



Certified:

**B-17-20**

**NIFS ID: Department: Public Works**

**Capital: X**

SERVICE: BPSTP Effluent Screening&Disinfect S35121-11G-B17-20

Contract ID #:S35121-11G

NIFS Entry Date:

Term: from to

New
Time Extension:
Addl. Funds:
Blanket Resolution:
RES# B17-20

1) Mandated Program:	Y
2) Comptroller Approval Form Attached:	Y
3) CSEA Agmt. § 32 Compliance Attached:	Y
4) Material Adverse Information Identified? (if yes, attach memo):	N
5) Insurance Required	N

<b>Vendor Info:</b>	
Name: <b>W.H.M. Plumbing &amp; Heating Contractors, Inc.</b>	Vendor ID#: [REDACTED]
Address: 6H Enterprise Drive East Setauket, NY 11733	Contact Person: [REDACTED]
	Phone: [REDACTED]

<b>Department:</b>
Contact Name: John Domenica
Address: NCDPW 3340 Merrick Road Building R, 3rd Floor Wantagh, NY 11793 Phone: 516-571-7529

## Routing Slip

Department	NIFS Entry: X	27-MAY-20 -- LDIONISIO
Department	NIFS Approval: X	28-MAY-20 -- KARNOLD
DPW	Capital Fund Approved: X	28-MAY-20 -- KARNOLD
OMB	NIFA Approval: X	03-JUN-20 -- CNOLAN
OMB	NIFS Approval: X	28-MAY-20 -- NGUMIENIAK
County Atty.	Insurance Verification: X	28-MAY-20 -- DGRIPPO

County Atty.	Approval to Form: X	28-MAY-20 -- DGRIPPO
CPO	Approval: X	22-JUN-20 -- KOHAGENCE
DCEC	Approval: X	24-JUN-20 -- JCHIARA
Dep. CE	Approval: X	24-JUN-20 -- BSCHNEIDER
Leg. Affairs	Approval/Review: X	06-JUL-20 -- JSCHANTZ
Legislature	Approval:	
Comptroller	Deputy:	
NIFA	NIFA Approval:	

## Contract Summary

<b>Purpose:</b> The existing Plant SPDES permit requires that the County maintain the effluent (final) screening facility which is in need of replacement and rehabilitation. The project will install four (4) new Effluent Screens and associated appurtenance including HVAC and Electrical work. The current equipment is outdated, significantly worn, and only one (1) out of four (4) screens are in operation. The system improvements will ensure its continued reliability for the next twenty-five (25) year life cycle, while decreasing operation and maintenance burdens.
<b>Method of Procurement:</b> Formal Sealed Bid - a total of five bids were received and evaluated
<b>Procurement History:</b> Notice to Bidders: eProcure: 7/13/2018-8/21/2018; Newsday: 7/11/2018 & 8/10/2018; NYS Contract Reporter: 7/11/2018-8/21/2018. Bids opened 8/21/2018.
<b>Description of General Provisions:</b> New contract for construction services.
<b>Impact on Funding / Price Analysis:</b> Requires funding from Project 35121 in the amount of \$8,350,000. It is expected that the full cost of these services will be eligible for reimbursement by the Federal Emergency Management Agency (FEMA) under Robert T. Stafford Disaster Relief and Emergency Assistance Act. Contract has current MWBE utilization rate of 20%
<b>Change in Contract from Prior Procurement:</b> There is no prior procurement.
<b>Recommendation: (approve as submitted)</b> Approve as Submitted

## Advisement Information

BUDGET CODES		FUNDING SOURCE	AMOUNT	LINE	INDEX/OBJECT CODE	AMOUNT
Fund:	CSW					
Control:	35	Revenue		1	PWCSW/35121/011 /00004	\$ 8,350,000.00
Resp:	121	Contract:				\$ 0.00
Object:	00004	County	\$ 0.00			\$ 0.00
Transaction:	CH	Federal	\$ 0.00			\$ 0.00
Project #:	35121	State	\$ 0.00			\$ 0.00
Detail:	011	Capital	\$ 8,350,000.00			\$ 0.00
		Other	\$ 0.00			\$ 0.00
		TOTAL	\$ 8,350,000.00		TOTAL	\$ 8,350,000.00
RENEWAL						
% Increase						
% Decrease						

RULES RESOLUTION NO. -2020

A RESOLUTION AUTHORIZING THE COUNTY EXECUTIVE TO AWARD AND EXECUTE A CONTRACT BETWEEN THE COUNTY OF NASSAU ACTING ON BEHALF OF THE NASSAU COUNTY DEPARTMENT OF PUBLIC WORKS AND W.H.M. PLUMBING & HEATING CONTRACTORS, INC.

WHEREAS, in accordance with all Federal, State and Local Law, the County of Nassau on behalf of the NASSAU COUNTY DEPARTMENT OF PUBLIC WORKS [“Department”] has received competitive bids for contract S35121-11G – BAY PARK SEWAGE TREATMENT PLANT – EFFLUENT SCREENING & DISINFECTION FACILITY IMPROVEMENTS [“Contract”], as more particularly described in the contract documents, a copy of which are on file with the Clerk of the Legislature; and

WHEREAS, the firm of W.H.M. PLUMBING & HEATING CONTRACTORS, INC.

[“Vendor”] has submitted the lowest responsible bid for the work described in the contract in accordance with all Federal, State and Local Law as determined by the Department, and

WHEREAS, the funding for this contract is from capital funds approved by the Nassau County Legislature and included in the current four year capital plan, and

WHEREAS, the Commissioner of the Department is representing that the total contract is estimated to be \$ 8,350,000 now therefore be it

RESOLVED, that the Rules Committee of the Nassau County Legislature, based on the representations of the Department and the recommendation of the Commissioner of the Department, authorizes the County Executive to award and execute the said contract with the vendor.



**Contract Approval Request Form (As of January 1, 2015)**

**1. Vendor:** W.H.M. Plumbing & Heating Contractors, Inc.

**2. Dollar amount requiring NIFA approval:** \$8350000

**Amount to be encumbered:** \$8350000

This is a New

If new contract - \$ amount should be full amount of contract

If advisement – NIFA only needs to review if it is increasing funds above the amount previously approved by NIFA

If amendment - \$ amount should be full amount of amendment only

**3. Contract Term: 26 months from NTP**

Has work or services on this contract commenced? N \_\_\_\_

If yes, please explain:

**4. Funding Source:**

General Fund (GEN)	X Grant Fund (GRT)	Federal % 100
X Capital Improvement Fund (CAP)		State % 0
Other		County % 0

Is the cash available for the full amount of the contract? Y

If not, will it require a future borrowing? N

Has the County Legislature approved the borrowing? N/A

Has NIFA approved the borrowing for this contract? N/A

**5. Provide a brief description (4 to 5 sentences) of the item for which this approval is requested:**

The existing Plant SPDES permit requires that the County maintain the effluent (final) screening facility which is in need of replacement and rehabilitation. The equipment is outdated, significantly worn, and only one (1) out of four (4) screens are in operation. The project will install four (4) new Effluent Screens and associated appurtenance including HVAC and Electrical work. The system improvements will ensure its continued reliability for the next twenty-five (25) year life cycle, while decreasing operation and maintenance burdens.

**6. Has the item requested herein followed all proper procedures and thereby approved by the:**

Nassau County Attorney as to form

Nassau County Committee and/or Legislature

**Date of approval(s) and citation to the resolution where approval for this item was provided:**

**7. Identify all contracts (with dollar amounts) with this or an affiliated party within the prior 12 months:**

Contract ID	Date	Amount

## AUTHORIZATION

To the best of my knowledge, I hereby certify that the information contained in this Contract Approval Request Form and any additional information submitted in connection with this request is true and accurate and that all expenditures that will be made in reliance on this authorization are in conformance with the Nassau County Approved Budget and not in conflict with the Nassau County Multi-Year Financial Plan. I understand that NIFA will rely upon this information in its official deliberations.

CNOLAN

03-JUN-20

**Authenticated User**

**Date**

## COMPTROLLER'S OFFICE

To the best of my knowledge, I hereby certify that the information listed is true and accurate and is in conformance with the Nassau County Approved Budget and not in conflict with the Nassau County Multi-Year Financial Plan.

Regarding funding, please check the correct response:

☐ I certify that the funds are available to be encumbered pending NIFA approval of this contract.

If this is a capital project:

I certify that the bonding for this contract has been approved by NIFA.

Budget is available and funds have been encumbered but the project requires NIFA bonding authorization

**Authenticated User**

**Date**

## NIFA

Amount being approved by NIFA:

Payment is not guaranteed for any work commenced prior to this approval.

**Authenticated User**

**Date**

**NOTE: All contract submissions MUST include the County's own routing slip, current NIFS printouts for all relevant accounts and relevant Nassau County Legislature communication documents and relevant supplemental information pertaining to the item requested herein.**

**NIFA Contract Approval Request Form MUST be filled out in its entirety before being submitted to NIFA for review.**

**NIFA reserves the right to request additional information as needed.**

Jack Schnirman  
Comptroller



OFFICE OF THE COMPTROLLER  
240 Old Country Road  
Mineola, New York 11501

## COMPTROLLER APPROVAL FORM FOR PERSONAL, PROFESSIONAL OR HUMAN SERVICES CONTRACTS

*Attach this form along with all personal, professional or human services contracts, contract renewals, extensions and amendments.*

CONTRACTOR NAME: WHM Plumbing & Heating Contractors Inc.

CONTRACTOR ADDRESS: 6H Enterprise Dr., East Setauket, NY 11733

FEDERAL TAX ID #: 11-2731372

**Instructions:** Please check the appropriate box ("☑") after one of the following roman numerals, and provide all the requested information.

**I. ☑ The contract was awarded to the lowest, responsible bidder after advertisement for sealed bids.** The contract was awarded after a request for sealed bids was published in Newsday [newspaper] on Wednesday, July 11, 2018 [date]. The sealed bids were publicly opened on August 21, 2018 [date]. Five (5) [#] of sealed bids were received and opened.

**II. ☐ The contractor was selected pursuant to a Request for Proposals.**

The Contract was entered into after a written request for proposals was issued on \_\_\_\_\_ [date]. Potential proposers were made aware of the availability of the RFP by advertisement in \_\_\_\_\_ [newspaper], posting on industry websites, via email to interested parties and by publication on the County procurement website. Proposals were due on \_\_\_\_\_ [date]. \_\_\_\_\_ [state #] proposals were received and evaluated. The evaluation committee consisted of: \_\_\_\_\_

\_\_\_\_\_ (list # of persons on committee and their respective departments). The proposals were scored and ranked. As a result of the scoring and ranking, the highest-ranking proposer was selected.



**III. ☐ This is a renewal, extension or amendment of an existing contract.**

The contract was originally executed by Nassau County on \_\_\_\_\_ [date]. This is a renewal or extension pursuant to the contract, or an amendment within the scope of the contract or RFP (copies of the relevant pages are attached). The original contract was entered into after \_\_\_\_\_

\_\_\_\_\_  
[describe procurement method, i.e., RFP, three proposals evaluated, etc.] Attach a copy of the most recent evaluation of the contractor's performance for any contract to be renewed or extended. If the contractor has not received a satisfactory evaluation, the department must explain why the contractor should nevertheless be permitted to continue to contract with the county.

**IV. ☐ Pursuant to Executive Order No. 1 of 1993, as amended, at least three proposals were solicited and received. The attached memorandum from the department head describes the proposals received, along with the cost of each proposal.**

- ☐ A. The contract has been awarded to the proposer offering the lowest cost proposal; **OR:**
- ☐ B. The attached memorandum contains a detailed explanation as to the reason(s) why the contract was awarded to other than the lowest-cost proposer. The attachment includes a specific delineation of the unique skills and experience, the specific reasons why a proposal is deemed superior, and/or why the proposer has been judged to be able to perform more quickly than other proposers.

**V. ☐ Pursuant to Executive Order No. 1 of 1993 as amended, the attached memorandum from the department head explains why the department did not obtain at least three proposals.**

- ☐ A. There are only one or two providers of the services sought or less than three providers submitted proposals. The memorandum describes how the contractor was determined to be the sole source provider of the personal service needed or explains why only two proposals could be obtained. If two proposals were obtained, the memorandum explains that the contract was awarded to the lowest cost proposer, or why the selected proposer offered the higher quality proposal, the proposer's unique and special experience, skill, or expertise, or its availability to perform in the most immediate and timely manner.
- ☐ B. The memorandum explains that the contractor's selection was dictated by the terms of a federal or New York State grant, by legislation or by a court order. (Copies of the relevant documents are attached).
- ☐ C. Pursuant to General Municipal Law Section 104, the department is purchasing the services required through a New York State Office of General Services contract no. \_\_\_\_\_, and the attached memorandum explains how the purchase is within the scope of the terms of that contract.

- ☐ D. Pursuant to General Municipal Law Section 119-o, the department is purchasing the services required through an inter-municipal agreement.

**VI. ☐ This is a human services contract with a not-for-profit agency for which a competitive process has not been initiated.** Attached is a memorandum that explains the reasons for entering into this contract without conducting a competitive process, and details when the department intends to initiate a competitive process for the future award of these services. For any such contract, where the vendor has previously provided services to the county, attach a copy of the most recent evaluation of the vendor's performance. If the contractor has not received a satisfactory evaluation, the department must explain why the contractor should nevertheless be permitted to contract with the county.

In certain limited circumstances, conducting a competitive process and/or completing performance evaluations may not be possible because of the nature of the human services program, or because of a compelling need to continue services through the same provider. In those circumstances, attach an explanation of why a competitive process and/or performance evaluation is inapplicable.

**VII. ☐ This is a public works contract for the provision of architectural, engineering or surveying services.** The attached memorandum provides details of the department's compliance with Board of Supervisors' Resolution No. 928 of 1993, including its receipt and evaluation of annual Statements of Qualifications & Performance Data, and its negotiations with the most highly qualified firms.

**Instructions with respect to Sections VIII, IX and X:** All Departments must check the box for VIII. Then, check the box for either IX or X, as applicable.

**VIII. ☒ Participation of Minority Group Members and Women in Nassau County Contracts.** The selected contractor has agreed that it has an obligation to utilize best efforts to hire MWBE sub-contractors. Proof of the contractual utilization of best efforts as outlined in Exhibit "EE" may be requested at any time, from time to time, by the Comptroller's Office prior to the approval of claim vouchers.

**IX. ☒ Department MWBE responsibilities.** To ensure compliance with MWBE requirements as outlined in Exhibit "EE", Department will require vendor to submit list of sub-contractor requirements prior to submission of the first claim voucher, for services under this contract being submitted to the Comptroller.

**X. ☐ Vendor will not require any sub-contractors.**

**In addition, if this is a contract with an individual or with an entity that has only one or two employees:** ☐ a review of the criteria set forth by the Internal Revenue Service, *Revenue Ruling No. 87-41*, 1987-1 C.B. 296, attached as Appendix A to the Comptroller's Memorandum, dated February 13, 2004, concerning independent contractors and employees indicates that the contractor would not be considered an employee for federal tax purposes.

  
\_\_\_\_\_  
Department Head Signature

5/26/20  
\_\_\_\_\_  
Date

**NOTE:** Any information requested above, or in the exhibit below, may be included in the county's "staff summary" form in lieu of a separate memorandum.

# Certificate of No Change Form



All fields must be filled.

A materially false statement willfully or fraudulently made in connection with this certification, and/or the failure to conduct appropriate due diligence in verifying the information that is the subject of this certification, may result in rendering the submitting entity non-responsible for the purpose of contract award.

A materially false statement willfully or fraudulently made in connection with this certification may subject the person making the false statement to criminal charges.

I, William H Mauff state that I have read and understand all the items contained in the disclosure documents listed below and certify that as of this date, these items have not changed. I further certify that, to the best of my knowledge, information and belief, those answers are full, complete, and accurate; and that, to the best of my knowledge, information, and belief, those answers continue to be full, complete, and accurate.

In addition, I further certify on behalf of the submitting vendor that the information contained in the principal questionnaire(s) have not changed and have been verified and continue, to the best of my knowledge, to be full, complete and accurate.

I understand that Nassau County will rely on the information supplied in this certification as additional inducement to enter into a contract with the submitting entity.

## Vendor Disclosures

*This refers to the vendor integrity and disclosure forms submitted for the vendor doing business with the County.*

Name of Submitting Entity: W.H.M. Plumbing & Heating Cotractors, Inc.

Vendor's Address: 6h enterprise drive east setauket NY US 11733

Vendor's EIN or TIN: 11-2731372

Forms Submitted: \_\_\_\_\_

Political Campaign Contribution Disclosure Form:  
01/07/2020 10:38:52 AM

Lobbyist Registration and Disclosure Form:  
01/07/2020 10:39:37 AM

Business History Form certified:  
02/26/2020 12:25:40 PM

Consultant's, Contractor's, and Vendor's Disclosure Form:  
01/13/2020 11:08:19 AM



# Principal Questionnaire(s)

*This refers to the most recent principal questionnaire submissions.*

Principal Name	Date Certified
William H Mauff [WILLIAMHMAUFF@GMAIL.COM]	05/22/2020 12:15:25 PM

I, William H Mauff hereby acknowledge that a materially false statement willfully or fraudulently made in connection with this form may result in rendering the submitting business entity and/or any affiliated entities non-responsible, and, in addition, may subject me to criminal charges.

I further certify that I have read and understand all the items contained in this form; that I supplied full and complete answers to each item therein to the best of my knowledge, information and belief; that I will notify the County in writing of any change in circumstances occurring after the submission of this form; and that all information supplied by me is true to the best of my knowledge, information and belief. I understand that the County will rely on the information supplied in this form as additional inducement to enter into a contract with the submitting business entity

## CERTIFICATION

A MATERIALLY FALSE STATEMENT WILLFULLY OR FRAUDULENTLY MADE IN CONNECTION WITH THIS QUESTIONNAIRE MAY RESULT IN RENDERING THE SUBMITTING BUSINESS ENTITY NOT RESPONSIBLE WITH RESPECT TO THE PRESENT BID OR FUTURE BIDS, AND, IN ADDITION, MAY SUBJECT THE PERSON MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES."

William H Mauff

*Name*

President

*Title*

W.H.M. Plumbing and Heating Contractors, Inc.

*Name of Submitting Entity*

05/23/2020 05:58:13 PM

*Date*



COUNTY OF NASSAU

POLITICAL CAMPAIGN CONTRIBUTION DISCLOSURE FORM

1. Has the vendor or any corporate officers of the vendor provided campaign contributions pursuant to the New York State Election Law in (a) the period beginning April 1, 2016 and ending on the date of this disclosure, or (b), beginning April 1, 2018, the period beginning two years prior to the date of this disclosure and ending on the date of this disclosure, to the campaign committees of any of the following Nassau County elected officials or to the campaign committees of any candidates for any of the following Nassau County elected offices: the County Executive, the County Clerk, the Comptroller, the District Attorney, or any County Legislator?

