The date and logistics of the Pre-Bid Meeting must also be included in the RFP package. A sample Pre-Bid Meeting template is available.

Any changes to the RFP Package, Scope of Services, Specifications, extension of the Bid Due Date, or

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

any general questions received by the requestor from Bidders during the bidding phase must be addressed through issuing sequentially numbered Bid Addendums to all bidders through e-mail.

1.2.4. Confidentiality of Supplier Bids and Quotations

It is company policy to hold and maintain supplier bids and proprietary pricing in the strictest confidence. Employees shall not divulge or reveal any supplier pricing in written or verbal form to competitors, other third parties, or any other employee not directly involved with the specific procurement at hand. Quotations and Proposals shall be opened and distributed internally as follows:

1) Non-Sealed Bids
Procurement Representative or other authorized employees who receive pricing shall not disclose, release, or discuss internally with other employees any supplier pricing or quotations until after all bids are received and complete in response to a specific bidding event. After all quotations are received, they shall be distributed to the Project Manager and management as necessary during the evaluation and approval process.

2) Sealed Bids
Sealed bids shall be submitted by no later than the Bid Due Date directly to the AlphaGen's Procurement Director. The bids shall remain sealed in the secure BOX folder until the bid opening. The bid opening shall be initiated by the Procurement representative or authorized person after the arrival of all bids by suppliers. The Procurement representative or authorized person will notify the AlphaGen's Procurement Director to open the BOX folder. The AlphaGen's Procurement Director shall include at least one (1) other internal representative to witness the opening of the bids and record the initial unevaluated bid prices.

1.2.5. Guidelines to Electronic Bid Submission

A BOX link is set up for the **AlphaGen's Procurement Director** to accept bids from bidders.

BIDS.ac8t3y7qeoj1qx1x@u.box.com

Procurement will follow the steps below to send the electronic bid:

The bidder must submit the bid documents in the following manner:

a. Copy and paste the link in the e-mail "To:" section.
b. The supplier will proceed to attach two (2) documents:
    1. (1) Priced Bid with all documents, drawings, schedules, etc.
    2. (1) Unpriced Bid
    3. Bidders must follow directions below:
        - Do not submit more than two documents.
        - Do not submit any notes/correspondence in the actual e-mail. Everything important to the bid submission should be in the document attachment.
        - Any e-mail sent without an attachment will send back an error.
c. Ensure bid attachments are clearly named with the *RFP#, Bidder's Company Name, and Date* of submittal.
d. Ensure the attachments sent use this account only, with no other contacts "Cc'd" (including Bidder's company or any other entity).
e. Failure to submit the bid electronically using the above-mentioned account may deem the bid rejected or non-responsive.

Electronic Bid Opening Steps:

1. Once the bid date and time is fulfilled, the Procurement representative or authorized person informs the AlphaGen Procurement Director to open the BOX by providing a **Sealed Bid Opening Form**, and share the file with the counterpart responsible to witness the bid opening.

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

The witness shall be a member of AlphaGen Procurement team or any other such person deemed appropriate. The Sealed Bid Opening form must list all the anticipated bidders names, project description, and RFP number pre-populated on the top section of the form.

2. The **Sealed Bid Opening Form** should be completed and signed by the AlphaGen Procurement Director and the witness.
3. The bids can then be copied to a new BOX file and shared with the Procurement representative or authorized person.
4. Any errors, such as e-mails without attachments, should be reported to the AlphaGen Procurement Director.
5. The BOX link original folder should be left empty for the next set of bids.

1.2.6. Evaluating Bids

The Procurement representative or authorized person shall complete the Bid Evaluation Template. The Bid Evaluation Team shall recommend awarding to the lowest priced technically qualified bidder based on a fair assessment of the following evaluation criteria:

- Technically meets the scope of work requirements
- Meets the required delivery dates/completion dates
- Risks associated with Bidder's proposed terms and conditions
- Pricing

The bid evaluation team will perform the following steps in completing the evaluation:

1) The procurement person or authorized person shall enter the proposals into a bid evaluation matrix (i.e., bid tabulation) that illustrates the variances between the proposals. The evaluation should summarize and make a comparative analysis of the bid packages based on the recommended evaluation criteria (i.e., price, delivery, terms, technical compliance, etc.).

2) Maintain the integrity of the bid process throughout the entire bid evaluation period by refraining from disclosing or discussing any bid information, including pricing, internally (with the exception of individuals directly involved with the specific procurement or management), or with any external third party until the bid is awarded to the successful supplier. (Note that even after the bid is awarded, Bidder's pricing should not be revealed to their competitors.)

3) The technical representative(s) on the Bid Evaluation Team shall complete a technical evaluation of the bids to determine if they are in conformance with the specifications and requirements.

4) For packages over **$1,000,000**, the Bid Evaluation Team shall also write a concise Recommendation to Award Memo that clearly shows the justification for awarding to the selected supplier. The Requestor shall proceed with entering the Requisition for approval in accordance with the Delegation of Authority Matrix.

1.2.7. Exceptions to the Bid Requirements (i.e. Single or Sole Source Procurement)

- Immediate mobilization of resources to support forced outage emergencies are exempt from the bidding process.
- If competitive sourcing is not possible for any requisitions over **$600,000**, the requestor shall prepare a Recommendation to Award Memo clearly explaining the reasons why the materials or services cannot be competitively bid. The recommendation to Award Memo must be approved by the Plant Manager and the appropriate authorized person prior to award notification.

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

- If competitive sourcing is not possible for any requisitions between **$50,000** and **$600,000**, the requestor shall enter detailed "Comments" in the Work Management System clearly explaining the reasons why the materials or services cannot be competitively bid.
- For any requisitions under **$300,000**, the requestor shall reach out to the AlphaGen **Project AIM** Primary Vendors and proceed with entering the requisition. Plants can reach out to AlphaGen Procurement for the latest list of Primary Vendors.
- Other accepted exceptions include the Procurement of goods and services from:
  - Original Equipment Manufacturers (OEM)
  - Plants with a fully-executed and active Contractual Services Agreement (CSA)
  - Plants with a fully-executed and active Long Term Program Contract (LTP/LTSA)

1.3 Form of Supplier Agreement

1.3.1. Purpose

This procedure describes the various acceptable forms of agreement permissible to issue and enter with a supplier for the procurement of goods and services. The authorized forms of agreements with suppliers for the procurement of goods and services should be utilized as follows:

Form of Agreement	When to utilize
Purchasing Card (P-Card)	Use a P-Card for emergency or non-routine low-dollar value, low risk, non-capital goods and services. The transaction amount for most cardholders is generally capped at $2,000 per transaction. See Purchasing Card Procedures for details on how to acquire and use the P- Card.
Purchase Order (PO)	Procurement representative or authorized person shall issue Purchase Orders to be utilized in one of the following ways: • Issued as the sole primary form of agreement with the supplier. Note that in these circumstances, Short Form Terms and Conditions should always be referenced and attached to the PO; • Issued as a release against a Stand Alone Agreement, Task Order, Master Agreement, or Consulting Agreement (see additional details below). Note that in these circumstances, the specific Agreement should be referenced within the PO. Purchase Orders will be generated only from Requisitions submitted and approved in accordance with Section 1 - Requisition Procedure described above.
Supplier Change Request (SCR) / Extra Work Authorization (EWA)	Additional scope of work identified post-PO award shall be submitted by the supplier, in the form of SCR and/or EWA, to the plant management team, for review and approvals. **Once executed, it provides authorization to proceed with the adder scope of work.** **SCR/EWA Review/Approval Process:** 1. Engineering Review (Technical Validation): Confirms the extra work is technically justified, out-of-scope, and safe, including evaluation of alternatives and scope accuracy. 2. Plant Management Review (Operational & Financial Oversight): Validates operational need, outage impact, confirms out-of-scope and no base scope overlap, including evaluation of alternatives. Also validates budget

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

Supplier Change Request (SCR) / Extra Work Authorization (EWA) – Cont'd	availability or follows process for securing funding if unbudgeted; ensuring the work aligns with plant priorities and approvals based on DOA. 3. Procurement Review (Commercial & Contract Compliance): Verifies pricing against contract rates, confirms cost reasonableness, checks for scope overlap, and ensures adherence to contractual terms and conditions. 4. Emergency Approval Protocol: Plant Management may grant immediate conditional approval to supplier for critical work, based on DOA, with Engineering technical review, Procurement review, and formal approvals completed within 24–48 hours. All approvals (Engineering, Procurement, Plant) must be formally recorded in the SCR/EWA form and processed as a Change Order (CO) Requisition in the Work Management System to formalize payment to the supplier. Funds shall be added to the existing PO. Multiple approved SCR/EWAs may be routed within a single CO Requisition. CO's in "unfinished" status should be updated with new SCR/EWAs immediately upon approval for accurate commitments to be captured in the Work Management System and accrual tracking.
Task Order (TO)	Task Orders are another means for Procurement to release services to a supplier against a Master Agreement or Consulting Agreement. The advantage of issuing a Task Order over a Purchase Order for releasing services is that it allows more flexibility to organize the service release in a clearer and more structured fashion, and the total approved order amount for time and material services does not need to be released to the supplier. Note that a Purchase Order must still be generated in the Work Management System when issuing a Task Order; however, the PO would be utilized for internal/invoicing purposes only.
Blanket/Drawdown Purchase Order	Blanket Purchase Orders or Drawdown Purchase Orders shall be issued to certain suppliers for the procurement of high volume and relatively low value services that are bought on a regular routine basis. All Blanket Purchase Orders must, at a minimum, include a specific list of authorized individuals who can make releases against this Blanket, which includes a written release mechanism (i.e., e-mails, online order portal, etc.). A Requisition must be submitted for the entire estimated dollar value of the proposed term for internal Delegation of Authority approval and billing purposes. **Blanket/Drawdown Purchase Orders must be created in conjunction with the applicable Master terms and conditions for the goods/services requested.**
Stand-Alone Agreement	Under the guidance of Legal, Procurement shall utilize the appropriate long-form Stand-Alone Agreement Template whenever procuring Equipment, Material, or Services that entails one or more of the following attributes: 1) Engineered with a unique specification 2) Potential high level of risk; or 3) An estimated budget value greater than **$300,000.** Whenever issuing a Stand-Alone Agreement, a supporting Requisition must also be submitted and a Purchase Order issued for internal Delegation of Authority approval and billing purposes that cross references the Agreement.
Master Agreement	Master Agreement shall be entered into with preferred Suppliers/Contractors of materials and services (including Consultants) in order to establish standard terms, conditions, and unit pricing (i.e. hourly rates, item pricing, specific task

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

	pricing, mark-ups, etc.) for a set term (i.e. 3 or 5 years). Releases can be made against Master Agreements through either a Purchase Order, Task Order, or Blanket Purchase Order.

The rule of thumb is that AlphaGen terms and conditions are to be reviewed by the Supplier/Contractor. Review of Supplier/Contractor terms are on a case-by-case basis only approved by the AlphaGen Procurement Director. Any modification (redlines) of any of the Form of Agreement/Terms and Conditions by Supplier/Contractor must be presented for review to the AlphaGen Procurement Director. See table below for different scenarios triggering the type of agreement to be used.

Scope of Work (SOW) Characteristics	Stand Alone Services Agreement	Master Services Agreement or Consulting Agreement	Short-Form Terms and Conditions	Equipment Purchase Agreement	Modified EPC Agreement	Full EPC Agreement
Repeatable work with same vendor		X				
Specific One-Time SOW	X					
<50K			X			
>$50K <$300K	X	X	X			
>$300K <$1M	X	X				
>$1M <$3M					X	
>$3M						X
Equipment only purchase				X		
High Risk / Complexity					X	X

1.4 Segregation of Duties

To ensure proper control over the entire procurement process, the following Segregation of Duty Requirements must be followed:

- The Requisitioner cannot issue Purchase Orders (PO).
- The Requisitioner cannot be the Receiver for the same items purchased under the applicable PO.
- The PO Approver cannot be the Receiver for the same items purchased under the applicable PO.
- The Procurement representative cannot approve the invoice for the payment of the items purchased under the applicable PO.

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

2. PLANT PROCUREMENT GUIDELINES

2.1. Purpose

This procedure provides guidelines for authorized plant personnel to process requisitions and issue purchase orders.

2.2. Key Definitions

Plant Procurement Designated Employee	Plant employees authorized by AlphaGen's Procurement Director written authorization to process purchase requisitions and issue Purchase Orders.
AlphaGen Procurement Procedures	This document (No. AG-BO-103).
Total Purchase Order	The total value of a Purchase Order, including the addition of Change Orders.
Procurement Review	Requisition status in Work Management System.

2.3. Overview

Certain plant employees are authorized to process requisitions and issue purchase orders when the total value of the Purchase Order does not exceed **$300,000**.

2.4. Guidelines

2.4.1. Identifying Plant Procurement Designated Employees

Each plant should identify an employee capable of processing requisitions and issuing purchase orders. In identifying a Designated Employee, the following segregation of duties must be followed:

- Cannot be a Requestor
- Cannot be a Requisition or Invoice Approver
- Cannot be the Receiver for the items purchased under the applicable Purchase Order

Any employees identified as potential Plant Procurement Designated Employees will need to be authorized to handle Procurement activities by the AlphaGen Procurement Department. The AlphaGen Procurement Department also reserves the right to remove any authorized employees from any Procurement responsibilities.

2.4.2. Authorized Thresholds

Plant Procurement Designated Employees are authorized to process requisitions and issue Purchase Orders under the following spending thresholds:

- **Requisition under $300,000:** Plant Procurement Designated Employee shall process requisition, send for approvals, and issue Purchase Order once requisition has been approved.
- **Requisitions over $300,000:** AlphaGen Procurement will process and manage all requisitions over $300,000.