YES ☐ NO ☒ If yes, to what campaign committee?

2. VERIFICATION: This section must be signed by a principal of the consultant, contractor or Vendor authorized as a signatory of the firm for the purpose of executing Contracts.

The undersigned affirms and so swears that he/she has read and understood the foregoing statements and they are, to his/her knowledge, true and accurate.

The undersigned further certifies and affirms that the contribution(s) to the campaign committees identified above were made freely and without duress, threat or any promise of a governmental benefit or in exchange for any benefit or remuneration.

Electronically signed and certified at the date and time indicated by:  
Sarah Browne [SARAH.B@WHMPLUMBING.COM]

Dated: 01/07/2020 10:38:52 AM

Vendor: W.H.M. Plumbing & Heating Contractors, Inc.

Title: Administrator



## COUNTY OF NASSAU

### LOBBYIST REGISTRATION AND DISCLOSURE FORM

1. Name, address and telephone number of lobbyist(s)/lobbying organization. The term "lobbyist" means any and every person or organization retained, employed or designated by any client to influence - or promote a matter before - Nassau County, its agencies, boards, commissions, department heads, legislators or committees, including but not limited to the Open Space and Parks Advisory Committee and Planning Commission. Such matters include, but are not limited to, requests for proposals, development or improvement of real property subject to County regulation, procurements. The term "lobbyist" does not include any officer, director, trustee, employee, counsel or agent of the County of Nassau, or State of New York, when discharging his or her official duties.

NONE

2. List whether and where the person/organization is registered as a lobbyist (e.g., Nassau County, New York State):

NONE

3. Name, address and telephone number of client(s) by whom, or on whose behalf, the lobbyist is retained, employed or designated:

N/A

4. Describe lobbying activity conducted, or to be conducted, in Nassau County, and identify client(s) for each activity listed. See the last page for a complete description of lobbying activities.

N/A

5. The name of persons, organizations or governmental entities before whom the lobbyist expects to lobby:

N/A

6. If such lobbyist is retained or employed pursuant to a written agreement of retainer or employment, you must attach a copy of such document; and if agreement of retainer or employment is oral, attach a written statement of the substance thereof. If the written agreement of retainer or employment does not contain a signed authorization from the client by whom you have been authorized to lobby. separately attach such a written authorization from the client.

7. Has the lobbyist/lobbying organization or any of its corporate officers provided campaign contributions pursuant to the New York State Election Law in (a) the period beginning April 1, 2016 and ending on the date of this disclosure, or (b), beginning April 1, 2018, the period beginning two years prior to the date of this disclosure and ending on the date of this disclosure, to the campaign committees of any of the following Nassau County elected officials or to the campaign committees of any candidates for any of the following Nassau County elected offices: the County Executive, the County Clerk, the Comptroller, the District Attorney, or any County Legislator?

YES ☐ NO ☒ If yes, to what campaign committee? If none, you must so state:

I understand that copies of this form will be sent to the Nassau County Department of Information Technology ("IT") to be posted on the County's website.

I also understand that upon termination of retainer, employment or designation I must give written notice to the County Attorney within thirty (30) days of termination.

VERIFICATION: The undersigned affirms and so swears that he/she has read and understood the foregoing statements and they are, to his/her knowledge, true and accurate.

The undersigned further certifies and affirms that the contribution(s) to the campaign committees listed above were made freely and without duress, threat or any promise of a governmental benefit or in exchange for any benefit or remuneration.

Electronically signed and certified at the date and time indicated by:  
Sarah Browne [SARAH.B@WHMPLUMBING.COM]

Dated: 01/07/2020 10:39:37 AM

Vendor:

W.H.M. Plumbing & Heating  
Contractors, Inc.

Title:

Administrator

**The term lobbying shall mean any attempt to influence:** any determination made by the Nassau County Legislature, or any member thereof, with respect to the introduction, passage, defeat, or substance of any local legislation or resolution; any determination by the County Executive to support, oppose, approve or disapprove any local legislation or resolution, whether or not such legislation has been introduced in the County Legislature; any determination by an elected County official or an officer or employee of the County with respect to the procurement of goods, services or construction, including the preparation of contract specifications, including but not limited to the preparation of requests for proposals, or solicitation, award or administration of a contract or with respect to the solicitation, award or administration of a grant, loan, or agreement involving the disbursement of public monies; any determination made by the County Executive, County Legislature, or by the County of Nassau, its agencies, boards, commissions department heads or committees, including but not limited to the Open Space and Parks Advisory Committee, the Planning Commission with respect to the zoning, use, development or improvement of real property subject to County regulation, or any agencies, boards, commissions, department heads or committees with respect to requests for proposals, bidding, procurement or contracting for services for the County; any determination made by an elected county official or an officer or employee of the county with respect to the terms of the acquisition or disposition by the county of any interest in real property, with respect to a license or permit for the use of real property of or by the county, or with respect to a franchise, concession or revocable consent; the proposal, adoption, amendment or rejection by an agency of any rule having the force and effect of law; the decision to hold, timing or outcome of any rate making proceeding before an agency; the agenda or any determination of a board or commission; any determination regarding the calendaring or scope of any legislature oversight hearing; the issuance, repeal, modification or substance of a County Executive Order; or any determination made by an elected county official or an officer or employee of the county to support or oppose any state or federal legislation, rule or regulation, including any determination made to support or oppose that is contingent on any amendment of such legislation, rule or regulation, whether or not such legislation has been formally introduced and whether or not such rule or regulation has been formally proposed.

**The term "lobbying" or "lobbying activities" does not include:** Persons engaged in drafting legislation, rules, regulations or rates; persons advising clients and rendering opinions on proposed legislation, rules, regulations or rates, where such professional services are not otherwise connected with legislative or executive action on such legislation or administrative action on such rules, regulations or rates; newspapers and other periodicals and radio and television stations and owners and employees thereof, provided that their activities in connection with proposed legislation, rules, regulations or rates are limited to the publication or broadcast of news items, editorials or other comment, or paid advertisements; persons who participate as witnesses, attorneys or other representatives in public rule-making or rate-making proceedings of a County agency, with respect to all participation by such persons which is part of the public record thereof and all preparation by such persons for such participation; persons who attempt to influence a County agency in an adjudicatory proceeding, as defined by § 102 of the New York State Administrative Procedure Act.



## PRINCIPAL QUESTIONNAIRE FORM

All questions on these questionnaires must be answered by all officers and any individuals who hold a ten percent (10%) or greater ownership interest in the proposer. Answers typewritten or printed in ink. If you need more space to answer any question, make as many photocopies of the appropriate page(s) as necessary and attach them to the questionnaire.

COMPLETE THIS QUESTIONNAIRE CAREFULLY AND COMPLETELY. FAILURE TO SUBMIT A COMPLETE QUESTIONNAIRE MAY MEAN THAT YOUR BID OR PROPOSAL WILL BE REJECTED AS NON-RESPONSIVE AND IT WILL NOT BE CONSIDERED FOR AWARD

1. Principal Name: William H. Mauff  
Date of birth: [REDACTED]  
Home address: [REDACTED]  
City: [REDACTED] State/Province/Territory: [REDACTED] Zip/Postal Code: [REDACTED]  
Country: US

Business Address:	6H Enterprise Drive		
City:	East Setauket	State/Province/Territory:	NM
		Zip/Postal Code:	11733
Country	US		
Telephone:	(631) 473-3568		

Other present address(es):

City:	east setauket	State/Province/Territory:		Zip/Postal Code:	11733
Country:	US				
Telephone:	6314733568				

List of other addresses and telephone numbers attached

2. Positions held in submitting business and starting date of each (check all applicable)

President	03/18/1985	Treasurer	03/18/1985
Chairman of Board		Shareholder	
Chief Exec. Officer		Secretary	03/18/1985
Chief Financial Officer		Partner	
Vice President			
(Other)			

3. Do you have an equity interest in the business submitting the questionnaire?

YES	X	NO		If Yes, provide details.
-----	---	----	--	--------------------------

100% Owner/Stockholder

4. Are there any outstanding loans, guarantees or any other form of security or lease or any other type of contribution made in whole or in part between you and the business submitting the questionnaire?

YES ☐ NO ☒ If Yes, provide details.

5. Within the past 3 years, have you been a principal owner or officer of any business or notfor-profit organization other than the one submitting the questionnaire?

YES ☒ NO ☐ If Yes, provide details.

6 Enterprise Drive, LLC. and 4 Enterprise Drive, LLC. - Companies own property

6. Has any governmental entity awarded any contracts to a business or organization listed in Section 5 in the past 3 years while you were a principal owner or officer?

YES ☐ NO ☒ If Yes, provide details.

NOTE: An affirmative answer is required below whether the sanction arose automatically, by operation of law, or as a result of any action taken by a government agency. Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.

7. In the past (5) years, have you and/or any affiliated businesses or not-for-profit organizations listed in Section 5 in which you have been a principal owner or officer:

- a. Been debarred by any government agency from entering into contracts with that agency?

YES ☐ NO ☒ If yes, provide an explanation of the circumstances and corrective action taken.

- b. Been declared in default and/or terminated for cause on any contract, and/or had any contracts cancelled for cause?

YES ☐ NO ☒ If yes, provide an explanation of the circumstances and corrective action taken.

- c. Been denied the award of a contract and/or the opportunity to bid on a contract, including, but not limited to, failure to meet pre-qualification standards?

YES ☐ NO ☒ If yes, provide an explanation of the circumstances and corrective action taken.

- d. Been suspended by any government agency from entering into any contract with it; and/or is any action pending that could formally debar or otherwise affect such business's ability to bid or propose on contract?

YES ☐ NO ☒ If yes, provide an explanation of the circumstances and corrective action taken.

8. Have any of the businesses or organizations listed in response to Question 5 filed a bankruptcy petition and/or been the subject of involuntary bankruptcy proceedings during the past 7 years, and/or for any portion of the last 7 year period, been in a state of bankruptcy as a result of bankruptcy proceedings initiated more than 7 years ago and/or is any such business now the subject of any pending bankruptcy proceedings, whenever initiated?

YES ☐ NO ☒ If 'Yes', provide details for each such instance. (Provide a detailed response to all questions check "Yes". If you need more space, photocopy the appropriate page and attached it to the questionnaire.)

9.

a. Is there any felony charge pending against you?

YES ☐ NO ☒ If yes, provide an explanation of the circumstances and corrective action taken.

b. Is there any misdemeanor charge pending against you?

YES ☐ NO ☒ If yes, provide an explanation of the circumstances and corrective action taken.

c. Is there any administrative charge pending against you?

YES ☐ NO ☒ If yes, provide an explanation of the circumstances and corrective action taken.

d. In the past 10 years, have you been convicted, after trial or by plea, of any felony, or of any other crime, an element of which relates to truthfulness or the underlying facts of which related to the conduct of business? Y

YES ☐ NO ☒ If yes, provide an explanation of the circumstances and corrective action taken.

e. In the past 5 years, have you been convicted, after trial or by plea, of a misdemeanor?

YES ☐ NO ☒ If yes, provide an explanation of the circumstances and corrective action taken.

f. In the past 5 years, have you been found in violation of any administrative or statutory charges?

YES ☐ NO ☒ If yes, provide an explanation of the circumstances and corrective action taken.

10. In addition to the information provided in response to the previous questions, in the past 5 years, have you been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency and/or the subject of an investigation where such investigation was related to activities performed at, for, or on behalf of the submitting business entity and/or an affiliated business listed in response to Question 5?

YES ☐ NO ☒ If yes, provide an explanation of the circumstances and corrective action taken.

11. In addition to the information provided, in the past 5 years has any business or organization listed in response to Question 5, been the subject of a criminal investigation and/or a civil anti-trust investigation and/or any other type of investigation by any government agency, including but not limited to federal, state, and local regulatory agencies while you were a principal owner or officer?

YES ☐ NO ☒ If yes, provide an explanation of the circumstances and corrective action taken.

12. In the past 5 years, have you or this business, or any other affiliated business listed in response to Question 5 had any sanction imposed as a result of judicial or administrative proceedings with respect to any professional license held?

YES ☐ NO ☒ If yes, provide an explanation of the circumstances and corrective action taken.

13. For the past 5 tax years, have you failed to file any required tax returns or failed to pay any applicable federal, state or local taxes or other assessed charges, including but not limited to water and sewer charges?

YES ☐ NO ☒ If yes, provide an explanation of the circumstances and corrective action taken.

I, William H Mauff , hereby acknowledge that a materially false statement willfully or fraudulently made in connection with this form may result in rendering the submitting business entity and/or any affiliated entities non-responsible, and, in addition, may subject me to criminal charges.

I, William H Mauff , hereby certify that I have read and understand all the items contained in this form; that I supplied full and complete answers to each item therein to the best of my knowledge, information and belief; that I will notify the County in writing of any change in circumstances occurring after the submission of this form; and that all information supplied by me is true to the best of my knowledge, information and belief. I understand that the County will rely on the information supplied in this form as additional inducement to enter into a contract with the submitting business entity.

**CERTIFICATION**

A MATERIALLY FALSE STATEMENT WILLFULLY OR FRAUDULENTLY MADE IN CONNECTION WITH THIS QUESTIONNAIRE MAY RESULT IN RENDERING THE SUBMITTING BUSINESS ENTITY NOT RESPONSIBLE WITH RESPECT TO THE PRESENT BID OR FUTURE BIDS, AND, IN ADDITION, MAY SUBJECT THE PERSON MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES.

W.H.M. plumbing & Heating Contractors, Inc.

Name of submitting business

Electronically signed and certified at the date and time indicated by:

William H Mauff [REDACTED]@[REDACTED].[REDACTED]

President

Title

05/22/2020 12:15:25 PM

Date

### Business History Form

The contract shall be awarded to the responsible proposer who, at the discretion of the County, taking into consideration the reliability of the proposer and the capacity of the proposer to perform the services required by the County, offers the best value to the County and who will best promote the public interest.

In addition to the submission of proposals, each proposer shall complete and submit this questionnaire. The questionnaire shall be filled out by the owner of a sole proprietorship or by an authorized representative of the firm, corporation or partnership submitting the Proposal.

**NOTE: All questions require a response, even if response is "none" or "not-applicable." No blanks.**

(USE ADDITIONAL SHEETS IF NECESSARY TO FULLY ANSWER THE FOLLOWING QUESTIONS).

Date: 10/01/2019

1) Proposer's Legal Name: W.H.M. Plumbing & Heating Contractors, Inc.

2) Address of Place of Business: 6H Enterprise Drive

City: East Setauket State/Province/Territory: NY Zip/Postal Code: 11733

Country: US

3) Mailing Address (if different): \_\_\_\_\_

City: \_\_\_\_\_ State/Province/Territory: \_\_\_\_\_ Zip/Postal Code: \_\_\_\_\_

Country: \_\_\_\_\_

Phone: \_\_\_\_\_

Does the business own or rent its facilities? Own If other, please provide details:

\_\_\_\_\_

4) Dun and Bradstreet number:                     

5) Federal I.D. Number: 1                    

6) The proposer is a: Corporation (Describe) \_\_\_\_\_

7) Does this business share office space, staff, or equipment expenses with any other business?

YES ☒ NO ☐ If yes, please provide details:

\_\_\_\_\_

8) Does this business control one or more other businesses?

YES ☐ NO ☒ If yes, please provide details:

\_\_\_\_\_

9) Does this business have one or more affiliates, and/or is it a subsidiary of, or controlled by, any other business?

YES ☐ NO ☒ If yes, please provide details:

\_\_\_\_\_

- 10) Has the proposer ever had a bond or surety cancelled or forfeited, or a contract with Nassau County or any other government entity terminated?

YES ☐ NO ☒ If yes, state the name of bonding agency, (if a bond), date, amount of bond and reason for such cancellation or forfeiture: or details regarding the termination (if a contract).

- 11) Has the proposer, during the past seven years, been declared bankrupt?

YES ☐ NO ☒ If yes, state date, court jurisdiction, amount of liabilities and amount of assets

- 12) In the past five years, has this business and/or any of its owners and/or officers and/or any affiliated business, been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency? And/or, in the past 5 years, have any owner and/or officer of any affiliated business been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency, where such investigation was related to activities performed at, for, or on behalf of an affiliated business.

YES ☐ NO ☒ If yes, provide details for each such investigation, an explanation of the circumstances and corrective action taken.

- 13) In the past 5 years, has this business and/or any of its owners and/or officers and/or any affiliated business been the subject of an investigation by any government agency, including but not limited to federal, state and local regulatory agencies? And/or, in the past 5 years, has any owner and/or officer of an affiliated business been the subject of an investigation by any government agency, including but not limited to federal, state and local regulatory agencies, for matters pertaining to that individual's position at or relationship to an affiliated business.

YES ☐ NO ☒ If yes, provide details for each such investigation, an explanation of the circumstances and corrective action taken.

- 14) Has any current or former director, owner or officer or managerial employee of this business had, either before or during such person's employment, or since such employment if the charges pertained to events that allegedly occurred during the time of employment by the submitting business, and allegedly related to the conduct of that business:

a) Any felony charge pending?

YES ☐ NO ☒ If yes, provide details for each such investigation, an explanation of the circumstances and corrective action taken.

b) Any misdemeanor charge pending?

YES ☐ NO ☒ If yes, provide details for each such investigation, an explanation of the circumstances and corrective action taken.

c) In the past 10 years, you been convicted, after trial or by plea, of any felony and/or any other crime, an

element of which relates to truthfulness or the underlying facts of which related to the conduct of business?  
YES ☐ NO ☒ If yes, provide details for each such investigation, an explanation of the  
circumstances and corrective action taken.

d) In the past 5 years, been convicted, after trial or by plea, of a misdemeanor?

YES ☐ NO ☒ If yes, provide details for each such investigation, an explanation of the  
circumstances and corrective action taken.

e) In the past 5 years, been found in violation of any administrative, statutory, or regulatory provisions?

YES ☐ NO ☒ If yes, provide details for each such investigation, an explanation of the  
circumstances and corrective action taken.

- 15) In the past (5) years, has this business or any of its owners or officers, or any other affiliated business had any  
sanction imposed as a result of judicial or administrative proceedings with respect to any professional license  
held?

YES ☐ NO ☒ If yes, provide details for each such investigation, an explanation of the  
circumstances and corrective action taken.

- 16) For the past (5) tax years, has this business failed to file any required tax returns or failed to pay any applicable  
federal, state or local taxes or other assessed charges, including but not limited to water and sewer charges?  
YES ☐ NO ☒ If yes, provide details for each such year. Provide a detailed response to all  
questions checked 'YES'. If you need more space, photocopy the appropriate page and attach it to the  
questionnaire.