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

2.4.3. Criteria for processing Requisitions and Purchase Orders

Plant Procurement Designated Employees must adhere to the following guidelines for Requisitions under **$300,000**:

Requisitions under $50k	Requisitions over $50k under $300k
• Verify quotes/proposal(s) are attached to the Requisition. • Verify supplier has a valid COI. See below for minimum requirements. • Verify Supplier has executed terms and conditions in place. See below for additional guidelines. • Verify that the appropriate Scope of Work details have been entered in the service line "Comments" tab of the Requisition.	• Same criteria for under $50k. • Verify with AlphaGen Procurement that the appropriate terms and conditions are in place i.e. Task Order, Master Services Agreement, Consulting Agreement, Stand-Alone Agreement. • Verify that the Requestor has entered Sole-Sourced justification notes in the "Comments" tab of the Requisition. See Section 1.2.7

Plant Procurement Designated Employees must conform to the following criteria when processing requisitions and issuing Purchase Orders:

1) Must comply with all **AlphaGen Procurement Policies and Procedures.**
2) Must verify that the selected supplier has a valid (not expired) **Certificate of Insurance (COI)** on file. Insurance coverage must be per the AlphaGen minimum requirements as follows:
   - $1 Million – General Contractors Liability
   - $1 Million – Auto
   - $4 Million – Umbrella
   - Workers Comp as per the Statutory amounts or higher
   - Waiver of Subrogation must be listed on the COI as follows:
     "Insurer waives all rights of subrogation against Company and Additional Insureds."
   - Certificate Holder and Additional Insured:
     [__<<Station's Legal Entity Name>>__]
     [__<<Station's name>>__]
     [__<<Station's address>>__]
     [__<<Station's city, state, zip>>__]
3) Must verify that the selected supplier has a valid executed agreement in place (i.e. Master Service Agreement). If there is no agreement in place, follow these guidelines:
   a) If expense is under **$50,000**, Purchase Order can be issued to the supplier with the AlphaGen standard short-form agreement.
   b) If expense is over **$50,000**, notify AlphaGen's Procurement Department to determine the type of contract agreement to use. Once the ideal contract template to use has been identified, AlphaGen Procurement sends the agreement to the supplier for review and signatures.
      i) If the supplier accepts and signs any of the AlphaGen agreements without requesting any changes, the AlphaGen Procurement Director shall proceed with signatures and final execution.
      ii) If the supplier requests changes the AlphaGen's contract templates or the supplier requests that the plant uses the supplier's template, AlphaGen's Procurement Department shall negotiate and finalize the agreement, in collaboration with AlphaGen's Legal Department.
      iii) Once the agreement is signed and executed, the Plant Procurement Designated Employee may proceed with the requisition process.
4) All Purchase Orders must reference the governing agreement. An agreement number is entered into the Work Management System and pre-populated in all subsequent Purchase Orders.

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

5) Under no circumstances should the Plant Procurement Designated Employee accept any changes to any agreements without AlphaGen's Procurement confirmation.
6) Conform to any changes or updates to AlphaGen's Procurement Procedures and direction from the Procurement Department.

2.4.4. Contract Management

AlphaGen's Procurement Department manages all contracts, and all active contracts should be available to all of the Plant Procurement Designated Employees.

a. The AlphaGen Procurement department shall maintain a list of all active contracts.
b. The repository of these active contracts should be accessible by the Plant Procurement Designated Employees.
c. The Plant Procurement Designated Employees should have access to other plants to check if an agreement for the target supplier already exists with other plants.

If an agreement exists with other plants, the AlphaGen Procurement department may replicate the agreement to use the same established terms for the rest of the plants, at an entity/station level.

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

3. SUPPLIER QUALIFICATION PROCESS

3.1. Purpose

This process specifies the business due diligence steps required for adding and approving new suppliers for use throughout the Company, and to re-qualify existing suppliers.

3.2. Overview

Procurement professionals and all Company personnel involved with the procurement of Goods and Services must pre-qualify new suppliers and re-qualify existing suppliers on a periodic basis in order to ensure supplier fitness and to mitigate potential business interruptions due to excessive supplier risk.

3.3. Supplier Qualification Process

The following process is designed to ensure that suppliers are satisfactorily qualified to meet all the Company's requirements to furnish the applicable goods or services prior to participating in a Request for Proposal or entering into a formal agreement.

The Supplier Qualification Process steps are as follows:

1) Query station personnel, other colleagues, and business area experts of potential suppliers that may furnish the required goods or services. Utilize available on-line and traditional resources to research the supply base for the applicable category.

2) Issue to those suppliers identified for qualification the applicable site Supplier Qualification Form and a W-9 Form to complete and return for review along with insurance certificate or evidence of insurance certificate naming the entity as the certificate holder and additional insured. Use the text of the Supplier Qualification Letter Template provided in Appendix II.

3) Route completed Supplier Qualification Form, W-9, insurance certificate, or evidence of insurance certificate, and any other pertinent information for review and approval by the appropriate internal business areas:
    - Maintenance or Engineering or Business Operations (depending on supplier category)
    - Procurement
    - Safety
    - Finance
4) Submit the completed forms to AlphaGen Procurement department for review and approvals.

As part of the Supplier Qualification review process, the various business areas shall assess, at a minimum, the following criteria:

- Suppliers capability of meeting the technical and/or regulatory requirements of the specific supply category they are being considered for;
- Quality of Supplier's goods or services;
- Financial stability. Additionally, audited Financial Statements and/or Dun & Bradstreet reports should be analyzed for critical Suppliers;
- For critical strategic Suppliers only, determine list of key red flags or changes in strategic direction.

Suppliers that do not receive approval by, at a minimum, three internal business areas (which includes Maintenance, Engineering, Business Operations, or Procurement) and Safety, and Finance shall not be approved as an authorized Supplier or permitted to participate in subsequent Requests for Proposal/Quotations.

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

4. PURCHASING CARD (P-CARD) PROCEDURE

4.1. Introduction

The purpose of this procedure is to outline specific guidelines, policy and the responsibility associated with Purchasing Card (or P-Card) program for both Cardholders and their Managers.

The P-Card program is designed to improve the efficiency and lower the overall cost of the Procurement Process. Most of the P-Card purchases should be completed by the Procurement Department with departmental manager approval. The P-Card should be used for:

- For emergency purchases to support continued station operations; and
- For purchasing relatively low-dollar, low-risk, non-capital goods for the company, especially when the transaction time and cost of processing a Purchase Order may exceed the value of the order.

4.2. Cardholder's Procedures

This section offers general guidelines for P-Card use.