- 17 Conflict of Interest:

a) Please disclose any conflicts of interest as outlined below. NOTE: If no conflicts exist, please expressly  
state "No conflict exists."

(i) Any material financial relationships that your firm or any firm employee has that may create a conflict  
of interest or the appearance of a conflict of interest in acting on behalf of Nassau County.

No Conflict Exists

(ii) Any family relationship that any employee of your firm has with any County public servant that may  
create a conflict of interest or the appearance of a conflict of interest in acting on behalf of Nassau  
County.

No Conflict Exists

(iii) Any other matter that your firm believes may create a conflict of interest or the appearance of a  
conflict of interest in acting on behalf of Nassau County.

No Conflict Exists



- b) Please describe any procedures your firm has, or would adopt, to assure the County that a conflict of interest would not exist for your firm in the future.

W.H.M. will be consistent in ensuring that no conflicts of interest exist and in doing so will be sure to ask employees relevant questions and make sure any new hires are questioned regarding the same.

- A. Include a resume or detailed description of the Proposer's professional qualifications, demonstrating extensive experience in your profession. Any prior similar experiences, and the results of these experiences, must be identified.

Have you previously uploaded the below information under in the Document Vault?

YES ☐ NO ☒

Is the proposer an individual?

YES ☐ NO ☒ Should the proposer be other than an individual, the Proposal MUST include:

- i) Date of formation;

03/18/1985

- ii) Name, addresses, and position of all persons having a financial interest in the company, including shareholders, members, general or limited partner. If none, explain.

William H. Mauff - President -

*No individuals with a financial interest in the company have been attached..*

- iii) Name, address and position of all officers and directors of the company. If none, explain.

William H. Mauff - President -

*No officers and directors from this company have been attached.*

- iv) State of incorporation (if applicable);

NY

- v) The number of employees in the firm;

- vi) Annual revenue of firm;

- vii) Summary of relevant accomplishments

Please see attached.

1 File(s) Uploaded: WWTP Completed.pdf

- viii) Copies of all state and local licenses and permits.

3 File(s) Uploaded: Nassau County COF License.pdf, Suffolk County Liquid Waste.pdf, Suffolk County Master Plumbers.pdf

- B. Indicate number of years in business.

- C. Provide any other information which would be appropriate and helpful in determining the Proposer's capacity and reliability to perform these services.

W.H.M. has been doing work with Nassau County for 20+ years. We feel our experience and work performance speaks for itself and at this time the County is in possession of any records that would be responsive to this request.

- D. Provide names and addresses for no fewer than three references for whom the Proposer has provided similar services or who are qualified to evaluate the Proposer's capability to perform this work.

Company Sea Crest Construction Corp.  
 Contact Person Eric Read  
 Address 157 Albany Avenue  
 City Freeport State/Province/Territory NY  
 Country US  
 Telephone [REDACTED]  
 Fax # [REDACTED]  
 [REDACTED]

Company Town of Babylon Office of General Services  
 Contact Person Kathy Lynch  
 Address 200 East Sunrise Highway  
 City Linderhurst State/Province/Territory NY  
 Country US  
 Telephone [REDACTED]  
 Fax # [REDACTED]  
 E-Mail Address [REDACTED]

Company Fortunato Sons Contracting, Inc.  
 Contact Person Barney Fortunato  
 Address 630 Johnson Avenue  
 City Bohemia State/Province/Territory NY  
 Country US  
 Telephone (6 [REDACTED]  
 Fax # ( [REDACTED] 1  
 E-Mail Address [REDACTED]

I, Sarah Browne , hereby acknowledge that a materially false statement willfully or fraudulently made in connection with this form may result in rendering the submitting business entity and/or any affiliated entities non-responsible, and, in addition, may subject me to criminal charges.

I, Sarah Browne , hereby certify that I have read and understand all the items contained in this form; that I supplied full and complete answers to each item therein to the best of my knowledge, information and belief; that I will notify the County in writing of any change in circumstances occurring after the submission of this form; and that all information supplied by me is true to the best of my knowledge, information and belief. I understand that the County will rely on the information supplied in this form as additional inducement to enter into a contract with the submitting business entity.

#### **CERTIFICATION**

A MATERIALLY FALSE STATEMENT WILLFULLY OR FRAUDULENTLY MADE IN CONNECTION WITH THIS QUESTIONNAIRE MAY RESULT IN RENDERING THE SUBMITTING BUSINESS ENTITY NOT RESPONSIBLE WITH RESPECT TO THE PRESENT BID OR FUTURE BIDS, AND, IN ADDITION, MAY SUBJECT THE PERSON MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES.

Name of submitting business: W.H.M. Plumbing & Heating Contractors Inc.

Electronically signed and certified at the date and time indicated by:  
Sarah Browne [SARAH.B@WHMPLUMBING.COM]

Administrator

Title

02/26/2020 12:25:40 PM

Date



## **SUMMARY OF RELEVANT ACCOMPLISHMENTS**

### **Wastewater Treatment Project Completed in the Last 5 Years:**

1. **Project:** Northport WWTP  
Northport, New York  
**Owner:** Incorporated Village of Northport  
Department of Public Works  
224 Main Street  
Northport, New York  
**Engineer:** Gannett Fleming  
**Contract Amount:** \$3,392,000.00  
**Percentage Complete:** 100%  
**Approx. Completion Date:** 4/2016

- 
2. **Project:** Wincoram Commons I  
& II Coram, New York  
**Owner:** Conifer-LeChase, LLC.  
100 Beaman Boulevard  
Atlantic Highlands, New  
Jersey **CM:** The Zenith Group,  
LLC. **Contract Amount:** \$1,040,000.00  
**Percentage Complete:** 100%  
**Approx. Completion Date:** 5/2016

- 
3. **Project:** SUNY Stony Brook  
WWTP Stony Brook,  
New York  
**Owner:** County of Suffolk  
Department of Public Works  
335 Yaphank Avenue  
Yaphank, New  
York **Engineer:** Gannett  
Fleming **Contract Amount:**  
\$12,368,000.00  
**Percentage Complete:** 100%  
**Approx. Completion Date:** 11/2015
-

4. **Project:** Bay Park Sewer Treatment Plant Improvements & Replacements  
2 Marjorie Lane  
Easy Rockaway, New York  
**Owner:** County of Nassau  
Department of Public Works  
1194 Prospect Avenue.  
Westbury, New York  
**Engineer:** Dvirka & Bartilluci  
**Contract Amount:** \$2,425,000.00  
**Percentage Complete:** 100%  
**Approx. Completion Date:** 7/2015

---

5. **Project:** Bay Park Sewer Treatment Plant Interim Sludge Facility  
Easy Rockaway, New York  
**Owner:** County of Nassau  
Department of Public Works  
1194 Prospect Avenue.  
Westbury, New York  
**Engineer:** Dvirka & Bartilluci  
**Contract Amount:** \$3,186,000.00  
**Percentage Complete:** 100%  
**Approx. Completion Date:** 3/2015

---

6 **Project:** Bay Park Sewer Treatment Plant –Modifications to  
Influent Pumping System  
Easy Rockaway, New York  
**Owner:** County of Nassau  
Department of Public Works  
1194 Prospect Avenue.  
Westbury, New York  
**Engineer:** Dvirka & Bartilluci  
**Contract Amount:** \$7,835,000.00  
**Percentage Complete:** 100%  
**Approx. Completion Date:** 4/2018

### ***Additional Wastewater Treatment Projects Completed in Full:***

Project: Green Port Sewage Treatment Plant  
Greenport, New York  
Completed: 100%  
Owner: Incorporated Village of Greenport  
236 Third Street  
Greenport, New York

---

Project: Galleria Sewage Treatment Plant  
Smithtown, New York  
Completed: 100%  
Owner: Avalon Properties  
15 River Road  
Wilton, CT 06897

---

Project: Park Meadow, Sewage Treatment Plant  
Smithtown, New York  
Completed: 100%  
Owner: Beechwood Organization  
Contractor: 345 Building Corp.

---

Project: Sagamore Hills Sewer Treatment Plant  
Port Jefferson, New York  
Completed: 100%  
Owner: Sagamore Hills  
Port Jefferson, New York

---

Project: City of Glen Cove WPCP  
BNR Retrofit  
Glen Cove, New York  
Completed: 100%  
Engineer: Cameron Engineering & Associates, LLP.

---

Project: Cedar Creek Sewage Treatment Plant  
3340 Merrick Road  
Wantagh, New York 11793  
Completed: 100%  
Engineer: Posillico Environmental  
1750 New Highway  
Farmingdale, New York

---

Project: Bergen Point STP  
Bergen Avenue  
West Babylon, New York 11704  
Completed: 100%  
Owner: County of Suffolk  
Depart. Of Public Works  
335 Yaphank Avenue  
Yaphank, New York 11980

---

Project: Belgrave WPCD  
34-01 255<sup>th</sup>  
Little Neck, New York  
Completed: 100%  
Engineer: Dvirka & Bartilucci Consulting Engineers

---

Project: Kings Park WTP  
Kings Park, New York  
Completed: 100%  
Engineer: Posillico Environmental  
1750 New Highway  
Farmingdale, New York

---

Project: Twelve Pines STP  
Woodside Avenue  
Medford, New York  
Completed: 100%  
Owner: County of Suffolk  
Department of Public Works  
335 Yaphank Avenue  
Yaphank, New York

---

Project: Sag Harbor STP  
Sag Harbor, New York  
Completed: 100%  
Owner: Village of Sag Harbor  
16 Columbia Street  
Sag Harbor, New York 11963

---

Project: Smithhaven Mall STP and Pump Station  
Lake Grove, New York  
Completed: 100%  
Owner: Simon Property Group

---

Project: Smithhaven Pump Station  
Lake Grove, New York  
Completed: 100%  
Owner: Simon Property Group

---

Project: Brookwood Village Pump Station  
Coram, New York  
Completed: 100%  
Owner: Brookwood Communities, Inc.  
1 Brookwood Drive  
Coram, New York

---

**Project:** Bellhaven Nursing Home Pump Station  
Brookhaven, New York  
**Completed:** 100%  
**Owner:** Bellhaven Center for Nursing & Rehabilitation  
**Engineer:** Nelson Pope

---

**Project:** Coram Pump Station  
Route 112  
Coram, New York  
**Completed:** 100%  
**Owner:** County of Suffolk  
Department of Public Works  
335 Yaphank Avenue  
Yaphank, New York

---

**Project:** Ray Street STP  
Freeport, New York  
**Owner:** County of Nassau  
Department of Public Works  
1194 Prospect Avenue.  
Westbury, New York  
**Engineer:** Dvirka & Bartilucci



SPRINKLER SYSTEM COF

Tester ID

20001316

Issue Date

06/30/2019

WILLIAM H MAUFF

COF ID


20012513

Expiration Date

06/30/2020

Type

1



DOB

XXXXXX

XXXXXX

XXXXXX

Property of Nassau County Fire Marshal

Weight:	Height:
185	5' 10"

This certificate authorizes the bearer to operate within Nassau County but does not exclusively recommend the bearer

Postage Guaranteed Drop in any mailbox,  
Nassau County Fire Marshal  
1194 Prospect Avenue, Westbury, NY 11590

## RECEIPT

Suffolk County Government  
SUFFOLK COUNTY LABOR, LICENSING & CONSUMER AFFAIRS  
P.O. BOX 6100 HAUPPAUGE, NY 11788  
James M. Andrews

Application: MP-2368  
Application Type: ConsumerAffairs/Licenses/Master Plumber/NA  
Address:  
Owner Name: WHM PLUMBING & HEATING CONTRACTORS INC  
Owner Address: 6H ENTERPRISE DR E SETAUKET, NY 11733  
Application Name:

Receipt No.	147744					
Payment Method	Ref Number	Amount Paid	Payment Date	Cashier ID	Received	Comments
Check	46891	\$400.00	08/17/2018	LSALVAG		RENEWAL

Owner info.: WHM PLUMBING & HEATING CONTRACTORS INC  
6H ENTERPRISE DR  
E SETAUKET, NY 11733

Work Description:



This certifies that the  
bearer is duly licensed  
by the County of Suffolk

*Frank A. Santolucito*  
Commissioner

Suffolk County Dept. of  
Labor, Licensing & Consumer Affairs

MASTER PLUMBING LICENSE

**Name**

WILLIAM H. MAUFF

**Business Name**

WHM PLUMBING & HEATING

CONTRACTORS INC

License Number MP-2368

Issued: 09/01/1984

Expires: 09/01/2020

COUNTY OF NASSAU

CONSULTANT'S, CONTRACTOR'S AND VENDOR'S DISCLOSURE FORM

1. Name of the Entity: W.H.M. Plumbing & Heating Contractors, Inc.

Address: 6H Enterprise Drive

City: East Setauket State/Province/Territory: NY Zip/Postal Code: 11733

Country: \_\_\_\_\_

2. Entity's Vendor Identification Number:                     

3. Type of Business:                      (specify) \_\_\_\_\_

4. List names and addresses of all principals; that is, all individuals serving on the Board of Directors or comparable body, all partners and limited partners, all corporate officers, all parties of Joint Ventures, and all members and officers of limited liability companies (attach additional sheets if necessary):

First Name	<u>William</u>		
Last Name	<u>Mauff</u>		
MI	<u>H</u>	Suffix	_____
Address	<u>6H Enterprise Drive</u>		
City	<u>East Setauket</u>	State/Province/Territory:	<u>NY</u> Zip/Postal Code: <u>11733</u>
Country	<u>US</u>		
Position	<u>President</u>		

5. List names and addresses of all shareholders, members, or partners of the firm. If the shareholder is not an individual, list the individual shareholders/partners/members. If a Publicly held Corporation, include a copy of the 10K in lieu of completing this section.

If none, explain.

William H. Mauff -

*No shareholders, members, or partners have been attached to this form.*

6. List all affiliated and related companies and their relationship to the firm entered on line 1. above (if none, enter "None"). Attach a separate disclosure form for each affiliated or subsidiary company that may take part in the performance of this contract. Such disclosure shall be updated to include affiliated or subsidiary companies not previously disclosed that participate in the performance of the contract.

None.

7. List all lobbyists whose services were utilized at any stage in this matter (i.e., pre-bid, bid, post-bid, etc.). If none, enter "None." The term "lobbyist" means any and every person or organization retained, employed or designated by any client to influence - or promote a matter before - Nassau County, its agencies, boards, commissions, department heads, legislators or committees, including but not limited to the Open Space and Parks Advisory Committee and Planning Commission. Such matters include, but are not limited to, requests for proposals, development or improvement of real property subject to County regulation, procurements. The term "lobbyist" does not include any officer, director, trustee, employee, counsel or agent of the County of Nassau, or State of New York, when discharging his or her official duties.

Are there lobbyists involved in this matter?

YES ☐ NO ☒

(a) Name, title, business address and telephone number of lobbyist(s):

---

(b) Describe lobbying activity of each lobbyist. See below for a complete description of lobbying activities.

---

(c) List whether and where the person/organization is registered as a lobbyist (e.g., Nassau County, New York State):

---

8. VERIFICATION: This section must be signed by a principal of the consultant, contractor or Vendor authorized as a signatory of the firm for the purpose of executing Contracts.

The undersigned affirms and so swears that he/she has read and understood the foregoing statements and they are, to his/her knowledge, true and accurate.

Electronically signed and certified at the date and time indicated by:

Sarah Browne [SARAH.B@WHMPLUMBING.COM]

Dated: 01/13/2020 11:08:19 AM

Title: Administrator

**The term lobbying shall mean any attempt to influence:** any determination made by the Nassau County Legislature, or any member thereof, with respect to the introduction, passage, defeat, or substance of any local legislation or resolution; any determination by the County Executive to support, oppose, approve or disapprove any local legislation or resolution, whether or not such legislation has been introduced in the County Legislature; any determination by an elected County official or an officer or employee of the County with respect to the procurement of goods, services or construction, including the preparation of contract specifications, including by not limited to the preparation of requests for proposals, or solicitation, award or administration of a contract or with respect to the solicitation, award or administration of a grant, loan, or agreement involving the disbursement of public monies; any determination made by the County Executive, County Legislature, or by the County of Nassau, its agencies, boards, commissions, department heads or committees, including but not limited to the Open Space and Parks Advisory Committee, the Planning Commission, with respect to the zoning, use, development or improvement of real property subject to County regulation, or any agencies, boards, commissions, department heads or committees with respect to requests for proposals, bidding, procurement or contracting for services for the County; any determination made by an elected county official or an officer or employee of the county with respect to the terms of the acquisition or disposition by the county of any interest in real property, with respect to a license or permit for the use of real property of or by the county, or with respect to a franchise, concession or revocable consent; the proposal, adoption, amendment or rejection by an agency of any rule having the force and effect of law; the decision to hold, timing or outcome of any rate making proceeding before an agency; the agenda or any determination of a board or commission; any determination regarding the calendaring or scope of any legislature oversight hearing; the issuance, repeal, modification or substance of a County Executive Order; or any determination made by an elected county official or an officer or employee of the county to support or oppose any state or federal legislation, rule or regulation, including any determination made to support or oppose that is contingent on any amendment of such legislation, rule or regulation, whether or not such legislation has been formally introduced and whether or not such rule or regulation has been formally proposed.

**COUNTY OF NASSAU**  
**DEPARTMENT OF PUBLIC WORKS**  
**Inter-Departmental Memo**

**TO:** Office of the County Executive  
Att: Brian J. Schneider, Deputy County Executive

**FROM:** Department of Public Works

**DATE:** August 15, 2019

**SUBJECT: RECOMMENDATION OF AWARD**

Contract Number: S35121-11G  
Title: Bay Park STP  
Effluent Screening and Disinfection Facility  
Engineer's Estimate: \$9,002,916  
Bids Received On: August 21, 2018

The bids received for the above referenced contract have been examined and WHM Plumbing & Heating is the lowest responsible bidder in the amount as follows:

General Construction (Lump Sum Base Bid):	\$7,900,000.00
Allowance (Misc. Additional Work):	\$ 100,000.00
Allowance (Unforeseen Hazardous Materials Testing, Remediation and Disposal):	\$ 50,000.00
Allowance (Bridge Crane Inspection):	\$ 50,000.00
Allowance (Building Cleaning):	\$ 50,000.00
Allowance (Drain Valve Inspection/Repair):	\$ 200,000.00
Bid Total:	<u>\$8,350,000.00</u>

The lowest responsible bid is 7% below the Engineer's Estimate; five bids were received.

Funding for the construction services is available under Capital Project 35123.

If you approve or disapprove of the above request, please signify below and return the memo to this office for appropriate action.