4.3. P-Card Uses

The card is to be used for business purchase requirements ONLY. Card use for PERSONAL requirements is strictly prohibited. The card cannot be used for TRAVEL and ENTERTAINMENT expenses upon decision of management. Cards are blocked from purchases for certain categories depending upon decision of management, such as:

- Accommodations
- Restaurants
- Travel
- Commodities and services that have no business value
- Personal Purchases
- Business meals for less than (5) employees or value less than $250.00 (exception can be granted to smaller plants i.e. with 15-20 employees in total)
- iProcure / MRO Suppliers (i.e. Staples, Grainger, MSC, Graybar, among others)
- Stock Parts

The card cannot be used to purchase CAPITAL ASSETS.

All questions regarding the appropriate use of the card should be addressed to the AlphaGen Procurement Director by e-mail.

4.4. P-Card Misuse

Failure to comply with these guidelines and procedures may result in revocation of use privileges, and may result in disciplinary action, up to and including termination.

4.5. General Instructions for the Use of the Purchasing Card

For order placement, the Cardholder will contact a Supplier and provide the following information:

- Name, Purchasing Card Number and the Card Expiration Date
- A complete description of the item(s) including stock/catalog numbers where applicable
- Ship-to Location
- After the order is placed, the Cardholder should ask for the order/reference number and a receipt by e-mail

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

The following steps cover the most frequent circumstances for order receipt.

- If the item(s) are received at the Receiving Dock, then the Receiving Dock should indicate the receipt status on the packing slip as such and forward all receipt documentation to the Accounts Payable department for reconciliation.
- If the item(s) are received directly by the Cardholder, then the Cardholder should indicate the receipt status on the packing slip as such and retain all receipt documentation and any other associated documents with the purchase (i.e. invoice) in a designated file for the monthly reconciliation process.
- Sales tax, when applicable, should be paid with the P-Card when the purchase is made and billed.

4.6. Monthly Statement Reconciliation

At the end of each month the Cardholder will receive a statement from the Accounts Payable (AP) department of the past month's purchases for reconciliation as follows:

- Verify Items on Statement: The Cardholder must review all items on the statement and verify they match the receipts/packing slips for items the Cardholder purchased and received during the month. It is important to remember that each Cardholder is responsible for the validity of his/her purchases. Note any discrepancies in the monthly statement;
- Indicate Correct Work Order or GL Account: The Cardholder may enter the work order or department the purchase refers on the receipt.
- Send to AP: Cardholders then must send to Accounts Payable the following:
  - Your monthly AMEX statement marked up as indicated above in Section 4.5 and with a signature indicated receipt of the good or service purchased.
  - All receipt documentation associated with these purchases (i.e. packing slips, invoices, etc.).
- Accounts Payable will then review and forward to the Plant Manager for signature. Once the signature is received, Accounts Payable with process for payment.

4.7. Returns, Credits and Disputed Items

- **Returns:** If the purchased item(s) need to be returned for any reason, the Cardholder should contact the Supplier and obtain a Returned Goods Authorization Number (if required by the Supplier). The return should be processed as the supplier instructs, and utilizing the Company's internal returns procedures (i.e. Bill of Lading, etc.). The return should reference the Purchasing Card charged for the original purchase and credit should be applied to that order.
- **Credits:** The Supplier should issue a credit for any items that have been returned. These credits should appear on the next Purchasing Card statement, and must be followed up by the Cardholder.
- **Disputed Items:** If there are any discrepancies, the Cardholder should first contact the Supplier to resolve the problem. If problems cannot be resolved, the Cardholder should then contact Accounts Payable who will secure reconciliation of any problems.

4.8. Purchasing Card Security

- The Purchasing Card should be treated with at least the same level of care as a personal credit card.
- Your Purchasing Card should be signed immediately upon receipt.
- Storage of the card should be in a secure location.
- The card account number should be secured and not posted at a desk or at any other conspicuous location.
- If the Cardholder is going to be absent for an extended period of time, other Managers with DOA, and the Procurement Department will be able to assist with any new purchases.
- The Cardholder whose name appears on the card may make purchases for any person within his/her station if approved by the Department Manager. The AlphaGen's Procurement Director may make purchases across stations.

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

- Any changes to the information provided on the Cardholder Agreement (e.g., name change, department change, mail location, etc.) should be updated immediately by notifying AlphaGen's Procurement Director in writing via e-mail.
- If the card is lost or stolen, the Cardholder must IMMEDIATELY notify the Purchasing Card Company and AlphaGen's Procurement Director.

4.9. Sales Tax Issues

For non-taxable items, the Cardholder must note on the packing slip or statement the ultimate use of the item for tax auditing purposes.

4.10. Monthly Auditing Procedures

The Cardholder should review his/her monthly statement to ensure that all transactions were initiated/approved and that the merchandise was received or a service was performed.

It is the responsibility of each Cardholder to ensure that any credits due from the Purchasing Card Company are received. (Note: a credit may not appear immediately on the statement; it may appear on the next statement that is received. The Cardholder should make a special note if this occurs to ensure that the credit is given on the next statement).

Questionable Charges / Discrepancies: If any discrepancies appear on a cardholder statement the cardholder should immediately:

a) Contact the supplier for more information,
b) Request a credit be issued back,
c) Contact the card company if FRAUD is suspected.

4.11. Department Manager's Procedures

4.11.1. Cardholder Identification

P-Cards shall be issued in accordance with Section 4.11.2 below. If additional P-Cards shall be required, the Plant Managers shall request additional P-Cards for other employees with written justification to the AlphaGen Procurement Director.

4.11.2. Card Limits

The Finance Department will determine specific transactional and monthly spending limits for Cardholders based on the budget, purchase needs and Delegation of Authority. If no specific limits are set, then the transactional and monthly limits will default as follows:

a) Plant Manager:

- Maximum transactional limit: **$5,000.00** (unless warranted by specific commodity).
- Monthly transactional limit: **$20,000.00** (unless warranted by specific commodity).

b) Operations/Maintenance Manager:

- Maximum transactional limit: **$2,000.00** (unless warranted by specific commodity).
- Monthly transactional limit: **$10,000.00** (unless warranted by specific commodity).

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

c) Other Employees:

- As per the DOA, only Plant Managers, Operations Managers, and Maintenance Managers have approval authority, therefore, only these positions are eligible to be issued a company P-Card.
- If additional P-Cards shall be required, the Plant Managers shall request additional P-Cards for other employees with written justification to the AlphaGen Procurement Director.

Note: In addition to the above, the AlphaGen Procurement Director's P-Card will serve as a back-up to the station P-Cards for emergent purchases.

4.11.3. Managerial Auditing

Accounts Payable shall receive the P-Card monthly statement for review, which will include all Purchasing card transactions made by any Cardholder in their Business area during the billing cycle. Accounts Payable shall send to each P-Card holder for review and receipts and forward back to Accounts Payable with the documentation. Accounts Payable shall review, book accounts and taxes, and forward to the Plant Manager for review and approval. The Manager should sign and date the summary statement indicating that the charges were appropriate for his/her Station.

4.11.4. Discrepancies

P-Card holders must notify the Accounts Payable department as soon as practical if there are any discrepancies.

If there are any changes in Cardholder status (Cardholders leaving the Company, Cardholders changing departments, etc.), the Plant Manager must notify the AlphaGen Procurement Director in writing as soon as possible.

If the Plant Manager discovers any kind of discrepancy or misuse relating to the Purchasing card, he/she must inform the AlphaGen's Procurement Director as soon as possible.

4.11.5. Tax Accruals

Purchases placed with non-preferred suppliers located outside of the Cardholder state in which the sales tax amount is not transmitted by the Purchasing Card Company may be subject to sales tax and will be accrued monthly by the Accounts Payable Department.

4.11.6. Purchasing Card Security

Any changes involving Cardholder's status (i.e. termination, transfers to other departments, limit changes, etc.) must be communicated as soon as practical to the AlphaGen's Procurement Director.

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

APPENDIX I

Recommendation to Award Memo for Major Projects / Sole-Source Justification

ALPHA GENERATION

Recommendation to Award Memo

To: AlphaGen's COO
AlphaGen's SVP of Engineering

From: Plant Manager - [<<Insert Name>>]
[<<Insert Station Name>>]

Copy: [<<Plant VP/Director of Ops Name>>]
[<<AlphaGen Procurement Director Name>>]
[<<Project Manager Name>>]

Date: [Date]

Subject: [Project Description/Title]

Summary

Authorization is requested to make the following contract award:

Equipment, Material or Service procured:	
Location and Unit affected:	
Recommended Supplier(s):	
Total Spend Commitment:	
Budgeted Project:	
Budget/Project #	

Scope of Work

[Provide detailed explanation of the SOW]

Justification

[Provide detailed Justification for the recommendation to award to the supplier i.e. sole-source justification, recommended bidder from RFP process, vendors capabilities, etc.]

Schedule:

[Provide high-level schedule]

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

Cost Breakdowns:

[Provide cost breakdown for the anticipated commitment + contingency]

Additional Information:

[Insert pictures or any other images to help visualize the project/issue at hand]

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

APPENDIX II
Supplier Qualification Forms

(Enter Station's Legal Entity Name)
(Enter Local Station Name)
(Enter Adress, City, State and Zip Code)

Date: _____
To: _____
Subject: Supplier Qualification Form

Dear Prospective Bidder/Supplier:

In order to qualify your company as an approved supplier / contractor for the (Enter name of Station), the attached Supplier/Contractor Qualification Form and W-9 Form must both be accurately completed for your company and then submitted for review by e-mail.

Sections I and III of the Supplier/Contractor Qualification Form must be completed by all potential suppliers/contractors. Any on-site engineering, testing, training, construction, operations or maintenance services within our facility must also complete **Section II**. To make the completion of the Qualification Form easier for you, we recommend that you open and complete the Form in Excel on your computer. Many of the responses to questions have pre-determined choices that are programmed in through the use of drop-down menus (i.e. when you click on certain spaces a drop-down arrow will appear at the right of the cell. Just click on the arrow and select your response from the choices provided).

In addition:

1) Can you offer discounted payment terms? i.e. 2%/10 days Net 30. Invoices can be sent electronically to (enter invoices e-mail address) for expedited payment.
2) For onsite services, you need to provide a Certificate of Insurance (COI) naming (enter name of Station) as the cert. holder (insert address for the Station) and additional insured.
Insurance coverage must be per the AlphaGen minimum requirements as follows:
   - $1 Million – General Contractors Liability
   - $1 Million – Auto
   - $4 Million – Umbrella
   - Workers Comp as per the Statutory amounts or higher
   - Waiver of Subrogation must be listed on the COI as follows:
     "Insurer waives all rights of subrogation against Company and Additional Insureds."
   - Certificate Holder and Additional Insured:
     [__<<Station's Legal Entity Name>>__]
     [__<<Station's name>>__]
     [__<<Station's address>>__]
     [__<<Station's city, state, zip>>__]
3) Advise on your acceptance of the attached AlphaGen Terms and Conditions.
4) Provide your rate sheet, if applicable.

If you have any questions regarding this process, please reach out to the undersigned.

Thank you,

(Buyer's Name)
(Phone Number)
(E-Mail)

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

AlphaGen

Supplier / Contractor Qualification Form

Directions: All Suppliers / Contractors must complete Sections I and III. Suppliers / Contractors that perform on-site construction, operations or maintenance services must also complete Section II. Supplier /Contractor need to return this form with a completed W-9 form for approval.

Information Requested:		Complete Your Responses Here:
SECTION I - All Suppliers/Contractors must complete questions 1 -17:		
1 **LEGAL BUSINESS NAME:**		
2 **HOME OFFICE ADDRESS & CONTACT INFO** (list Parent Company if applicable):	Street Address	
	City	
	State/Province	
	Zip Code	
	Primary Contact	
	Phone Number	
	Fax Number	
	E-mail Address	
3 **LOCAL ADDRESS & CONTACT INFO FOR NEW YORK** (if different from above):	Street Address	
	City	
	State/Province	
	Zip Code	
	Primary Contact	
	Phone Number	
	Fax Number	
	E-mail Address	
4 **REMITTANCE ADDRESS & CONTACT INFO** (if different from above):	Street Address	
	City	
	State/Province	
	Zip Code	
	Primary Contact	
	Phone Number	
	Fax Number	
	E-mail Address	
5 **TYPE OF GOODS / SERVICES FURNISHED** (use drop down menu to find most applicable category):		
6 **FEIN # or SOCIAL SECURITY #:**		
7 **DUN & BRADSTREET (DUNS) #:**		
8 **WEBSITE ADDRESS** (if applicable):		
9 a) **TYPE OF OWNERSHIP** (use drop-down menu):		
b) **DATE BUSINESS ESTABLISHED /INCORPORATED:**		
c) **STATE ESTABLISHED/INCORPORATED:**		
10 **PRINCIPAL OWNERS / OFFICERS:**	a) Name & Title	
	b) Name & Title	
	c) Name & Title	
	d) Name & Title	
11 **DIVERSITY CATEGORIES** (use drop-down menu for all that apply):	1st Category	
	2nd Category	
	3rd Category	
12 **ANNUAL REVENUES FOR LAST THREE YEARS:**	Last Complete Year	
	1 Year Prior	
	2 Years Prior	
13 **TOTAL NUMBER OF EMPLOYEES:**		