Kenneth G. Arnold  
Commissioner

KGA:VF:rp  
Attachment

c: Vincent Falkowski, Deputy Commissioner  
Roseann D'Alleva, Deputy Commissioner  
Christopher Nolan, Deputy Budget Director  
Loretta Dionisio, Assistant to Deputy Commissioner  
Edward Visone, Assistant Superintendent of Sanitary Construction  
John Domenica, Sanitary Engineer III  
Christopher Vella, Construction Inspector II  
Eric Mills, Hazen & Sawyer  
Maryanne Dioquino, ARCADIS

APPROVED:

DISAPPROVED:



Brian J. Schneider  
Deputy County Executive

Date

Brian J. Schneider  
Deputy County Executive

Date



**COUNTY OF NASSAU**  
**DEPARTMENT OF PUBLIC WORKS**  
**Inter-Departmental Memo**

**TO:** Kenneth G. Arnold, Commissioner  
**FROM:** Water/Wastewater Engineering Unit  
**DATE:** November 28, 2018  
**SUBJECT:** RECOMMENDATION OF AWARD

Contract No: S35121-11G  
Title: Bay Park STP Effluent Screening and Disinfection Facility  
Engineer's Estimate: \$9,002,916  
Bids Received On: August 21, 2018

The bids received for the above-referenced contract have been examined, and the bid submitted by WHM Plumbing & Heating Contractors, Inc. (WHM), in the amount of \$8,350,000 is acceptable as the lowest responsible bidder.

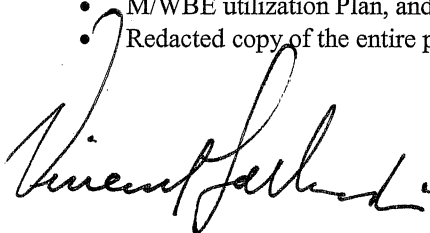
The apparent low bid of \$8,350,000 is 7% lower than the engineer's estimate. This bid is 4% lower than the average bid. The results of the bidding indicate a competitive bidding environment, with five (5) experienced contractors submitting bids.

Attached herewith, is the Design Engineer's analysis of WHM of which it indicates that although the references are not to the same magnitude of the value of this project, the references indicate a favorable and responsible contractor.

As a result, WHM Plumbing & Heating bid being approximately 7% lower than the engineer's estimate has been determined as the lowest responsible bidder. Accordingly, since adequate funds are available (Capital Project No. CSW 35123), it is requested that the Recommendation of Award be prepared for the Commissioner's signature and forwarded the County Executive for her action.

Attached, herewith are the following documents for your information and use:

- Staff Summary,
- Comptroller Approval Form,
- Exhibit A-NC Political Campaign Contribution Disclosure Form,
- Request to Initiate,
- Engineer's Bid Analysis,
- CSEA memo and CSEA response,
- Certification Regarding Debarment, Suspension, and Voluntary Exclusion,
- M/WBE utilization Plan, and
- Redacted copy of the entire package as listed above.



Vincent Falkowski  
Deputy Commissioner

VF:DWU:rp  
Attachments

c: Damon Urso, Sanitary Engineer III  
Loretta Dionisio, Hydrogeologist II  
Eric Mills, Hazen & Sawyer  
John Domenica, Jacobs



**Bid Opening:** 8 /21/2018**Engineer:** Damon Urso **Phone:** (516) 571-7534

<b>Contractor</b>	<b>Address</b>	<b>Insurance</b>	<b>Payment</b>	<b>Bid Amount</b>	<b>Alternate Bid</b>
W.H.M. Plumbing	6H Enterprise Drive East Setauket, NY 11733	Everest Reinsurance Company	10%	\$8,250,000.00	\$0.00
John P. Picone Inc.	31 Garden Lane, PO Box 913 Lawrence, NY 11559	Liberty Mutual Insurance Co.	10%	\$8,400,000.00	\$0.00
RJ Industries	75 East Bethpage Road Plainview, NY 11803-0349	Liberty Mutual Insurance Co.	10%	\$8,648,800.00	\$0.00
Posillico Civil, Inc.	1750 New Highway Farmingdale, NY 11735	Liberty Mutual Insurance Co.	10%	\$8,794,000.00	\$0.00
Silverite Construction Co., Inc	520 Old Country Road West Hicksville, NY 11801	Zurich American Insurance Co.	10%	\$9,390,000.00	\$0.00

---

The above is a review of the bids and subsequent list of all the bids that were read aloud at the public bid opening. Listed bids may be subsequently withdrawn or disqualified. The list does not reflect the Department's determination of the lowest responsible bidder.



18-0097  
17-0355

**REQUEST TO INITIATE**  
**REQUEST FOR QUALIFICATIONS/REQUEST FOR PROPOSAL/REQUEST FOR BID CONTRACT**

RTI Number

**PART I: Approval by the Deputy County Executive for Operations must be obtained prior to ANY RFQ/RFP/RFBC**

☐ RFQ    ☐ RFP    ☒ RFBC    ☐ In-House or Requirements Work Order

Project Title: Bay Park STP Effluent Screening and Disinfection Facility Improvements    **S35121-11G**

Department: Public Works    Project Manager: Damon Urso    Date: December 14, 2017

Service Requested: Construction Services

Justification: The existing Plant SPDES permit requires that the County maintain the effluent (final) screening facility which is in need of replacement and rehabilitation. The equipment is outdated, significantly worn, and only one (1) out of four (4) screens are in operation. The Design improvements to the system are nearing completion and will ensure its continued reliability for the next twenty-five (25) year life cycle, while decreasing operation and maintenance burdens. This project will install four (4) new Effluent Screens and associated appurtenance including HVAC and Electrical work.

Requested by: Public Works – Water/Wastewater Engineering Unit

Project Cost for this Phase/Contract: (Plan/Design/**CONSTRUCTION**/CM/Equipment): \$8,750,000  
Circle appropriate phase

Total Project Cost: \$14,500,000  
Includes, design, construction and CM

Date Start Work: April 2018  
Phase being requested

Duration: Twenty-four (24) months  
Phase being requested

Capital Funding Approval: YES ☐ NO ☐

SIGNATURE

DATE

Funding Allocation (Capital Project):  
See Attached Sheet if multiyear ☐

35121

NIFS Entered: dp  
SIGNATURE    DATE

AIM Entered: Deanna Funk 5-1-18  
SIGNATURE    DATE

Funding Code: 35121-011  
use this on all encumbrances

Timesheet Code: 18-0097  
use this on timesheets

State Environmental Quality Review Act (SEQRA):

Type II Action ☐ or, Environmental Assessment Form Required ☐

Supplemental Environmental Documentation

Department Head Approval: YES ☒ NO ☐

SIGNATURE

DCE/Ops Approval: YES ☒ NO ☐

SIGNATURE

**PART II: To be submitted to Chief Deputy County Executive after Qualifications/Proposals/Contracts are received from Responding vendors.**

Vendor	Quote	Comment	See Attached Sheet <input type="checkbox"/>
1. _____	_____	_____	
2. _____	_____	_____	
3. _____	_____	_____	
4. _____	_____	_____	

DCE/Ops Approval:  
Version January 2014

YES    NO

Signature \_\_\_\_\_

**COUNTY OF NASSAU  
DEPARTMENT OF PUBLIC WORKS  
Inter-Departmental Memo**

**TO:** Damon W. Urso, Sanitary Engineer III

**FROM:** Office of the Commissioner

**DATE:** February 27, 2018


**SUBJECT:** CSEA Sub-Contracting Approval  
**C17-140** –S35121-11G – Installation of four center flow effluent screens at BPSTP

Please be aware in accordance with Section 32-3 of the CSEA/County CBA, the Department has met with CSEA representatives to discuss your proposed DPW contract referenced above.

Pursuant to Section 32-3 of the CSEA/County CBA, CSEA has withdrawn its objection to the above-referenced contract known as **C17-140**.

Please prepare the necessary documentation to proceed with your work. Once the advisement is certified you may issue the contractor a Notice to Proceed.

If you have any questions, please speak with Jonathan Lesman.

  
Kenneth G. Arnold  
Commissioner

KGA:las

c: Vincent Falkowski, Deputy Commissioner  
Loretta Dionisio, Hydrogeologist II  
Jonathan Lesman, Management Analyst II



**COUNTY OF NASSAU  
DEPARTMENT OF PUBLIC WORKS  
Inter-Departmental Memo**

**TO:** Civil Service Employees Association, Nassau Local 830  
Att: Ronald Gurrieri, Executive Vice President

**FROM:** Department of Public Works

**DATE:** December 20, 2017

**SUBJECT:** CSEA Notification of a Proposed DPW Contract  
Construction Contract  
Proposed Contract No: S35121-11G

The following notification is to comply with the spirit and intent of Section 32 of the County/CSEA contract. It should not be implied that the proposed DPW authorization is for work, which has "historically and exclusively been performed by bargaining unit members."

1. DPW plans to recommend a contract/agreement for the following services:  
Construction services for the installation of four (4) center flow effluent screens at the Bay Park Sewage Treatment Plant.
2. The work involves the following:  
The Contract is to provide the necessary labor and materials associated with the construction of four (4) effluent screens and associated equipment including electrical and HVAC for the Effluent Screening and Disinfection Facility at the plant.
3. An estimate of the cost is: \$8,750,000.
4. An estimate of the duration is: Twenty-four (24) months

Should you wish to propose an alternative to the proposed contract/agreement, please respond within 10 days to: Department of Public Works, Att: Kenneth G. Arnold, Assistant to Commissioner, telephone 1-9607, fax 1-9657.



Kenneth G. Arnold  
Assistant to Commissioner

KGA:WSN:JLD:rp

c: Christopher Fusco, Director, Office of Labor Relations  
Ernst Bonaparte, Deputy County Attorney  
William S. Nimmo, Deputy Commissioner  
Joseph L. Davenport, Unit Head, Water/Wastewater Engineering Unit  
Diane Pyne, Unit Head, Human Resources Unit  
Loretta V. Dionisio, Hydrogeologist II  
Jonathan Lesman, Management Analyst II  
Damon W. Urso, Sanitary Engineer III



FORM OF BID BOND

**IMPORTANT** The bidder shall instruct the Surety Company to **USE THIS FORM PROVIDED** as the use of **ANY OTHER FORM** may cause rejection of the bid.

KNOW ALL MEN BY THESE PRESENTS,

that we, the undersigned W.H.M. Plumbing & Heating Contractors, Inc.

as Principal; and Everest Reinsurance Company as surety, who is Licensed to do business in the State of New York, are hereby firmly bound unto the County of Nassau in the penal sum of

Ten Percent of Proposal Price dollars (\$ 10% of P.P. ) for the payment of which, well and truly to be made, we hereby jointly and severally bind ourselves, our heirs, executors, administrators, successors and assigns.

Signed, this 10th day of August, 2018

The conditions of the above obligation is such that whereas the Principal has submitted to the County of Nassau a certain Bid attached hereto and hereby made a part hereof, to enter into a contract in writing for the work under Contract No. S35121-11G for the

Bay Park Sewage Treatment Plant Effluent Screening and Disinfection Facility Improvements - Contract No. S35121-11G

NOW, THEREFORE, the conditions of this obligation are such that if the Principal shall not withdraw said proposal except by mutual consent of the County of Nassau within a period of forty-five (45) days after the opening of bids and in the event of acceptance of the Principal's proposal, if the Principal shall,

- a. when notified by the County, execute all necessary counterparts of the contract as set forth in the contract documents in accordance with the proposal as accepted; and
- b. furnish bonds and other security as specified in the contract documents for the faithful performance and proper fulfillment of such contract, which bonds or other security shall be satisfactory in all respects to the County; and
- c. in all respects, comply with the provisions set forth in the invitation to bid; or if the County of Nassau shall reject the aforesaid proposal for a reason other than the Principal's failure to satisfy the County that he has the necessary skill, experience and liquid assets required for the contract as stated in the documents aforesaid, then this obligation shall be null and void; otherwise to remain in full force and effect.

Provided, however, that this bond is subject to the following additional conditions and limitations.

- a. In the event that the Principal fails to submit a financial statement when required by the County or in the event that an examination of the Principal indicates to the County that the Principal does not meet the financial requirements required by the County, the undersigned will, upon demand, pay to the County of Nassau, as liquidated damages for the Principal's failure to meet such requirements, a sum equal to the amount that would have been required by a certified check if the same were delivered in accordance with the provisions of the contract documents and specifications herein stated.
- b. In case the Principal shall default in the performance of any provision the undersigned will upon demand pay to the County of Nassau the full amount of the damages sustained by the County of Nassau by reason of such default, except however, it is expressly understood and agreed that the liability of the surety for any and all claims hereunder shall in no event exceed the amount of this obligation as herein stated.

The Surety, for value received, hereby stipulates and agrees that the obligation of said Surety and its bond shall be in no way impaired or affected by any extension of time within which the County of Nassau may accept such Bid; and said Surety does hereby waive notice of any such extension.

IN WITNESS WHEREOF, the Principal and the Surety have hereunto set their hands and seals, and such of them as are corporations have caused their corporate seals to be hereto affixed and these presents to be signed by their proper officers, the day and year first set forth above.

W.H.M. Plumbing & Heating Contractors, Inc.  
6H Enterprise Drive, East Setauket, NY 11733  
Contractor


by

  
William H. Mauff, President

(L.S.)

(Corporate seal of  
Contractor  
Title if a corporation)

by

  
Witness:

(L.S.)

Title

by

\_\_\_\_\_

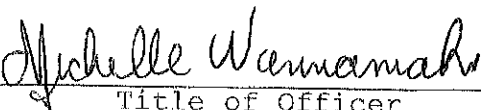
(L.S.)

Title

Everest Reinsurance Company  
P.O. Box 830, Liberty Corner, NJ 07938

Surety

by

  
Title of Officer

(L.S.)

Michelle Wannamaker, Attorney-In-Fact

Witness:

XXXXXXXXXX

  
Title of Officer

(L.S.)

(Corporate seal  
of Surety)

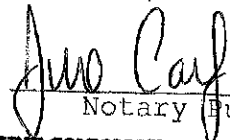
Jacqueline McNeil, Surety Account Representative

(Acknowledgment by Contractor if a corporation)

STATE OF NEW YORK )

ss.:  
COUNTY OF SUFFOLK )

On this 21st day of August, 2018, before me personally came William H. Mauff to me known, who, being by me duly sworn, did depose and say for himself, that he resides in Suffolk County, NY that he is the President of the W.H.M. Plumbing & Heating Contractors, Inc. the corporation described in, and which executed the foregoing instrument; that he knows the seal of said corporation; that the seal affixed to said instrument is such corporate seal; that it was so affixed by order of the Board of Directors of said corporation, and that he signed his name thereto by like order.

  
Notary Public

(Acknowledgment by Contractor if a partnership)

STATE OF \_\_\_\_\_ )

ss.:  
COUNTY OF \_\_\_\_\_ )

**JUNE CONNOLLY**  
Notary Public, State of New York  
Reg. No. 6205000635  
Qualified in Suffolk County  
Commission Expires August 17, 2022

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me personally came \_\_\_\_\_ to me to be a member of the firm described in and which executed the foregoing bond or obligation, and he acknowledged to me that he subscribed the name of said firm thereto on behalf of said firm for the purpose therein mentioned.

\_\_\_\_\_  
Notary Public

(Acknowledgment by Contractor if an individual.)

STATE OF \_\_\_\_\_ )

ss.:  
COUNTY OF \_\_\_\_\_ )

On this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, before me personally came \_\_\_\_\_ to me known and known to me to be the person described in and who executed the foregoing instrument, and he duly acknowledged that he executed the same.

\_\_\_\_\_  
Notary Public

(Acknowledgment by Surety Company)

STATE OF NEW YORK )

ss.:

COUNTY OF NASSAU )

On this 10th day of August, 2018, before me personally came Michelle Wannamaker to me Known, who being by me duly sworn, did depose and say that he resides in Kings County, NY

that he is the Attorney-In-Fact of the Everest Reinsurance Company, the corporation described in and which executed the within instrument; that he knows the seal of said corporation; that the seal affixed to said instrument is such corporate seal; that it was so affixed by the order of the Board of Directors of said corporation, and that he signed his name thereto by like order; and that the liabilities of said company do not exceed its assets as ascertained in the manner provided by the laws of the State of New York, and the said Danielle Heckman further said that he is acquainted with Michelle Wannamaker and knows him to be the Attorney-In-Fact of said company; that the signature of the said Michelle Wannamaker subscribed to the within instrument is in the genuine handwriting of the said Michelle Wannamaker and was subscribed thereto by like order of the Board of Directors, and in the presence of him, the said Danielle Heckman

  
Notary Public

**DANIELLE HECKMAN**  
Notary Public, State of New York  
No. 01HE6302468  
Qualified in Suffolk County  
Commission Expires 05/05/2022



**POWER OF ATTORNEY**

**ATTENTION:** Insert the "Power of Attorney" after this page in with your bid submission.

EVEREST

POWER OF ATTORNEY  
EVEREST REINSURANCE COMPANY  
DELAWARE

ES007R11259

KNOW ALL PERSONS BY THESE PRESENTS: That Everest Reinsurance Company, a corporation of the State of Delaware ("Company") having its principal office located at 477 Martinsville Road, Liberty Corner, New Jersey 07938, do hereby nominate, constitute, and appoint:

*Desiree Cardlin, Colette R. Chisholm, Camille Maitland, George O. Brewster, Gerard S. Macholz, Nelly Renchiwich, Rita Sagistano, Thomas Bean, Robert T. Pearson, Susan Lupski, Dana Granice, Michelle Wannamaker*

its true and lawful Attorney(s)-in-fact to make, execute, attest, seal and deliver for and on its behalf, as surety, and as its act and deed, where required, any and all bonds and undertakings in the nature thereof, for the penal sum of no one of which is in any event to exceed UNLIMITED, reserving for itself the full power of substitution and revocation.

Such bonds and undertakings, when duly executed by the aforesaid Attorney(s)-in-fact shall be binding upon the Company as fully and to the same extent as if such bonds and undertakings were signed by the President and Secretary of the Company and sealed with its corporate seal.

This Power of Attorney is granted and is signed by facsimile under and by the authority of the following Resolutions adopted by the Board of Directors of Company ("Board") on the 28th day of July 2016:

**RESOLVED**, that the President, any Executive Vice President, and any Senior Vice President and Anthony Romano are hereby appointed by the Board as authorized to make, execute, seal and deliver for and on behalf of the Company, any and all bonds, undertakings, contracts or obligations in surety or co-surety with others and that the Secretary or any Assistant Secretary of the Company be and that each of them hereby is authorized to attest to the execution of any such bonds, undertakings, contracts or obligations in surety or co-surety and attach thereto the corporate seal of the Company.