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

Information Requested:		Complete Your Responses Here:
14 **BANKING REFERENCE:**	Bank Name	
	Contact Name	
	Phone Number	
	E-mail Address	
15 **INSURANCE COVERAGE** (for any Supplier/Contractor that would require access to Owner's property, use the drop-down menu to indicate if you carry the specific coverage types and limits indicated and if "no" then please list the coverage limit you do carry). In addition, please submit your Insurance Certificate indicating proof of the coverage limits stated.	1a) **Worker's Comp** - Minimum statutory & $1M per injury?	
	1b) If performing Maritime related work, **Longshoreman and Harbor Workers' Insurance**?	
	If no, list coverage limit carried:	
	2) **Commerical General Liability** - $1M per occurance?	
	If no, list coverage limit carried:	
	3) **Automobile** - $1M per accident?	
	If no, list coverage limit carried:	
	4) If performing Engineering Design Services, **Professional Liability** - $2M per claim?	
	If no, list coverage limit carried:	
	5) **Polution Liability** - $1M per loss?	
	If no, list coverage limit carried:	
	6) **Umbrella Excess Liability** - $4M per occurance?	
	If no, list coverage limit carried:	
16 **HAVE BANKRUPTCY PROCEEDINGS BEEN INITIATED BY OR AGAINST SUPPLIER OR ITS AFFILIATE WITHIN THE PAST SEVEN (7) YEARS?**		
IF YES, BRIEFLY EXPLAIN:		
17 **DOES YOUR COMPANY HAVE A QUALITY ASSURANCE OR QUALITY CONTROL PROGRAM?** IF YES, PLEASE ATTACH A COPY.		
SECTION II - Suppliers/Contractors that perform on-site work i.e., construction, operations or maintenance services must also complete questions 18-32:		
18 a) **CONTRACTORS LICENSE NO.:**		
b) **TYPE OF LICENSE:**		
c) **STATE ISSUED:**		
19 **PREFERRED JOB RANGE**	Minimum $ Size	
	Maximum $ Size	
20 **TYPE OF WORK YOU ARE INTERESTED IN BIDDING** (i.e.General Contractor, Mechanical, Electrical, Site work, etc.):		

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

Information Requested:		Complete Your Responses Here:
21 TYPE OF WORK YOU USUALLY SUBCONTRACT TO OTHERS (i.e. Mechanical, Electrical, Site, etc.):		
22 LIST UNION TRADES AND SPECIFIC LOCALS YOUR FIRM NORMALLY EMPLOYS:		
23 LIST LABOR AGREEMENTS THAT YOUR FIRM IS SIGNATORY TO:		
24 BONDING:	Bonding Company	
	Bonding Capacity	
	Current Available	
25 EXPERIENCE MODIFICATION RATE (EMR) FOR LAST THREE YEARS	Last Complete Year	
	1 Year Prior	
	2 Years Prior	
26 SAFETY		
a) DESCRIBE YOUR FIRM'S SAFETY PROCEDURES, PRACTICES, WRITTEN SAFETY RULES & POLICIES MANUAL, AND ENVIRONMENTAL HEALTH & SAFETY ORGANIZATIONAL STRUCTURE (ATTACH ADDITIONAL INFO, IF NECESSARY):		
b) DO YOU CONDUCT SAFETY INSPECTIONS?		
IF YES, LIST WHO PARTICIPATES IN THESE INSPECTIONS:		
c) DO YOU HAVE A SAFETY TRAINING PROGRAM FOR FOREMAN AND NEW HIRES? IF YES, PLEASE ATTACH A COPY.		
NOTE: For employers with fewer than 11 employees, questions 26d through 26f do not need to be completed.		
d) PROVIDE OSHA RATE FOR LOST WORKDAY CASES FOR THE LAST THREE YEARS:	Last Complete Year	
	1 Year Prior	
	2 Years Prior	
e) PROVIDE OSHA RATES FOR TOTAL RECORDABLE INJURY CASES FOR THE LAST THREE YEARS:	Last Complete Year	
	1 Year Prior	
	2 Years Prior	
f) DO YOU HAVE A DRUG & ALCOHOL ABUSE POLICY? IF YES, PLEASE ATTACH A COPY.		
27 CURRENT OR PENDING LITIGATION WITH PAST OR PRESENT CLIENT OR SUBCONTRACTOR?		
IF YES, BRIEFLY EXPLAIN:		
28 HAVE ANY OWNERS, PARTNERS, OFFICERS OR ANY INDIVIDUAL SERVING IN A MANAGERIAL OR INVOLVED WITH THE BIDDING OR CONTRACTING PROCESS FOR SUPPLIER BEEN INDICTED, CONVICTED, RECEIVED A JUDGEMENT AGAINST THEM OR A GRANT OF IMMUNITY FOR ANY BUSINESS RELATED CONDUCT CONSTITUTED A CRIME UNDER LOCAL, STATE OR FEDERAL LAW INCLUDING, BUT NOT LIMITED TO, FRAUD, EXTORTION, BRIBERY, RACKETEERING, PRICE-FIXING, OR BID COLLUSION?		
IF YES, PLEASE PROVIDE DETAILS:		
29 FOR HIGH PRESSURE BOILER WORK, DO YOU HAVE YOUR NATIONAL BOARD "R" STAMP CERTIFICATION?		

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

Information Requested:		Complete Your Responses Here:
30 DOES YOUR FIRM HAVE EXPERIENCE WORKING AT A POWER GENERATION FACILITY?		
IF YES, LIST THOSE CLIENTS AND FACILITIES:		
31 HAVE YOU EVER WORKED AT ANY ALPHAGEN FACILITIES BEFORE?		
IF YES, PLEASE PROVIDE DETAILS:		
32 LIST THREE PAST CLIENTS AS REFERENCES:	1) Company Name	
	Contact Name	
	Phone Number	
	E-mail Address	
	Approx. Contract Value	
	2) Company Name	
	Contact Name	
	Phone Number	
	E-mail Address	
	Approx. Contract Value	
	3) Company Name	
	Contact Name	
	Phone Number	
	E-mail Address	
	Approx. Contract Value	

SECTION III - All Suppliers/Contractors must have a principal owner/officer sign below:

I HEREBY CERTIFY THAT THE INFORMATION FURNISHED ABOVE IS COMPLETE AND FACTUAL TO THE BEST OF MY KNOWLEDGE.

Signature:	
Name of Officer/Owner:	
Title:	
Date:	

FOR INTERNAL USE ONLY

CHECK APPROPRIATE BOX:

☐	Material or Equipment or Low Risk On-site Service (i.e. Do NOT perform construction, operations or maintenance work) Supplier with a contract award potential up to $50K - Route to only 1&5 below.
☐	Material or Equipment or High Risk On-site Service (i.e. DO perform construction, operations or maintenance work) Supplier with a contract award potential up to $250K - Route to only 1, 2, 3 & 5 below.
☐	Material or Equipment or High Risk On-site Service (i.e. DO perform construction, operations or maintenance work) Supplier with a contract award potential over $250K - Route to all below.