**RESOLVED, FURTHER**, that the President, any Executive Vice President, and any Senior Vice President and Anthony Romano are hereby authorized to execute powers of attorney qualifying the attorney named in the given power of attorney to execute, on behalf of the Company, bonds and undertakings in surety or co-surety with others, and that the Secretary or any Assistant Secretary of the Company be, and that each of them is hereby authorized to attest the execution of any such power of attorney, and to attach thereto the corporate seal of the Company.

**RESOLVED, FURTHER**, that the signature of such officers named in the preceding resolutions and the corporate seal of the Company may be affixed to such powers of attorney or to any certificate relating thereto by facsimile, and any such power of attorney or certificate bearing such facsimile signatures or facsimile seal shall be thereafter valid and binding upon the Company with respect to any bond, undertaking, contract or obligation in surety or co-surety with others to which it is attached.

IN WITNESS WHEREOF, Everest Reinsurance Company has caused their corporate seals to be affixed hereto, and these presents to be signed by their duly authorized officers this 28th day of July 2016.



*Nicole Chase*  
Attest: Nicole Chase, Assistant Secretary

Everest Reinsurance Company

*Anthony Romano*  
By: Anthony Romano, Vice President

On this 28th day of July 2016, before me personally came Anthony Romano, known to me, who, being duly sworn, did execute the above instrument; that he knows the seal of said Company; that the seal affixed to the aforesaid instrument is such corporate seal and was affixed thereto, and that he executed said instrument by like order.

LINDA BOISSELLE  
Notary Public, State of New York  
No 01B06239736  
Qualified in Queens County  
Term Expires April 25, 2019

*Linda Boisselle*

Linda Boisselle, Notary Public

IN WITNESS WHEREOF, I have hereunto set my hand and affixed the seal of said Company, at the Liberty Corner, this 28 day of AUG 10 2018



### **FINANCIAL STATEMENT**

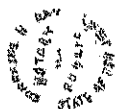
**ATTENTION:** Insert the "Financial Statement" after this page in with your bid submission.

**EVEREST REINSURANCE COMPANY  
STATEMENTS OF FINANCIAL CONDITION**

	December 31,	
	2017	2016
<b>ASSETS</b>		
Bonds	\$ 3,672,234,234	\$ 4,758,879,245
Stocks	451,346,228	279,147,599
Short-term investments	-	133,755,171
Other invested assets	2,238,399,502	2,268,609,528
Cash and cash equivalents	243,245,188	217,717,016
Accounts receivable-premium balances	1,583,153,684	1,503,187,815
Reinsurance recoverable	612,084,447	709,386,205
Other assets	685,600,063	354,146,316
<b>Total Assets</b>	<u>\$ 9,486,063,346</u>	<u>\$ 10,224,828,895</u>
<b>LIABILITIES</b>		
Loss and loss adjustment expense reserve	\$ 3,661,132,517	\$ 4,204,956,587
Unearned premium reserve	1,310,324,727	536,374,512
Ceded reinsurance premium payable (net of ceding commission)	494,144,179	904,844,063
Reserve for commissions, taxes and other liabilities	628,609,659	943,532,424
<b>Total Liabilities</b>	<u>\$ 6,094,211,082</u>	<u>\$ 6,589,707,586</u>
<b>SURPLUS AND OTHER FUNDS</b>		
Common capital stock	\$ 10,000,000	\$ 10,000,000
Contributed Surplus	987,509,603	987,239,852
Unassigned surplus	2,394,342,661	2,637,881,457
<b>Total capital and surplus</b>	<u>\$ 3,391,852,264</u>	<u>\$ 3,635,121,309</u>
<b>Total Liabilities and Surplus</b>	<u>\$ 9,486,063,346</u>	<u>\$ 10,224,828,895</u>

Bonds and stocks are valued on a basis promulgated by the National Association of Insurance Commissioners

*Margaret Horn*  
 Signed before me by Margaret Horn this 17<sup>th</sup> day of April 2018  
*Lorraine N Day*



**LORRAINE N. DAY**  
 NOTARY PUBLIC  
 STATE OF NEW JERSEY  
 COMMISSION # 2259023  
 MY COMMISSION EXPIRES AUG. 3, 2020

**CERTIFICATE OF SOLVENCY**

**ATTENTION:** Insert the "Certificate of Solvency" after this page in with your bid submission.

**STATE OF NEW YORK  
DEPARTMENT OF FINANCIAL SERVICES**

**CERTIFICATE OF SOLVENCY UNDER SECTION 1111 OF THE NEW YORK  
INSURANCE LAW**

It is hereby certified that

Everest Reinsurance Company  
of Wilmington, Delaware

a corporation organized under the laws of the State of Delaware, and duly authorized to transact the business of insurance in this State, is qualified to become surety or guarantor on all bonds, undertakings, recognizances, guaranties and other obligations required or permitted by law; and that the said corporation is possessed of a capital and surplus including gross paid-in and contributed surplus and unassigned funds (surplus) aggregating the sum of \$3,388,250,123. (Capital \$10,000,000.) as is shown by its sworn financial statement for the quarter ended March 31, 2018, on file in this Department, prior to audit.

The said corporation cannot lawfully expose itself to loss on any one risk or hazard to an amount exceeding 10% of its surplus to policyholders, unless it shall be protected in excess of that amount in the manner provided in Section 4118 of the Insurance Law of this State.



In Witness Whereof, I have here-  
unto set my hand and affixed the  
official seal of this Department  
at the City of Albany, this 8th  
day of August, 2018.

Maria T. Vullo  
Superintendent

By *Kathleen Granderath*

Kathleen Granderath  
Special Deputy Superintendent

PROPOSAL

COUNTY OF NASSAU  
STATE OF NEW YORK

PROPOSAL

FOR

BAY PARK STP  
EFFLUENT SCREENING AND DISINFECTION FACILITY IMPROVEMENTS

Contract No. S35121-11G

GENERAL CONSTRUCTION

TO THE COUNTY OF NASSAU:

Pursuant to and in compliance with your Notice to Bidders and the Instructions to Bidders relating thereto, the undersigned hereby proposes to furnish all plant, labor, materials, supplies, equipment and other facilities necessary or proper for or incidental to the above Contract, as required by and in strict accordance with the Plans and Specifications for the amount named in the Proposal hereinafter described.

In making this Proposal the Bidder hereby declares that all provisions of the Addenda which have been issued by the County of Nassau have been complied with in preparing his Bids.

Name of Bidder: W.H.M. Plumbing & Heating Contractors, Inc.

Bidder: W.H.M. Plumbing & Heating Contractors, Inc.  
(Individual, Firm or Corporation, as case may be)

Bidder's Business Address: 44 Enterprise Drive, East Setauket, NY 11733

Telephone: 631-473-3568

Date of Bid: 8/21/2018

Fax: 631-473-3762

E-Mail: WHMPlumbing@optonline.net

## PROPOSAL

---

++ NO TEXT ON THIS PAGE ++



## PROPOSAL

(If Bidder is an Individual, fill in the following blanks:)

Name of Individual: \_\_\_\_\_

Residence of Individual: \_\_\_\_\_

(If Bidder is a Firm, fill in the following blanks:)

Name and Residence of Partner: \_\_\_\_\_

Name and Residence of Partner: \_\_\_\_\_

Name and Residence of Partner: \_\_\_\_\_

(If Bidder is a Corporation, fill in the following blanks:)

Organized under the laws of the State of: New York

Name and Residence of President: William H. Mauft

~~XXXXXXXXXXXXXXXXXXXXXXXXXXXX~~

Name and Residence of Vice-President: None

Name and Residence of Secretary: William H. Mauff

39 Fairway Drive, Port Jefferson NY 11777

Name and Residence of Treasurer: N/A

## PROPOSAL

---

++ NO TEXT ON THIS PAGE ++

## PROPOSAL

### THE BIDDER AFFIRMS AND DECLARES:

1. That the above Bidder is of lawful age and the only one interested in this bid; and that no other person, firm or corporation, except those herein named, has any interest in this bid or in the Contract proposed to be entered into.
2. That this bid is made without any understanding, agreement or in connection with any other person, firm or corporation, making a bid for the same Work, and is in all respects fair and without collusion or fraud.
3. That said Bidder is not in arrears to the County of Nassau upon debt or contract, and is not a defaulter, as surety contractor or otherwise.
4. That no officer or employee of the County of Nassau, or person whose salary is payable in whole or in part from the County Treasury is, shall be, or become interested directly, or indirectly as a contracting party, partner, stockholder, surety or otherwise, in this bid, or in the performance of the Contract, or in the supplies, materials, equipment and work or labor to which it relates, or in any portion of the profits thereof.
5. That he has carefully examined the Site of the Work and that, from his own personal investigations and research, has satisfied himself as to the nature and location of the work, the character, quality and quantity of existing materials, all difficulties likely to be encountered, the kind and extent of labor, equipment, other facilities needed for the performance of the Work, the general and local conditions, and all other items which may, in any way, affect the Work or its performance.
6. The Bidder also declares that he has carefully examined and fully understands all the component parts of this Contract, that the Work can be performed as called for by the Contract, that he will execute the Contract and will completely perform it in strict accordance with its terms for the following prices.
7. That the Bidder, for allowance items, will make payment to the parties designated by the County when directed by the County in the amount certified by the Engineer for the purposes indicated. It is also understood and agreed that the Final Contract Payment for allowance items will be based upon such actual payments, and not on the approximate amount cited herein.
8. Where the work performed under this Contract involves a trade or occupation licensed in the County of Nassau by the Towns of Hempstead, Oyster Bay or North Hempstead or by the Cities of Glen Cove or Long Beach, the contractor shall be required to have such a license.

## PROPOSAL

---

++ NO TEXT ON THIS PAGE ++

## PROPOSAL

---

### I. Rejection of Bids.

#### A. The Commissioner may recommend a reject of bid if:

1. The Bidder fails to furnish any of the information required by the bid documents; or if
2. The bidder misstates or conceals any material fact in the bid, or in the sworn written statement; or if
3. The bid does not strictly conform to law or the requirements of this contract; or if
4. The bid is conditional; or if
5. The bid on Unit Price Contracts, in the opinion of the Commissioner, contains unbalanced bid prices, where the unit price proposed for any item exceeds the estimated cost by more than fifteen percent (15%), or if any lump sum item bid exceeds the estimated cost by more than twenty-five percent (25%); or if
6. A determination that the bidder is not responsible is made in accordance with law.

#### B. Rejection of all bids and waiver of informalities.

The Commissioner, however, reserves the right to recommend / to reject all bids whenever he deems it in the best interest of the County, and also the right to waive any informalities in a bid.

### II. Unit Price Contracts, Comparison of Bids.

Bids on Unit Price Contracts will be compared on the basis of a total bid price, arrived at by taking the sum of the Approximate Quantities of such item multiplied by the corresponding Unit Price, and including any Lump Sum Bid on individual items, in accordance with the items set forth in the bid proposal.

Bidders are warned that the Approximate Quantities of the various items of work and material is estimated only, and is given solely to be used as a uniform basis for the comparison of bids. The quantities actually required to complete the contract work may be more or less than estimated.

### III. Lump Sum Contracts, Comparison of Bids.

Bids on lump Sum Contracts will be compared on the basis of the Lump Sum Price bid adjusted for alternate prices bid, if any.

### IV. Apprenticeship Training Program

For all contracts in excess of \$500,000 attach here verification letter regarding your firm's having an approved State of New York Apprenticeship Training Program.

## PROPOSAL

---

++ NO TEXT ON THIS PAGE ++

PROPOSAL

TO BE COMPLETED BY CONTRACTOR SUBMITTING  
A BID ON GENERAL CONSTRUCTION  
CONTRACT NO. S35121-11G

ITEM NO.	APPOXIMATE QUANTITIES	ITEMS WITH UNIT PRICE WRITTEN IN WORDS	UNIT BID PRICE		AMOUNT BID PRICE	
			DOLLARS	CENTS	DOLLARS	CENTS
1	Lump Sum	Base Bid for Base Bid for furnishing all Labor, Materials and Equipment required for all Construction work ready for operation. <i>Seven million nine hundred thousand</i> DOLLARS CENTS	N/A	N/A	7,900,000	00
2	Allowance	For furnishing all labor, materials, equipment and incidentals for additional miscellaneous work. (Section 01020). One Hundred Thousand No DOLLARS CENTS	N/A	N/A	\$100,000	00
3	Allowance	For furnishing all labor, materials, equipment and incidentals for Unforeseen Existing Hazardous/Contaminated Materials Testing, Remediation and Disposal. (Section 01020). Fifty Thousand No DOLLARS CENTS	N/A	N/A	\$50,000	00
4	Allowance	For Bridge Crane Inspection (Section 01020) Fifty Thousand No DOLLARS CENTS	N/A	N/A	\$50,000	00

++ NO TEXT ON THIS PAGE ++



PROPOSAL

TO BE COMPLETED BY CONTRACTOR SUBMITTING  
A BID ON GENERAL CONSTRUCTION  
CONTRACT NO. S35121-11G

ITEM NO.	APPOXIMATE QUANTITIES	ITEMS WITH UNIT PRICE WRITTEN IN WORDS	UNIT BID PRICE		AMOUNT BID PRICE	
			DOLLARS	CENTS	DOLLARS	CENTS
5	Allowance	For Building Cleaning (Section 01020)	N/A	N/A	\$50,000	00
		Fifty Thousand                      No DOLLARS                                      CENTS				
6	Allowance	For Drain Valve Inspection/Repair (Section 01020)	N/A	N/A	\$200,000	00
		Two Hundred Thousand                      No DOLLARS                                      CENTS				

++ NO TEXT ON THIS PAGE +

PROPOSAL

TO BE COMPLETED BY CONTRACTOR SUBMITTING  
A BID ON GENERAL CONSTRUCTION  
CONTRACT NO. S35121-11G

		<p>TOTAL BASE BID (Bid Item Nos. 1 thru 6)</p> <p>\$ <u>8,250,000<sup>00</sup></u></p> <p>TOTAL BASE BID (Bid Item Nos. 1 thru 6): MUST BE WRITTEN IN WORDS:</p> <p><u>eight million, two hundred fifty thousand</u> <u>dollars</u></p> <p>DOLLARS CENTS</p>
--	--	--

++ NO TEXT ON THIS PAGE ++

## PROPOSAL

ALLOWANCES: It is expressly understood and agreed that the total Bid presented in this Proposal is the basis for establishing the amount of the Bid Security and includes the following allowances:

1. Item No. 2: An allowance of \$100,000 for furnishing all labor, materials, equipment and incidentals for additional miscellaneous work.
2. Item No. 3: An allowance of \$50,000 for furnishing all labor, materials, equipment and incidentals for Unforeseen Existing Hazardous/Contaminated Materials Testing, Remediation and Disposal.
3. Item No. 4: An allowance of \$50,000 for Bridge Crane Inspection.
4. Item No. 5: An allowance of \$50,000 for Building Cleaning.
5. Item No. 6: An allowance of \$200,000 for Drain Valve Inspection/Repair.

All in accordance with the requirements of Division 1, Special Conditions; Section 01010, Summary of Work; Section 01020, Allowances; and Section 01500 - Temporary Facilities and Controls.

Final Contract Payment for allowance items shall be based upon actual payments, and not on the approximate amounts cited herein.

DETERMINATION OF LOW BID: Determination of low Bid will be made by comparing the total Bid which shall include the lump sum Base Bid price, unit price totals and allowances.

## PROPOSAL

---

++ NO TEXT ON THIS PAGE ++

## PROPOSAL

MAJOR EQUIPMENT ITEMS: The Bidder shall fill the name and address of the proposed system suppliers for the major equipment items tabulated hereinafter. It is expressly understood that the furnishing of this information will not relieve the Bidder of any requirements of the Contract Documents and failure to fill out properly is grounds for rejection.

<u>Specification Number</u>	<u>Description</u>	<u>Manufacturer and/or Supplier</u>
11100	Effluent Screens	Hydros Dyne or Westech or Ovevo or Kusters
11200	Butterfly Valves	Pratt or Waterman or Shan-Red
15830	Fans	Aerovent or Air zone

NO TEXT ON THIS PAGE



PROPOSAL

**IRAN DIVESTMENT ACT – CERTIFICATION**

Pursuant to New York State Finance Law §165-a, Iran Divestment Act of 2012, the Office of General Services is required to post on its web site <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf> a list of persons who have been determined to engage in investment activities in Iran ("the List"), as defined in that Act. Under Public Authorities Law § 2879-c, Iranian Energy Sector Divestment, the Authority, may not enter into or award a Contract unless it obtains a certification from a Bidder, who shall check the box and make the certification in Subparagraph a, below, that they are not on the List. If that certification cannot be made, the Authority may consider entering into a Contract, on a case by case basis if the Bidder checks the box and makes the certification in Subparagraph b, below, that their Iran investment is ceasing.

For purposes of this provision, a person engages in investment activities in Iran if: (A) the person provides goods or services of twenty million dollars or more in the energy sector of Iran, including a person that provides oil or liquefied natural gas tankers, or products used to construct or maintain pipelines used to transport oil or liquefied natural gas, for the energy sector of Iran; or (B) the person is a financial institution that extends twenty million dollars or more in credit to another person, for forty-five days or more, if that person will use the credit to provide goods or services in the energy sector in Iran.

The Certification is as follows:

☒ **a. Certification that the Bidder is not on the List:** Each person, where person means natural person, corporation, company, limited liability company, business association, partnership society, trust, or any other nongovernmental entity, organization, or group, and each person signing on behalf of any other party, certifies, and in the case of a joint bid or proposal or partnership each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief that each person is not on the list created pursuant to paragraph (b) of subdivision 3 of section 165-a of the State Finance Law, or,

☐ **b. Certification that the Bidder's investment in Iran is ceasing:** The person cannot make the certification in Subparagraph a, above, but asks the Authority to consider them for award of the Contract by certifying, under penalty of perjury, that the person's investment activities in Iran were made before April 12, 2012; the person's investment activities in Iran have not been expanded or renewed after April 12, 2012; and the person has adopted, publicized and is implementing a formal plan to cease its investment activities in Iran and to refrain from engaging in any new investments in Iran.

Signature/Date

Print Name and Position

## PROPOSAL

---

NO TEXT ON THIS PAGE

## MacBride Fair Employment Principles

### NONDISCRIMINATION IN EMPLOYMENT IN NORTHERN IRELAND:

#### MACBRIDE FAIR EMPLOYMENT PRINCIPLES

In accordance with Chapter 807 of the Laws of 1992 the bidder, by submission of this bid, certifies that it or any individual or legal entity in which the bidder holds a 10% or greater ownership interest, or any individual or legal entity that holds a 10% or greater ownership interest in the bidder, either: (answer yes or no to one or both of the following, as applicable),


(1) have business operations in Northern Ireland,


Yes \_\_\_ No ☒

if yes:

(2) shall take lawful steps in good faith to conduct any business operations they have in Northern Ireland in accordance with the MacBride Fair Employment Principles relating to nondiscrimination in employment and freedom of workplace opportunity regarding such operations in Northern Ireland, and shall permit independent monitoring of their compliance with such Principles.