1) PROCUREMENT:

_____ _____ _____

2) ENGINEERING / MAINTENANCE / OPERATIONS (ROUTE ONLY TO APPLICABLE AREA BASED ON SPEND CATEGORY):

_____ _____ _____

3) ENVIRONMENTAL, HEALTH & SAFETY (ROUTE FOR ON-SITE SERVICE PROVIDERS ONLY):

_____ _____ _____

4) CORPORATE ENGINEERING / PROCUREMENT/ ENVIRONMENTAL, HEALTH & SAFETY

_____ _____ _____

5) FINANCE / ACCOUNTING

_____ _____ _____

Name / Title | Date | Signature

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

Form **W-9**
(Rev. October 2018)
Department of the Treasury
Internal Revenue Service

Request for Taxpayer Identification Number and Certification

► **Go to *www.irs.gov/FormW9* for instructions and the latest information.**

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

Print or type. See **Specific Instructions** on page 3.

1 Name (as shown on your income tax return). Name is required on this line; do not leave this line blank.

2 Business name/disregarded entity name, if different from above

3 Check appropriate box for federal tax classification of the person whose name is entered on line 1. Check only **one** of the following seven boxes.

☐ Individual/sole proprietor or single-member LLC ☐ C Corporation ☐ S Corporation ☐ Partnership ☐ Trust/estate

☐ Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=Partnership) ► _____

Note: Check the appropriate box in the line above for the tax classification of the single-member owner. Do not check LLC if the LLC is classified as a single-member LLC that is disregarded from the owner unless the owner of the LLC is another LLC that is **not** disregarded from the owner for U.S. federal tax purposes. Otherwise, a single-member LLC that is disregarded from the owner should check the appropriate box for the tax classification of its owner.

☐ Other (see instructions) ►

4 Exemptions (codes apply only to certain entities, not individuals; see instructions on page 3):

Exempt payee code (if any) _____

Exemption from FATCA reporting code (if any) _____

(Applies to accounts maintained outside the U.S.)

5 Address (number, street, and apt. or suite no.) See instructions.

Requester's name and address (optional)

6 City, state, and ZIP code

7 List account number(s) here (optional)

Part I Taxpayer Identification Number (TIN)

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

Note: If the account is in more than one name, see the instructions for line 1. Also see *What Name and Number To Give the Requester* for guidelines on whose number to enter.

Social security number

___ - ___ - ____

or

Employer identification number

__ - _____

Part II Certification

Under penalties of perjury, I certify that:

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

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

Sign Here **Signature of U.S. person** ► **Date** ►

General Instructions

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

Future developments. For the latest information about developments related to Form W-9 and its instructions, such as legislation enacted after they were published, go to *www.irs.gov/FormW9.*

Purpose of Form

An individual or entity (Form W-9 requester) who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) which may be your social security number (SSN), individual taxpayer identification number (ITIN), adoption taxpayer identification number (ATIN), or employer identification number (EIN), to report on an information return the amount paid to you, or other amount reportable on an information return. Examples of information returns include, but are not limited to, the following.

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

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

If you do not return Form W-9 to the requester with a TIN, you might be subject to backup withholding. See What is backup withholding, *later.*

Cat. No. 10231X Form **W-9** (Rev. 10-2018)

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

By signing the filled-out form, you:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),

2. Certify that you are not subject to backup withholding, or

3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income, and

4. Certify that FATCA code(s) entered on this form (if any) indicating that you are exempt from the FATCA reporting, is correct. See *What is FATCA reporting,* later, for further information.

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

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

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

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax under section 1446 on any foreign partners' share of effectively connected taxable income from such business. Further, in certain cases where a Form W-9 has not been received, the rules under section 1446 require a partnership to presume that a partner is a foreign person, and pay the section 1446 withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid section 1446 withholding on your share of partnership income.

In the cases below, the following person must give Form W-9 to the partnership for purposes of establishing its U.S. status and avoiding withholding on its allocable share of net income from the partnership conducting a trade or business in the United States.

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

Foreign person. If you are a foreign person or the U.S. branch of a foreign bank that has elected to be treated as a U.S. person, do not use Form W-9. Instead, use the appropriate Form W-8 or Form 8233 (see Pub. 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

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

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

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.

2. The treaty article addressing the income.

3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.

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

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

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

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

Backup Withholding

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

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

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester,

2. You do not certify your TIN when required (see the instructions for Part II for details),

3. The IRS tells the requester that you furnished an incorrect TIN,

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

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

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

Also see *Special rules for partnerships,* earlier.

What is FATCA Reporting?

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

Updating Your Information

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

Penalties

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

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

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

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

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

Specific Instructions

Line 1

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

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

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

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

b. **Sole proprietor or single-member LLC.** Enter your individual name as shown on your 1040/1040A/1040EZ on line 1. You may enter your business, trade, or "doing business as" (DBA) name on line 2.

c. **Partnership, LLC that is not a single-member LLC, C corporation, or S corporation.** Enter the entity's name as shown on the entity's tax return on line 1 and any business, trade, or DBA name on line 2.

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

e. **Disregarded entity.** For U.S. federal tax purposes, an entity that is disregarded as an entity separate from its owner is treated as a "disregarded entity." See Regulations section 301.7701-2(c)(2)(iii). Enter the owner's name on line 1. The name of the entity entered on line 1 should never be a disregarded entity. The name on line 1 should be the name shown on the income tax return on which the income should be reported. For example, if a foreign LLC that is treated as a disregarded entity for U.S. federal tax purposes has a single owner that is a U.S. person, the U.S. owner's name is required to be provided on line 1. If the direct owner of the entity is also a disregarded entity, enter the first owner that is not disregarded for federal tax purposes. Enter the disregarded entity's name on line 2, "Business name/disregarded entity name." If the owner of the disregarded entity is a foreign person, the owner must complete an appropriate Form W-8 instead of a Form W-9. This is the case even if the foreign person has a U.S. TIN.

Line 2

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

Line 3

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

IF the entity/person on line 1 is a(n) . . .	THEN check the box for . . .
• Corporation	Corporation
• Individual • Sole proprietorship, or • Single-member limited liability company (LLC) owned by an individual and disregarded for U.S. federal tax purposes.	Individual/sole proprietor or single-member LLC
• LLC treated as a partnership for U.S. federal tax purposes, • LLC that has filed Form 8832 or 2553 to be taxed as a corporation, or • LLC that is disregarded as an entity separate from its owner but the owner is another LLC that is not disregarded for U.S. federal tax purposes.	Limited liability company and enter the appropriate tax classification. (P= Partnership; C= C corporation; or S= S corporation)
• Partnership	Partnership
• Trust/estate	Trust/estate

Line 4, Exemptions

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

Exempt payee code.

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

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

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

2—The United States or any of its agencies or instrumentalities

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

4—A foreign government or any of its political subdivisions, agencies, or instrumentalities

5—A corporation

6—A dealer in securities or commodities required to register in the United States, the District of Columbia, or a U.S. commonwealth or possession

7—A futures commission merchant registered with the Commodity Futures Trading Commission

8—A real estate investment trust

9—An entity registered at all times during the tax year under the Investment Company Act of 1940

10—A common trust fund operated by a bank under section 584(a)

11—A financial institution

12—A middleman known in the investment community as a nominee or custodian

13—A trust exempt from tax under section 664 or described in section 4947

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

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

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

[1] See Form 1099-MISC, Miscellaneous Income, and its instructions.