Yes \_\_\_ No \_\_\_

  
(Contractor's Signature)

 Heating Contractors, Inc.  
(Name of Business)

NO TEXT ON THIS PAGE

PROPOSAL

GENERAL CONTRACT

PROPOSAL: For all work in accordance with the drawings and specifications:

Bidder: W.H.M. Plumbing & Heating Contractors, Inc.  
(Individual, Firm or Corporation, as case may be)

Individual's Social Security No.: \_\_\_\_\_

Federal ID No: 11-2731372

Municipal License ID Number: \_\_\_\_\_

Municipal Licensing Agency: \_\_\_\_\_

By: [Signature] Date: 8/21/2018  
(Signature of Individual, Partner or Corporate Officer)

(Print): William H. Mauff Title: President

WHERE BIDDER IS A CORPORATION, ADD

ATTEST:

[Signature]  
Secretary

(CORPORATE)  
(SEAL)

# PROPOSAL

---

++ NO TEXT ON THIS PAGE ++



PROPOSAL

GENERAL CONTRACT

Note: The Bids shall be sworn to by the person signing them, in one of the following forms:

(Form of Affidavit where Bidder is an Individual)

STATE OF NEW YORK)

) ss.:

COUNTY OF NASSAU)

Being duly sworn,  
deposes and says: That he is the person described in and who executed the foregoing Bid  
and that the several matters therein stated are in all respects true.

Subscribed and sworn to before me

This \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_.

\_\_\_\_\_  
Notary Public

(Form of Affidavit where Bidder is a Firm)

STATE OF NEW YORK)

) ss.:

COUNTY OF NASSAU)

Being duly sworn,  
deposes and says: That he is a member of \_\_\_\_\_, the  
firm described in and which executed the foregoing Bid; that he duly subscribed the name of  
the firm thereunto on behalf of the firm; and that the several matters therein stated are in all  
respects true.

Subscribed and sworn to before me

This \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_.

\_\_\_\_\_  
Notary Public

## PROPOSAL

---

++ NO TEXT ON THIS PAGE ++



PROPOSAL

GENERAL CONTRACT

(Form of Affidavit where Bidder is a Corporation)

STATE OF NEW YORK)

) ss.:

COUNTY OF NASSAU)

William H. Mauff Being duly sworn,  
deposes and says: That he resides at ~~XXXXXXXXXXXXXXXXXXXX~~ that  
he is the President of the corporation described  
in and which executed the foregoing instrument; that he knows the seal of said corporation;  
that the seal affixed to the said instrument is such corporate seal and was affixed by order of  
the Board of Directors of said corporation; that he affixed his name thereto by like order; and  
that he has knowledge of the several matters therein stated and they are in all respects true.  
Subscribed and sworn to before me

This 21st day of August 2018.

JUNE CONNOLLY  
Notary Public  
JUNE CONNOLLY  
Notary Public, State of New York  
Reg. No. 02CO5000635  
Qualified in Suffolk County  
Commission Expires August 17, 2022

## PROPOSAL

---

++ NO TEXT ON THIS PAGE ++

PROPOSAL

CONTRACTOR CERTIFICATION STATEMENT REGARDING  
STORM WATER POLLUTION AT THE WORK SITE

I certify under penalty of the law that I understand and agree to comply with the terms and conditions of the pollution prevention plan for the construction site identified in such plans as a condition of authorization to discharge storm water. I also understand the operator (Nassau County) must comply with the terms and conditions of the New York State Pollution Discharge Elimination System ("SPDES") general permit for storm water discharges from construction activities and that it is unlawful for any person to cause or contribute to a violation of water quality standards. Finally, I understand my contractual obligations in the matter as outlined in the contract documents.

CONTRACTOR'S NAME: W.H.M. Plumbing & Heating Contractors, Inc.

TELEPHONE NUMBER: 431-473-3568

WORK SITE OR FACILITY NAME: W.H.M. Plumbing & Heating Contractors, Inc.

WORK SITE OR FACILITY ADDRESS OR  
OTHER IDENTIFYING DESCRIPTION: Bay Park STP

Enterprise Drive

East Setauket, NY 11733

Signature

William M. Mott P.E.

Print Name and Title of Signer

8/21/18  
8/21/18  
Date

NO TEXT ON THIS PAGE

3/10/73  
11/11/73  
11/11/73

## COUNTY OF NASSAU

## CONSULTANT'S, CONTRACTOR'S AND VENDOR'S DISCLOSURE FORM

1. Name of the Entity: W.H.M. Plumbing & Heating Contractors, Inc.

Address: 141 Enterprise Drive

City, State and Zip Code: East Setauket, NY 11733

2. Entity's Vendor Identification Number: 11-2731372

3. Type of Business: Public Corp Partnership Joint Venture

\_\_\_ Ltd. Liability Co X Closely Held Corp \_\_\_\_\_ Other (specify) \_\_\_\_\_

4. List names and addresses of all principals; that is, all individuals serving on the Board of Directors or comparable body, all partners and limited partners, all corporate officers, all parties of Joint Ventures, and all members and officers of limited liability companies (attach additional sheets if necessary):

William H. Mauflf, President

5. List names and addresses of all shareholders, members, or partners of the firm. If the shareholder is not an individual, list the individual shareholders/partners/members. If a Publicly held Corporation, include a copy of the 10K in lieu of completing this section.

~~None~~ Not Applicable see Question 4 above

6. List all affiliated and related companies and their relationship to the firm entered on line 1. above (if none, enter "None"). Attach a separate disclosure form for each affiliated or subsidiary company that may take part in the performance of this contract. Such disclosure shall be updated to include affiliated or subsidiary companies not previously disclosed that participate in the performance of the contract.

None

7. List all lobbyists whose services were utilized at any stage in this matter (i.e., pre-bid, bid, post-bid, etc.). If none, enter "None." The term "lobbyist" means any and every person or organization retained, employed or designated by any client to influence - or promote a matter before - Nassau County, its agencies, boards, commissions, department heads, legislators or committees, including but not limited to the Open Space and Parks Advisory Committee and Planning Commission. Such matters include, but are not limited to, requests for proposals, development or improvement of real property subject to County regulation, procurements. The term "lobbyist" does not include any officer, director, trustee, employee, counsel or agent of the County of Nassau, or State of New York, when discharging his or her official duties.

(a) Name, title, business address and telephone number of lobbyist(s):

None

(b) Describe lobbying activity of each lobbyist. See below for a complete description of lobbying activities.

None

(c) List whether and where the person/organization is registered as a lobbyist (e.g., Nassau County, New York State):

None

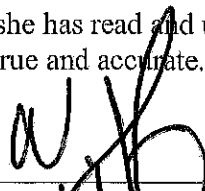
8. VERIFICATION: This section must be signed by a principal of the consultant, contractor or Vendor authorized as a signatory of the firm for the purpose of executing Contracts.

The undersigned affirms and so swears that he/she has read and understood the foregoing statements and they are, to his/her knowledge, true and accurate.

Dated:

8/27/18

Signed:



Print Name:

William Mott

Title:

President

**The term lobbying shall mean any attempt to influence:** any determination made by the Nassau County Legislature, or any member thereof, with respect to the introduction, passage, defeat, or substance of any local legislation or resolution; any determination by the County Executive to support, oppose, approve or disapprove any local legislation or resolution, whether or not such legislation has been introduced in the County Legislature; any determination by an elected County official or an officer or employee of the County with respect to the procurement of goods, services or construction, including the preparation of contract specifications, including by not limited to the preparation of requests for proposals, or solicitation, award or administration of a contract or with respect to the solicitation, award or administration of a grant, loan, or agreement involving the disbursement of public monies; any determination made by the County Executive, County Legislature, or by the County of Nassau, its agencies, boards, commissions, department heads or committees, including but not limited to the Open Space and Parks Advisory Committee, the Planning Commission, with respect to the zoning, use, development or improvement of real property subject to County regulation, or any agencies, boards, commissions, department heads or committees with respect to requests for proposals, bidding, procurement or contracting for services for the County; any determination made by an elected county official or an officer or employee of the county with respect to the terms of the acquisition or disposition by the county of any interest in real property, with respect to a license or permit for the use of real property of or by the county, or with respect to a franchise, concession or revocable consent; the proposal, adoption, amendment or rejection by an agency of any rule having the force and effect of law; the decision to hold, timing or outcome of any rate making proceeding before an agency; the agenda or any determination of a board or commission; any determination regarding the calendaring or scope of any legislature oversight hearing; the issuance, repeal, modification or substance of a County Executive Order; or any determination made by an elected county official or an officer or employee of the county to support or oppose any state or federal legislation, rule or regulation, including any determination made to support or oppose that is contingent on any amendment of such legislation, rule or regulation, whether or not such legislation has been formally introduced and whether or not such rule or regulation has been formally proposed.





COUNTY OF NASSAU

LOBBYIST REGISTRATION AND DISCLOSURE FORM

1. Name, address and telephone number of lobbyist(s)/lobbying organization. The term "lobbyist" means any and every person or organization retained, employed or designated by any client to influence - or promote a matter before - Nassau County, its agencies, boards, commissions, department heads, legislators or committees, including but not limited to the Open Space and Parks Advisory Committee and Planning Commission. Such matters include, but are not limited to, requests for proposals, development or improvement of real property subject to County regulation, procurements. The term "lobbyist" does not include any officer, director, trustee, employee, counsel or agent of the County of Nassau, or State of New York, when discharging his or her official duties.

None

2. List whether and where the person/organization is registered as a lobbyist (e.g., Nassau County, New York State):

None

3. Name, address and telephone number of client(s) by whom, or on whose behalf, the lobbyist is retained, employed or designated:

None

---

---

---

---

---

---

---

---

4. Describe lobbying activity conducted, or to be conducted, in Nassau County, and identify client(s) for each activity listed. See page 4 for a complete description of lobbying activities.

NONE

5. The name of persons, organizations or governmental entities before whom the lobbyist expects to lobby:

NONE

---

---

---

---

---

6. If such lobbyist is retained or employed pursuant to a written agreement of retainer or employment, you must attach a copy of such document; and if agreement of retainer or employment is oral, attach a written statement of the substance thereof. If the written agreement of retainer or employment does not contain a signed authorization from the client by whom you have been authorized to lobby, separately attach such a written authorization from the client.

7. Has the lobbyist/lobbying organization or any of its corporate officers provided campaign contributions pursuant to the New York State Election Law in (a) the period beginning April 1, 2016 and ending on the date of this disclosure, or (b), beginning April 1, 2018, the period beginning two years prior to the date of this disclosure and ending on the date of this disclosure, to the campaign committees of any of the following Nassau County elected officials or to the campaign committees of any candidates for any of the following Nassau County elected offices: the County Executive, the County Clerk, the Comptroller, the District Attorney, or any County Legislator? If yes, to what campaign committee?

NO

I understand that copies of this form will be sent to the Nassau County Department of Information Technology ("IT") to be posted on the County's website.

I also understand that upon termination of retainer, employment or designation I must give written notice to the County Attorney within thirty (30) days of termination.

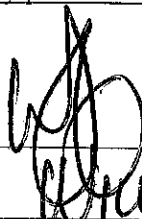
VERIFICATION: The undersigned affirms and so swears that he/she has read and understood the foregoing statements and they are, to his/her knowledge, true and accurate.

The undersigned further certifies and affirms that the contribution(s) to the campaign committees listed above were made freely and without duress, threat or any promise of a governmental benefit or in exchange for any benefit or remuneration.

Dated:

8/27/18

Signed:

  
Alan Mark  
President

Print Name:

Title:

**The term lobbying shall mean any attempt to influence:** any determination made by the Nassau County Legislature, or any member thereof, with respect to the introduction, passage, defeat, or substance of any local legislation or resolution; any determination by the County Executive to support, oppose, approve or disapprove any local legislation or resolution, whether or not such legislation has been introduced in the County Legislature; any determination by an elected County official or an officer or employee of the County with respect to the procurement of goods, services or construction, including the preparation of contract specifications, including by not limited to the preparation of requests for proposals, or solicitation, award or administration of a contract or with respect to the solicitation, award or administration of a grant, loan, or agreement involving the disbursement of public monies; any determination made by the County Executive, County Legislature, or by the County of Nassau, its agencies, boards, commissions, department heads or committees, including but not limited to the Open Space and Parks Advisory Committee, the Planning Commission, with respect to the zoning, use, development or improvement of real property subject to County regulation, or any agencies, boards, commissions, department heads or committees with respect to requests for proposals, bidding, procurement or contracting for services for the County; any determination made by an elected county official or an officer or employee of the county with respect to the terms of the acquisition or disposition by the county of any interest in real property, with respect to a license or permit for the use of real property of or by the county, or with respect to a franchise, concession or revocable consent; the proposal, adoption, amendment or rejection by an agency of any rule having the force and effect of law; the decision to hold, timing or outcome of any rate making proceeding before an agency; the agenda or any determination of a board or commission; any determination regarding the calendaring or scope of any legislature oversight hearing; the issuance, repeal, modification or substance of a County Executive Order; or any determination made by an elected county official or an officer or employee of the county to support or oppose any state or federal legislation, rule or regulation, including any determination made to support or oppose that is contingent on any amendment of such legislation, rule or regulation, whether or not such legislation has been formally introduced and whether or not such rule or regulation has been formally proposed.

**The term "lobbying" or "lobbying activities" does not include:** Persons engaged in drafting legislation, rules, regulations or rates; persons advising clients and rendering opinions on proposed legislation, rules, regulations or rates, where such professional services are not otherwise connected with legislative or executive action on such legislation or administrative action on such rules, regulations or rates; newspapers and other periodicals and radio and television stations and owners and employees thereof, provided that their activities in connection with proposed legislation, rules, regulations or rates are limited to the publication or broadcast of news items, editorials or other comment, or paid advertisements; persons who participate as witnesses, attorneys or other representatives in public rule-making or rate-making proceedings of a County agency, with respect to all participation by such persons which is part of the public record thereof and all preparation by such persons for such participation; persons who attempt to influence a County agency in an adjudicatory proceeding, as defined by § 102 of the New York State Administrative Procedure Act.

### Business History Form

The contract shall be awarded to the responsible proposer who, at the discretion of the County, taking into consideration the reliability of the proposer and the capacity of the proposer to perform the services required by the County, offers the best value to the County and who will best promote the public interest.

In addition to the submission of proposals, each proposer shall complete and submit this questionnaire. The questionnaire shall be filled out by the owner of a sole proprietorship or by an authorized representative of the firm, corporation or partnership submitting the Proposal.

**NOTE: All questions require a response, even if response is "none" or "not-applicable." No blanks.**

(USE ADDITIONAL SHEETS IF NECESSARY TO FULLY ANSWER THE FOLLOWING QUESTIONS).

Date: 8/21/2018

1) Proposer's Legal Name: W.H.M. Plumbing & Heating Contractors, Inc.

2) Address of Place of Business: 141 Enterprise Drive, East Setauket, NY 11733

List all other business addresses used within last five years:

N/A

3) Mailing Address (if different): Same as Above

Phone: 631-473-3508

Does the business own or rent its facilities? OWN

4) Dun and Bradstreet number: 18-320-9576

5) Federal I.D. Number: 11-2731372

6) The proposer is a (check one): ☐ Sole Proprietorship ☐ Partnership ☒ Corporation ☒ Other (Describe) \_\_\_\_\_

7) Does this business share office space, staff, or equipment expenses with any other business?

Yes ☒ No ☐ If Yes, please provide details: Shares office space with the Law Office of June Connolly, P.C. (General Counsel for W.H.M.)

8) Does this business control one or more other businesses? Yes ☐ No ☒ If Yes, please provide details: \_\_\_\_\_

9) Does this business have one or more affiliates, and/or is it a subsidiary of, or controlled by, any other business? Yes \_\_\_ No X If Yes, provide details. \_\_\_\_\_

10) Has the proposer ever had a bond or surety cancelled or forfeited, or a contract with Nassau County or any other government entity terminated? Yes \_\_\_ No X If Yes, state the name of bonding agency, (if a bond), date, amount of bond and reason for such cancellation or forfeiture: or details regarding the termination (if a contract). \_\_\_\_\_

11) Has the proposer, during the past seven years, been declared bankrupt? Yes \_\_\_ No X If Yes, state date, court jurisdiction, amount of liabilities and amount of assets \_\_\_\_\_

12) In the past five years, has this business and/or any of its owners and/or officers and/or any affiliated business, been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency? And/or, in the past 5 years, have any owner and/or officer of any affiliated business been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency, where such investigation was related to activities performed at, for, or on behalf of an affiliated business.  
Yes \_\_\_ No X If Yes, provide details for each such investigation. \_\_\_\_\_

13) In the past 5 years, has this business and/or any of its owners and/or officers and/or any affiliated business been the subject of an investigation by any government agency, including but not limited to federal, state and local regulatory agencies? And/or, in the past 5 years, has any owner and/or officer of an affiliated business been the subject of an investigation by any government agency, including but not limited to federal, state and local regulatory agencies, for matters pertaining to that individual's position at or relationship to an affiliated business. Yes \_\_\_ No X If Yes, provide details for each such investigation. \_\_\_\_\_

14) Has any current or former director, owner or officer or managerial employee of this business had, either before or during such person's employment, or since such employment if the charges pertained to events that allegedly occurred during the time of employment by the submitting business, and allegedly related to the conduct of that business:

a) Any felony charge pending? Yes \_\_\_ No X If Yes, provide details for each such charge. \_\_\_\_\_

b) Any misdemeanor charge pending? Yes \_\_\_ No X If Yes, provide details for each such charge. \_\_\_\_\_

c) In the past 10 years, you been convicted, after trial or by plea, of any felony and/or any other crime, an element of which relates to truthfulness or the underlying facts of which related to the conduct of business? Yes \_\_\_ No X

If Yes, provide details for each such conviction N/A

d) In the past 5 years, been convicted, after trial or by plea, of a misdemeanor? Yes \_\_\_ No ☒ If Yes, provide details for each such conviction. \_\_\_\_\_

e) In the past 5 years, been found in violation of any administrative, statutory, or regulatory provisions? Yes \_\_\_ No ☒ If Yes, provide details for each such occurrence. \_\_\_\_\_

15) In the past (5) years, has this business or any of its owners or officers, or any other affiliated business had any sanction imposed as a result of judicial or administrative proceedings with respect to any professional license held? Yes \_\_\_ No ☒; If Yes, provide details for each such instance. \_\_\_\_\_

16) For the past (5) tax years, has this business failed to file any required tax returns or failed to pay any applicable federal, state or local taxes or other assessed charges, including but not limited to water and sewer charges? Yes \_\_\_ No ☒ If Yes, provide details for each such year. Provide a detailed response to all questions checked 'YES'. If you need more space, photocopy the appropriate page and attach it to the questionnaire. \_\_\_\_\_

Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.