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

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

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

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

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

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

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

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

G—A real estate investment trust

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

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

J—A bank as defined in section 581

K—A broker

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

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

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

Line 5

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

Line 6

Enter your city, state, and ZIP code.

Part I. Taxpayer Identification Number (TIN)

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

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

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

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

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local SSA office or get this form online at *www.SSA.gov*. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at *www.irs.gov/Businesses* and clicking on Employer Identification Number (EIN) under Starting a Business. Go to *www.irs.gov/Forms* to view, download, or print Form W-7 and/or Form SS-4. Or, you can go to *www.irs.gov/OrderForms* to place an order and have Form W-7 and/or SS-4 mailed to you within 10 business days.

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

Note: Entering "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

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

Part II. Certification

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

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

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

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

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

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

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

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

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

What Name and Number To Give the Requester

For this type of account:	Give name and SSN of:
1. Individual	The individual
2. Two or more individuals (joint account) other than an account maintained by an FFI	The actual owner of the account or, if combined funds, the first individual on the account[1]
3. Two or more U.S. persons (joint account maintained by an FFI)	Each holder of the account
4. Custodial account of a minor (Uniform Gift to Minors Act)	The minor[2]
5. a. The usual revocable savings trust (grantor is also trustee)	The grantor-trustee[1]
b. So-called trust account that is not a legal or valid trust under state law	The actual owner[1]
6. Sole proprietorship or disregarded entity owned by an individual	The owner[3]
7. Grantor trust filing under Optional Form 1099 Filing Method 1 (see Regulations section 1.671-4(b)(2)(i)(A))	The grantor*
For this type of account:	**Give name and EIN of:**
8. Disregarded entity not owned by an individual	The owner
9. A valid trust, estate, or pension trust	Legal entity[4]
10. Corporation or LLC electing corporate status on Form 8832 or Form 2553	The corporation
11. Association, club, religious, charitable, educational, or other tax-exempt organization	The organization
12. Partnership or multi-member LLC	The partnership
13. A broker or registered nominee	The broker or nominee
14. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments	The public entity
15. Grantor trust filing under the Form 1041 Filing Method or the Optional Form 1099 Filing Method 2 (see Regulations section 1.671-4(b)(2)(i)(B))	The trust

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

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

[3] You must show your individual name and you may also enter your business or DBA name on the "Business name/disregarded entity" name line. You may use either your SSN or EIN (if you have one), but the IRS encourages you to use your SSN.

[4] List first and circle the name of the trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.) Also see *Special rules for partnerships,* earlier.

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

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

Secure Your Tax Records From Identity Theft

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

To reduce your risk:

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

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

If your tax records are not currently affected by identity theft but you think you are at risk due to a lost or stolen purse or wallet, questionable credit card activity or credit report, contact the IRS Identity Theft Hotline at 1-800-908-4490 or submit Form 14039.

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

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

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

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

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

If you receive an unsolicited email claiming to be from the IRS, forward this message to *phishing@irs.gov*. You may also report misuse of the IRS name, logo, or other IRS property to the Treasury Inspector General for Tax Administration (TIGTA) at 1-800-366-4484. You can forward suspicious emails to the Federal Trade Commission at *spam@uce.gov* or report them at *www.ftc.gov/complaint*. You can contact the FTC at *www.ftc.gov/idtheft* or 877-IDTHEFT (877-438-4338). If you have been the victim of identity theft, see *www.IdentityTheft.gov* and Pub. 5027.

Visit *www.irs.gov/IdentityTheft* to learn more about identity theft and how to reduce your risk.

Privacy Act Notice

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

Docusign Envelope ID: 3B008706-A426-8216-8185-F321DA8869E4

APPENDIX III

Supplier/Contractor Change Request Form (SCR)

ALPHA GENERATION

SUPPLIER/CONTRACTOR CHANGE REQUEST FORM

CHANGE REQUEST NO.

1) **DATE:**
2) **SUPPLIER / CONTRACTOR NAME:**
3) **DESCRIPTION OF GOODS/SERVICES:**
4) **STATION/UNIT:**
5) **PURCHASE ORDER #:**
6) **AGREEMENT #** (if applicable)**:**
7) **DESCRIPTION OF CHANGE:**

8) **REASON FOR CHANGE** (EXPLAIN WHY THIS WORK WAS NOT INCLUDED IN YOUR ORIGINAL BASE SCOPE)**:**

9) **SUPPLIER OR OWNER REQUESTED CHANGE?** (use drop-down menu)

10) **SCHEDULE IMPACT ?** (use drop-down menu) **PROPOSED REVISED COMPLETION/DELIVERY DATE:**

11) **COST ESTIMATE** (T&M RATES AND MARK-UPS MUST BE IN ACCORDANCE WITH SUPPLIER'S AGREEMENT WITH AG)**:**

11a) Direct & Indirect Labor Costs (include Craft Labor, Supervision, Engineering, etc.):

Position / Craft Title (including Labor Class)	*# of Men*	*Total Hours per Man*	*Billing Rate*	*T&L Costs*	***TOTAL***
					$ -
					$ -
					$ -
					$ -
					$ -

11b) Subcontractors:

Subcontractor Name	Work Description	Actual Cost	Mark-up %	**TOTAL**
				$ -
				$ -
				$ -

11c) Materials / Parts

Description	Actual Cost	Mark-up %	**TOTAL**
			$ -
			$ -

11d) Equipment Rental Costs

Description	Rental Cost	Mark-up %	**TOTAL**
			$ -
			$ -

11e) Other Misc. Costs or Unit Priced Items (if applicable)

Description	Unit Price	Quantity	**TOTAL**
			$ -
			$ -

TOTAL AMOUNT OF THIS CHANGE REQUEST: **$0.00**

PROPOSED EXPENDITURE TYPE (use drop-down menu)**:**

SUBMITTED BY:

Supplier/Contractors Signature	Requesters Name	Requesters Title	Date

Owner shall review and evaluate this Change Request, and subsequently advise Supplier/Contractor of either approval or rejection of this request. Upon Owner returning this Change Requested indicating "Approved" below, Supplier/Contractor is authorized by Owner to proceed with the work in accordance with the terms previously agreed by between Owner and Supplier/Contractor.

For Internal Use: Owner Review / Circle "Approved" or "Rejected". If "Rejected", no Owner approvals are required.

Approved Rejected

Comments:

Owner Approvals (based on DOA):

Plant Manager: _____ Date: _____

Operations VP/Director: _____ Date: _____

Procurement Director: _____ Date: _____

SVP Engineering/Operations: _____ Date: _____