17) Conflict of Interest:

a) Please disclose any conflicts of interest as outlined below. **NOTE: If no conflicts exist, please expressly state "No conflict exists."**

(i) Any material financial relationships that your firm or any firm employee has that may create a conflict of interest or the appearance of a conflict of interest in acting on behalf of Nassau County.

No Conflict Exists

(ii) Any family relationship that any employee of your firm has with any County public servant that may create a conflict of interest or the appearance of a conflict of interest in acting on behalf of Nassau County.

No Conflict Exists

(iii) Any other matter that your firm believes may create a conflict of interest or the appearance of a conflict of interest in acting on behalf of Nassau County.

No Conflict Exists

b) Please describe any procedures your firm has, or would adopt, to assure the County that a conflict of interest would not exist for your firm in the future.

WHM requires all employees/associates to disclose any relationship with municipalities or governmental entities

- A. Include a resume or detailed description of the Proposer's professional qualifications, demonstrating extensive experience in your profession. Any prior similar experiences, and the results of these experiences, must be identified. - *See attachments*

Should the proposer be other than an individual, the Proposal **MUST** include:

- i) Date of formation;
- ii) Name, addresses, and position of all persons having a financial interest in the company, including shareholders, members, general or limited partner;
- iii) Name, address and position of all officers and directors of the company;
- iv) State of incorporation (if applicable);
- v) The number of employees in the firm;
- vi) Annual revenue of firm;
- vii) Summary of relevant accomplishments
- viii) Copies of all state and local licenses and permits.

*See Attached.*

- B. Indicate number of years in business. ~~Twenty years~~
- C. Provide any other information which would be appropriate and helpful in determining the Proposer's capacity and reliability to perform these services.
- D. Provide names and addresses for no fewer than three references for whom the Proposer has provided similar services or who are qualified to evaluate the Proposer's capability to perform this work.

Company E.W. Howell Co., Inc.

Contact Person Harry Hansen

Address 245 Newtown Road

City/State Plainfield, NY 11803

Telephone (516) 921-7100

Fax # (516) 921-0119

E-Mail Address HHansen@ewhowell.com



Company Fortunato Sons Contracting, Inc.

Contact Person Barney Fortunato

Address 630 Johnson Avenue

City/State Bohemia, NY 11716

Telephone (631) 567-7200

Fax # (631) 567-7201

E-Mail Address BFJR@FortunatoSons.com

---

Company The Zenith Group

Contact Person Raymond Castronara

Address 220 Roanoke Avenue

City/State Riverhead, NY 11901

Telephone (631) 369-6601

Fax # (631) 369-6367

E-Mail Address RaymondC@zenithgroupny.com

**CERTIFICATION**

A MATERIALLY FALSE STATEMENT WILLFULLY OR FRAUDULENTLY MADE IN CONNECTION WITH THIS QUESTIONNAIRE MAY RESULT IN RENDERING THE SUBMITTING BUSINESS ENTITY NOT RESPONSIBLE WITH RESPECT TO THE PRESENT BID OR FUTURE BIDS, AND, IN ADDITION, MAY SUBJECT THE PERSON MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES.

I, William H. Mauff, being duly sworn, state that I have read and understand all the items contained in the foregoing pages of this questionnaire and the following pages of attachments; that I supplied full and complete answers to each item therein to the best of my knowledge, information and belief; that I will notify the County in writing of any change in circumstances occurring after the submission of this questionnaire and before the execution of the contract; and that all information supplied by me is true to the best of my knowledge, information and belief. I understand that the County will rely on the information supplied in this questionnaire as additional inducement to enter into a contract with the submitting business entity.

Sworn to before me this 21<sup>st</sup> day of August

2019

June Carl  
Notary Public

**JUNE CONNOLLY**  
Notary Public, State of New York  
Reg. No. 02CO5000635  
Qualified in Suffolk County  
Commission Expires August 17, 2022

Name of submitting business:

William Plumb & Heating Contractors Inc

By:

William Mauff

Print name

W Mauff  
Signature

Title

Date

8, 21, 19



6H Enterprise Drive  
East Setauket, New York 11733  
Phone: 631.473.3568  
Fax: 631.473.3762

### **Attachments to Business History Form (Cont.)**

**A:** Include a resume or detailed description of the bidder's/proposer's professional qualifications, demonstrating extensive experience in your profession. Any prior similar experiences, and the results of these experiences, must be identified.

Should the bidder/proposer be other than an individual, the bid/proposal should include:

- i) Date of Formation: **March 18, 1985**
- ii) Name, addresses & Position of all persons having a financial interest in the Company: **William H. Mauff, President/Secretary** ~~XXXXXXXXXXXXXXXXXXXX~~  
~~XXXXXXXXXXXXXXXXXXXX~~
- iii) Name, addresses & position of all officers and directors of Company: **William H. Mauff, President/Secretary - 39 Fairway Drive, Port Jefferson, NY 11733**
- iv) State of Incorporation: **New York**
- v) Number of Employees in the firm: **Approximately 45-57**
- vi) Annual Revenue of the firm: **Approximately \$18 Million**
- vii) Summary of relevant accomplishments: **Please see attached Summary of Relevant Accomplishments.**
- viii) Copies of State & Local relevant licenses and permits: **A Copy of some of our relevant licenses have been attached hereto.**

**B.** Indicate number of years in business: **35+ years**

**C.** Provide any other information which would be appropriate and helpful in determining the bidder's/proposer's capacity and reliability to perform these services: **Any Further information is available upon request, but WHM feels that the responses attached for prior questions and its history in doing work for Nassau County demonstrate our capacity and reliability to successfully complete a job of this magnitude. Should further information be needed it can be provided upon specific request.**

**D.** Provide names & addresses for no fewer than three references for whom the bidder/proposer has provided similar services or who are qualified to evaluate the bidder's/proposer's capability to perform this work: **References provided directly on Nassau County Attachments to Business History Form Page 86-87.**

**Certificate of Fitness**  
Issued by Nassau County Fire Marshal

**SPRINKLER SYSTEM COF**

Tester ID	COF ID	Type
20001316	20010179	1

Issue Date: 06/30/2018      Expiration Date: 06/30/2019

**WILLIAM MAUFF**

DOB: **XXXXXX**

**THIS PERSON IS NOT A FIRE MARSHAL EMPLOYEE**

**Property of Nassau County Fire Marshal**

Weight:  
185

Height:  
5' 10"

**This certificate authorizes the bearer to  
operate within Nassau County but does not  
exclusively recommend the bearer**

Postage Guaranteed Drop in any mailbox,  
Nassau County Fire Marshal  
1194 Prospect Avenue, Westbury, NY 11590



**BAY PARK SEWAGE TREATMENT PLANT EFFLUENT SCREENING &  
DISINFECTION FACILITY IMPROVEMENTS  
Capital Project 35121**

***Response to Business History Form Page 86 Item A.vii***  
**SUMMARY OF RELEVANT ACCOMPLISHMENTS**

***Sewer Treatment Projects Completed in Last 5 Years:***

- 1. Project:** Northport WWTP  
Northport, New York  
**Owner:** Incorporated Village of Northport  
Department of Public Works  
224 Main Street  
Northport, New York  
**Engineer:** Gannett Fleming  
**Contract Amount:** \$3,392,000.00  
**Percentage Complete:** 100%  
**Approx. Completion Date:** 4/2016

---
- 2. Project:** Wincoram Commons I & II  
Coram, New York  
**Owner:** Conifer-LeChase, LLC.  
100 Beaman Boulevard  
Atlantic Highlands, New Jersey  
**CM:** The Zenith Group, LLC.  
**Contract Amount:** \$1,040,000.00  
**Percentage Complete:** 100%  
**Approx. Completion Date:** 5/2016

---
- 3. Project:** SUNY Stony Brook WWTP  
Stony Brook, New York  
**Owner:** County of Suffolk  
Department of Public Works  
335 Yaphank Avenue  
Yaphank, New York  
**Engineer:** Gannett Fleming  
**Contract Amount:** \$12,368,000.00  
**Percentage Complete:** 100%  
**Approx. Completion Date:** 11/2015

This is to certify that

**TRI-TOWN**

Signature of Holder

*William H. Murphy*

is a duly Registered Plumber in the  
TOWN OF HEMPSTEAD

for the year ending

*2019*

Lic. No.

*John A. Smith*

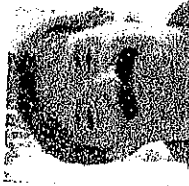
*1079*

Chairman Examining Board of Plumbing

BD-5 John E. Rottkamp - Commissioner

SUFFOLK COUNTY DEPT OF LABOR,  
LICENSING & CONSUMER AFFAIRS

MASTER PLUMBER	
NAME	WILLIAM H MAUFF
BUSINESS NAME	WHM PLUMBING & HEATING CONTRACTORS INC
License Number	2368-MP
Expiration Date	09/01/2018



This certifies that the  
bearer is duly  
licensed by the  
County of Suffolk

*Frank Mardella*  
Commissioner

## PRINCIPAL QUESTIONNAIRE FORM

All questions on these questionnaires must be answered by all officers and any individuals who hold a ten percent (10%) or greater ownership interest in the proposer. Answers typewritten or printed in ink. If you need more space to answer any question, make as many photocopies of the appropriate page(s) as necessary and attach them to the questionnaire.

COMPLETE THIS QUESTIONNAIRE CAREFULLY AND COMPLETELY. FAILURE TO SUBMIT A COMPLETE QUESTIONNAIRE MAY MEAN THAT YOUR BID OR PROPOSAL WILL BE REJECTED AS NON-RESPONSIVE AND IT WILL NOT BE CONSIDERED FOR AWARD

1. Principal Name William H. Mauff  
Date of birth XXXXXXXXXX  
Home address XXXXXXXXXXXXXXXXXXXX  
City/state/zip XXXXXXXXXXXX  
Business address UH Enterprise Drive  
City/state/zip East Setauket, NY 11733  
Telephone (631) 473-3568  
Other present address(es) NONE  
City/state/zip N/A  
Telephone (516) 635-1428 (cell)  
List of other addresses and telephone numbers attached

2. Positions held in submitting business and starting date of each (check all applicable)  
President 3 / 18 / 85 Treasurer       
Chairman of Board      Shareholder       
Chief Exec. Officer      Secretary 3 / 18 / 85  
Chief Financial Officer      Partner       
Vice President       
(Other)
3. Do you have an equity interest in the business submitting the questionnaire?  
YES      NO X If Yes, provide details. 100% Owner & Shareholder
4. Are there any outstanding loans, guarantees or any other form of security or lease or any other type of contribution made in whole or in part between you and the business submitting the questionnaire? YES      NO X If Yes, provide details.
5. Within the past 3 years, have you been a principal owner or officer of any business or not-for-profit organization other than the one submitting the questionnaire? YES      NO X If Yes, provide details.



6. Has any governmental entity awarded any contracts to a business or organization listed in Section 5 in the past 3 years while you were a principal owner or officer? YES \_\_\_ NO X  
If Yes, provide details.

NOTE: An affirmative answer is required below whether the sanction arose automatically, by operation of law, or as a result of any action taken by a government agency.  
Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.

7. In the past (5) years, have you and/or any affiliated businesses or not-for-profit organizations listed in Section 5 in which you have been a principal owner or officer:
- a. Been debarred by any government agency from entering into contracts with that agency? YES \_\_\_ NO X If Yes, provide details for each such instance.
  - b. Been declared in default and/or terminated for cause on any contract, and/or had any contracts cancelled for cause? YES \_\_\_ NO X If Yes, provide details for each such instance.
  - c. Been denied the award of a contract and/or the opportunity to bid on a contract, including, but not limited to, failure to meet pre-qualification standards? YES \_\_\_ NO X If Yes, provide details for each such instance.
  - d. Been suspended by any government agency from entering into any contract with it; and/or is any action pending that could formally debar or otherwise affect such business's ability to bid or propose on contract? YES \_\_\_ NO X If Yes, provide details for each such instance.
8. Have any of the businesses or organizations listed in response to Question 5 filed a bankruptcy petition and/or been the subject of involuntary bankruptcy proceedings during the past 7 years, and/or for any portion of the last 7 year period, been in a state of bankruptcy as a result of bankruptcy proceedings initiated more than 7 years ago and/or is any such business now the subject of any pending bankruptcy proceedings, whenever initiated? If 'Yes', provide details for each such instance. (Provide a detailed response to all questions checked "YES". If you need more space, photocopy the appropriate page and attach it to the questionnaire.)
- a) Is there any felony charge pending against you? YES \_\_\_ NO X If Yes, provide details for each such charge.
  - b) Is there any misdemeanor charge pending against you? YES \_\_\_ NO X If Yes, provide details for each such charge.
  - c) Is there any administrative charge pending against you? YES \_\_\_ NO X If Yes, provide details for each such charge.
  - d) In the past 10 years, have you been convicted, after trial or by plea, of any felony, or of any other crime, an element of which relates to truthfulness or the underlying facts of which related to the conduct of business? YES \_\_\_ NO X If Yes, provide details for each such conviction.

- e) In the past 5 years, have you been convicted, after trial or by plea, of a misdemeanor? YES \_\_\_\_ NO ☒ If Yes, provide details for each such conviction.
- f) In the past 5 years, have you been found in violation of any administrative or statutory charges? YES \_\_\_\_ NO ☒ If Yes, provide details for each such occurrence.
9. In addition to the information provided in response to the previous questions, in the past 5 years, have you been the subject of a criminal investigation and/or a civil anti-trust investigation by any federal, state or local prosecuting or investigative agency and/or the subject of an investigation where such investigation was related to activities performed at, for, or on behalf of the submitting business entity and/or an affiliated business listed in response to Question 5? YES \_\_\_\_ NO ☒ If Yes, provide details for each such investigation.
10. In addition to the information provided, in the past 5 years has any business or organization listed in response to Question 5, been the subject of a criminal investigation and/or a civil anti-trust investigation and/or any other type of investigation by any government agency, including but not limited to federal, state, and local regulatory agencies while you were a principal owner or officer? YES \_\_\_\_ NO ☒ If Yes; provide details for each such investigation.
11. In the past 5 years, have you or this business, or any other affiliated business listed in response to Question 5 had any sanction imposed as a result of judicial or administrative proceedings with respect to any professional license held? YES \_\_\_\_ NO ☒ If Yes; provide details for each such instance.
12. For the past 5 tax years, have you failed to file any required tax returns or failed to pay any applicable federal, state or local taxes or other assessed charges, including but not limited to water and sewer charges? YES \_\_\_\_ NO ☒ If Yes, provide details for each such year.

**CERTIFICATION**

A MATERIALLY FALSE STATEMENT WILLFULLY OR FRAUDULENTLY MADE IN CONNECTION WITH THIS QUESTIONNAIRE MAY RESULT IN RENDERING THE SUBMITTING BUSINESS ENTITY NOT RESPONSIBLE WITH RESPECT TO THE PRESENT BID OR FUTURE BIDS, AND, IN ADDITION, MAY SUBJECT THE PERSON MAKING THE FALSE STATEMENT TO CRIMINAL CHARGES.

I, William H. Mauff, being duly sworn, state that I have read and understand all the items contained in the foregoing pages of this questionnaire and the following pages of attachments; that I supplied full and complete answers to each item therein to the best of my knowledge, information and belief; that I will notify the County in writing of any change in circumstances occurring after the submission of this questionnaire and before the execution of the contract; and that all information supplied by me is true to the best of my knowledge, information and belief. I understand that the County will rely on the information supplied in this questionnaire as additional inducement to enter into a contract with the submitting business entity.

Sworn to before me this 21<sup>st</sup> day of August 2018

June Connolly  
Notary Public

**JUNE CONNOLLY**  
Notary Public, State of New York  
Reg. No. 02CO5000635  
Qualified in Suffolk County  
Commission Expires August 17, 2022

William Mauff  
Name of submitting business

William Mauff  
Print name

[Signature]  
Signature

8/22/18  
Date

Note the attached:

County of Nassau, Compliance with Federal Government Grants and Contracts, Debarment & suspension Certification Policy and Procedures

And

US Department of Justice, Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion, Lower Tier Covered Transactions

Shall be applied to all contracts and subcontracts, including suppliers, regardless the contracts receiving Federal Funds or not.

NO TEXT ON THIS PAGE

EDWARD P. MANGANO  
COUNTY EXECUTIVE



ERIC C. NAUGHTON  
DEPUTY COUNTY EXECUTIVE  
FOR FINANCE

**OFFICE OF THE COUNTY EXECUTIVE**  
THEODORE ROOSEVELT EXECUTIVE AND LEGISLATIVE BUILDING  
1550 FRANKLIN AVENUE  
MINEOLA, NEW YORK 11501-4895  
(516) 571-0528/0430  
FAX: (516) 571-6016/1308

**County of Nassau**  
**Compliance with Federal Government Grants and Contracts**  
**Debarment & Suspension Certification Policy and Procedures**

**General Policy:** re: U.S. Department of Justice; Audit Report Number TO-50-15-041;

Increased reporting of contractor misconduct has prompted federal regulations around debarment and suspension. An individual or organization that has not fulfilled contractual obligations gets *debarred*, making it ineligible for federal government grants and contracts for a fixed period of time. Individuals' and organizations' eligibility for federal grants and contracts can also be *suspended* during periods of investigation or litigation.

Non-Federal entities are prohibited from contracting with or making sub-awards to parties that are disbarred or suspended or whose principles are disbarred or suspended when the transaction is supported by Federal funds. "Covered transactions" include procurement transactions (purchases of goods or services equal to or in excess of \$25,000) and non-procurement transactions such as grants or awards of any amount.

**County Responsibility:**

When the County uses federal monies to fund any covered transactions, the County must ensure that these individuals, organizations or principals are not debarred or suspended before entering into a contract or signing an award agreement.

Furthermore, the County's responsibility extends to sub-awards, which includes not only grants or contracts between the County and individuals or organizations, but also, grants or contracts with those individuals or organizations and other individuals or organizations.

Before a contract is awarded, the County must obtain assurances and/or verify that the contractor and its principals are not currently disbarred or suspended. This can be accomplished in either of the following two ways:

1. Obtain a formal written certification from the participant (copy attached) that states that neither the organization nor its principals are presently disbarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participating in this transaction by any Federal

department or agency. This certificate must be signed by the vendor prior to signing the award or contract.

**The certificate must be maintained for future auditing purposes.**

2. Look up the vendor and its principals on the System for Award Management (SAM) maintained by the General Services Administration (GSA) for all covered transactions. This system can be accessed on the internet at <https://www.sam.gov/portal/public/sam/>. This website replaces the former Excluded Party List System (EPLS) and is designed as a tool to search for organizations that are debarred or suspended by the Federal government.

**Appropriate supporting documentation** (such as a screen print) **that SAM was queried must be kept by the County Department** for future auditing purposes to prove that the vendor was not currently listed.

#### **County Procedure:**

1. In all instances where the County is expending federal funds to procure covered transactions, and additionally, where these County contractors/agencies are using these federal funds to procure additional covered transactions, the County must obtain assurances and/or verify that both the contractor/agency and its principals are eligible to receive and expend these Federal funds and are not currently debarred or suspended. Before entering into any contract or agreement as stated above, the Department must either obtain a *Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions (Sub-Recipient)* (OJP Form 4061/1), or verify that the vendor and its principles are not listed on the SAM system.

2. Upon receiving the fully completed and signed certification form or taking a screen print(s) from the SAM system, each appropriate County Department will attach the original form(s) to the proposed contract, send a copy to the County Director of Grants Management, and file and maintain the original as supporting documentation for future auditing purposes.

3. The County Director of Grants Management will review all certifications and SAM system screen prints to ensure they are properly completed, and then match these certifications to each award or contract or sub-award prior to processing the agreement. Any awards, contract or sub-awards that are not supported by a properly completed and signed certification or SAM system screen print will be returned to the initiating County Department for follow up.

4. The departmental grants administrator will periodically (no less than semi-annually) check with the SAM system to confirm that none of the vendors, contractors or principals have become debarred or suspended since the last verification check. The County department will take and keep the original screen print as supporting documentation, and will send a copy to the County Director of Grants Management who will oversee the process.

#### **Effective Date:**

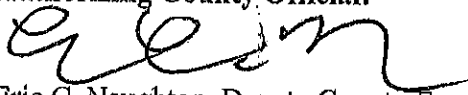
This Debarment and Suspension Policy is effective immediately.

Date Issued: July 22, 2015

**Contact:**

Please contact Steven Labriola at (516) 571-5759 for questions or assistance with this policy and/or procedures.

**Authorizing County Official:**



Eric C. Naughton, Deputy County Executive

**Additional Guidance:**

Additional information and guidance can be found in Executive Order 12549, and

CFR (Code of Federal Regulations), Title II (Grants and Agreements), Subtitle A, Chapter 1, Part 180, Sections:

- A, - General Information
- B, - Types of Transactions Covered
- C, - Responsibilities of Persons who Participate in Covered Transactions
- I, - Definitions and Terms Used

The *Excluded Party List System (EPLS System)* has recently been discontinued by the General Services Administration (11/21/12) and replaced with the System for Award Management system (SAM). Exclusions can now be found at [www.sam.gov](http://www.sam.gov). For technical or customer service support, please contact the General Services Administration Federal Service Desk at 1-866-606-8220.

**Attachment:**

Certification and Instructions Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions (Sub-Recipient); (OJP FORM 4061/1 (REV. 2/89))



NO TEXT ON THIS PAGE

U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS  
OFFICE OF THE COMPTROLLER

**Certification Regarding  
Debarment, Suspension, Ineligibility and Voluntary Exclusion  
Lower Tier Covered Transactions  
(Sub-Recipient)**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 28 CFR Part 67, Section 67.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 *Federal Register* (pages 19160-19211).

**(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)**

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Name and Title of Authorized Representative

William Mauff - President

Signature



m/d/yy

8/25/10  
Date

Name of Organization

William Mauff & Heating Contractors, Inc.

Address of Organization

6 H Enterprise Drive

East Seton Kt NY 11733

### Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposes," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules Implementing Executive Order 12549.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled, "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transaction," without modification in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of reports in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

## QUALIFICATION STATEMENT

Note: All blanks in the form are to be filled in. Where blanks are not applicable to your firm, so indicate in each instance.

1. How many years has your firm been in the business under your present business name? 36 yrs +

2. How many years experience in the construction work of a similar type as this contract has your firm had;

a. as a Prime Contractor 36 yrs +

b. as a Subcontractor 36 yrs +

3. List below the construction projects your firm has under way as of this date:

Contract Amount	Class of work	Percent Completed	Name and Address of Owner or Contracting Officer
-----------------	---------------	-------------------	--

*\* Please See Attached*

(use additional blank sheets if additional space is necessary)

4. List the projects which your firm as a firm has performed in the past few years which you feel will qualify you for this work:

Contract Amount	Class of work	Percent Completed	Name and Address of Owner or Contracting Officer
-----------------	---------------	-------------------	--

*\* Please See Attached*

(use additional blank sheets if additional space is necessary)

5. Have you:

a. ever failed to complete any work awarded to You? No  
If so; identify the project, the owner, the contract amount, the circumstances and date of all such failures to complete.

b. ever been defaulted on a contract? No  
If so; identify the project, the owner, the contract amount, the circumstances and the date of all default actions

**NO TEXT ON THIS PAGE**

c. ever been declared a non-responsible bidder by any municipality or public agency? NO  
If so; identify the project, the owner, the contract amount, the circumstances and the date of all such declarations

d. ever been barred from bidding municipal or public contracts? NO  
If so; identify the municipality or public agency, the circumstances, date and term of disbarment for all debarments.

(use additional blank sheets if additional space is necessary)

6. Has any officer, partner or principal of your firm ever been on officer, partner or principal of some other firm:

a. that failed to complete a construction contract? NO  
If so, state name of individual and identify the name of firm, the project, the owner, the contract amount, the circumstances and the date of all such failures to complete for all principals of the firm.

b. that has ever been defaulted on a contract? NO  
If so; state the name of the individual and identify the name of the firm, the project, the owner, the contract amount, the circumstances and the date of all default actions for all principals of the firm.

c. that has ever been declared a non-responsible bidder by any municipality or public agency? NO  
If so; state the name of the individual and identify the name of the firm, the project, the owner, the contract amount, the circumstances and the date of all such declarations for all principals of the firm.

**NO TEXT ON THIS PAGE**

- d. that has ever been barred from bidding municipal or public contracts? No  
If so; state the name of the individual and identify the name of the firm, the municipality or public agency, the circumstances, date and term of debarment for all debarments for all principals of the firm.

(use additional blank sheets if additional space is necessary)

7. Has any officer or partner of your firm ever failed to complete a construction contract handled in his name? No  
If so, state name of individual, name of owner and reason therefor:

8. Disclose any and all violations of the Prevailing Wage and Supplemental Payment Requirements of the Labor Law of New York State.

NONE

9. Disclose any and all other Labor Law Violations, including, but not limited to, child labor violations, failure to pay wages, or unemployment insurance tax delinquencies within the past five years.

NONE

10. In what other lines of business are you financially interested?

None



**NO TEXT ON THIS PAGE**

11. What is the construction experience of the principal individuals of your firm?

Individual's Name	Present Position or Office	Years of Construction Experience	Magnitude and type of work	In what Capacity
William H. Mauff	President	45+	All	owner/project Manager

\* See attached resume  
for William H. Mauff

(use additional blank sheets if additional space is necessary)

12. List below the equipment that you own that is available for the proposed work, giving present location where it may be inspected:

Item	Description, Size Capacity, Year, etc.	Years of Service	Present Location
------	---	---------------------	---------------------

N/A

(use additional blank sheets if additional space is necessary)

NOTE: Should the equipment be moved from the above mentioned location, the submitted hereby agrees upon request of the County to state the new location where same may be found.

13. If any of the above equipment is covered by chattel mortgage, conditional bill of sale, lien, or like encumbrance, state the complete details as to nature and amount of encumbrance, the name and address of the holder, etc.

N/A

(use additional blank sheets if additional space is necessary)

**NO TEXT ON THIS PAGE**

14. In what manner have you inspected this proposed work?  
Explain in detail.

Reviewed Plans & Specs in full, been to job site.  
W.H.M. is currently involved w/ other projects w/  
Nassau County & therefore is familiar with  
work & requirements

(use additional blank sheets if additional space is necessary)

15. Explain your plan and lay-out for performing the proposed work.

President William H. Mauff (resume attached) will have  
control over work. Upon award of contract a PM will  
be assigned to supervise & coordinate on site activity.  
Resume for this individual will be provided  
upon award.

16. If a contract is awarded or a permit is issued, to your firm, who  
will have the personal supervision of the work? Attach resume.

William H. Mauff - see attached resume

17. Insurance carried by your firm:

Type	Company	Limits of Coverage	Term
------	---------	--------------------	------

Commercial General Liability	American Family Home Ins	\$1 million / \$2 million	2/1/18-2/1/19
Auto Liability	American Family Home Ins.	\$1 million	2/1/18-2/1/19
Workers Compensation	North River Ins. Co	\$1 million	2/1/18-2/1/19
Builders Risk	Great American Assurance Co.	\$2 million	2/1/18-2/1/19
Umbrella Liability	ACE American Ins.	\$10 million	2/1/18-2/1/19
Disability Insurance	Hartford Life & Accident		1/1/2018-12/31/18

**NO TEXT ON THIS PAGE**



**BAY PARK SEWAGE TREATMENT PLANT EFFLUENT SCREENING &  
DISINFECTION FACILITY IMPROVEMENTS  
Capital Project 35121**

***Qualification Statement***

***Item 3. Construction Projects firm has underway as of this date with  
Similar Scopes of Work:***

**Project:** Cedar Creek WPCP – Influent Screens Facility Improvements  
**Owner:** County of Nassau  
Department of Public Works  
1194 Prospect Avenue  
Westbury, New York  
**Architect:** LiRO Group Company  
**Contract Amount:** \$11,545,350.00  
**Percent Complete:** 93%

---

**Project:** Glen Cove WWTP – Clarifier Improvements  
**Owner:** County of Nassau  
Department of Public Works  
1194 Prospect Avenue  
Westbury, New York  
**Architect:** LiRO Group Company  
**Contract Amount:** \$5,939,500.00  
**Percent Complete:** 67%

---

**Project:** Bay Park Sewage Treatment Plant – Flood Protection Phase I  
Stormwater Pumping Station  
**Owner:** County of Nassau  
Department of Public Works  
1194 Prospect Avenue  
Westbury, New York  
**Architect:** Gannett Fleming  
**Contract Amount:** \$16,700,000.00  
**Percent Complete:** 66%



**BAY PARK SEWAGE TREATMENT PLANT EFFLUENT SCREENING &  
DISINFECTION FACILITY IMPROVEMENTS  
Capital Project 35121**

***Qualification Statement***

***Item 4. Construction Projects firm has in the past few years which you feel  
will qualify you for this work:***

***Sewer Treatment Projects Completed in Last 5 Years:***

- 1. Project:** Northport WWTP  
Northport, New York  
**Owner:** Incorporated Village of Northport  
Department of Public Works  
224 Main Street  
Northport, New York  
**Engineer:** Gannett Fleming  
**Contract Amount:** \$3,392,000.00  
**Percentage Complete:** 100%  
**Approx. Completion Date:** 4/2016

---
- 2. Project:** Wincoram Commons I & II  
Coram, New York  
**Owner:** Conifer-LeChase, LLC.  
100 Beaman Boulevard  
Atlantic Highlands, New Jersey  
**CM:** The Zenith Group, LLC.  
**Contract Amount:** \$1,040,000.00  
**Percentage Complete:** 100%  
**Approx. Completion Date:** 5/2016

---
- 3. Project:** SUNY Stony Brook WWTP  
Stony Brook, New York  
**Owner:** County of Suffolk  
Department of Public Works  
335 Yaphank Avenue  
Yaphank, New York  
**Engineer:** Gannett Fleming  
**Contract Amount:** \$12,368,000.00  
**Percentage Complete:** 100%  
**Approx. Completion Date:** 11/2015

---

# **William H. Mauff**

**President of W.H.M. Plumbing & Heating Contractors, Inc.**

~~XXXXXXXXXXXX~~

~~XXXXXXXXXXXXXXXXXXXXXXXXXXXX~~

~~XXXXXXXXXXXX~~ Mobile ~~XXXXXXXXXXXX~~ Email: WHMPlumbing@OptOnline.net

## **EDUCATION:**

### **Local One Union Plumbing Apprenticeship Program**

Midtown, Manhattan, New York, New York

Certificate of Completion - September 1975 - 1978

### **Suffolk Community College**

Selden, New York 11784

Major - Architectural Drafting

Fall of 1975 - One Semester

### **Vocational B.O.C.E.S.**

Dix Hills, New York

Major - Commercial Art

Degree - Honorary Certificate of Completion

September 1973 - June 1975

## **WORK HISTORY:**

### **W.H.M. Plumbing & Heating Contractors, Inc.**

**6 H Enterprise Drive**

**East Setauket, New York 11733**

Title - Owner & President

Project Coordinator - Estimator - Purchaser

Licensed and bonded since 1984

### **Fenley & Nichol**

Deer Park, New York

Title - Journeyman

Responsibilities: Installation of fiberglass gasoline tanks and  
fiberglass piping, process piping

June 1983 - September 1984

### **Seaboard Mechanical**

Chicago, Illinois

Title - General Foreman

Responsibilities: Supervise all men - coordinate projects, high risers  
Sewage treatment plants

January 1981 - May 1983

### **Nagel Bush Plumbing**

Hollywood, California

Title - Foreman

Responsibilities: Supervise all men - coordinate projects, high risers,  
commercial retail

October 1979 - December 1980



18. The undersigned hereby declares: That the foregoing information contained in this bid is a true statement, including, but not limited to, the financial condition of the individual firm herein first named as of the date herein given; the undersigned has read that portion of the Instructions to the Bidders entitled **"Qualifications and Responsibility of Bidders"** and that the bidder acknowledges its affirmative obligation to transmit with this statement any matters relevant and material to those contractor qualifications and responsibility standards; that this statement is for the express purpose of inducing the party to whom it is submitted to award the submitted a contract or issuance of a permit; that any depository, vendor or other agency herein named is authorized to supply such party with any information necessary to verify this statement; and that it understands and agrees that any material misrepresentation or omission of material fact may be deemed grounds for disqualification of the bidder as "not responsible," and may also subject the bidder to future debarment, penalties, and sanctions, to the extent permitted by law.

WHM Plumbing & Heating Contractors Inc.  
Bidder's Name


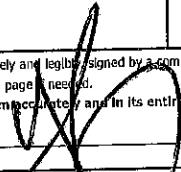
[Signature]  
Signature

William H. Muftt - President  
Name & Title

8/21/18  
Date

**NO TEXT ON THIS PAGE**

PROPOSAL

 <b>NASSAU COUNTY DEPARTMENT OF PUBLIC WORKS</b>		CONTRACT NO. <b>S35121-116</b>										
<b>WICKS EXEMPT LIST OF SUBCONTRACTORS</b> NOTE: This form is required for "Single-Contract" projects exempt from the Wicks law. Failure to submit this form correctly may render the bidder non responsive.												
Contractor's Name and Address: <b>WHM Plumbing &amp; Heating Contractors Inc.</b> <b>101 Enterprise Drive</b> <b>East Setauket, NY 11733</b> Federal ID No.: <b>11-2731372</b>		Project Description (Project Title, Facility Name and Address): <b>Bay Park STP</b> <b>Effluent Screening &amp; Disinfection</b> <b>Facility Improvements Nassau County, NY</b>										
		Bid Date: <b>8/21/18</b>	Total Contract Amt: 									
Indicate ANY work to be self-performed by the contractor in the following categories (check all that apply): <input checked="" type="checkbox"/> Plumbing and Gas Fitting <input checked="" type="checkbox"/> Steam Heating, Hot Water Heating, Ventilating and AC Apparatus <input type="checkbox"/> Electric Wiring and Standard Illuminating Fixtures												
If ALL contract work is to be self-performed, i.e. no subcontractors will be used, please check this box <input type="checkbox"/> up to bottom of form, and sign it as required.												
Subcontractor's Name, Address and Federal ID No.		Check ( ) only one. <table border="1"> <tr> <td>Plumbing and Gas Fitting</td> <td>Steam Heating, Hot Water Heating, Ventilating and AC Apparatus</td> <td>Electric Wiring and Standard Illuminating Fixtures</td> </tr> </table>		Plumbing and Gas Fitting	Steam Heating, Hot Water Heating, Ventilating and AC Apparatus	Electric Wiring and Standard Illuminating Fixtures						
Plumbing and Gas Fitting	Steam Heating, Hot Water Heating, Ventilating and AC Apparatus	Electric Wiring and Standard Illuminating Fixtures										
<b>Eldor Contractors</b> Federal ID No.		<table border="1"> <tr> <td></td> <td></td> <td><b>X</b></td> </tr> <tr> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> </tr> </table>				<b>X</b>						
		<b>X</b>										
		General Description of Work <b>Electrical</b>										
		Subcontractor's Contract Amt. <b>\$479,000</b>										
Federal ID No.												
This form must be filled out completely and legibly signed by a company authorized representative and included in a separate, sealed envelope within the bid envelope. Use and additional page(s) if needed. Failure to complete this form accurately and in its entirety, may result in a non responsive bid determination.												
Company Authorized Signature: 		Title: <b>President</b>	Date: <b>8/21/2018</b>									

**LIII. ALL LEGAL PROVISIONS DEEMED INCLUDED; SEPARABILITY; SUPREMACY; COMPLIANCE WITH LAW**

9. **Prohibition of Gifts.** In accordance with County Executive Order 2-2018, the Contractor shall not offer, give, or agree to give anything of value to any County employee, agent, consultant, construction manager, or other person or firm representing the County (a "County Representative"), including members of a County Representative's immediate family, in connection with the performance by such County Representative of duties involving transactions with the Contractor on behalf of the County, whether such duties are related to this Agreement or any other County contract or matter. As used herein, "anything of value" shall include, but not be limited to, meals, holiday gifts, holiday baskets, gift cards, tickets to golf outings, tickets to sporting events, currency of any kind, or any other gifts, gratuities, favorable opportunities or preferences. For purposes of this subsection, an immediate family member shall include a spouse, child, parent, or sibling. The Contractor shall include the provisions of this subsection in each subcontract entered into under this Agreement.

10. **Disclosure of Conflicts of Interest.** In accordance with County Executive Order 2-2018, the Contractor has disclosed as part of its response to the County's Business History Form, or other disclosure form(s), any and all instances where the Contractor employs any spouse, child, or parent of a County employee of the agency or department that contracted or procured the goods and/or services described under this Agreement. The Contractor shall have a continuing obligation, as circumstances arise, to update this disclosure throughout the term of this Agreement.

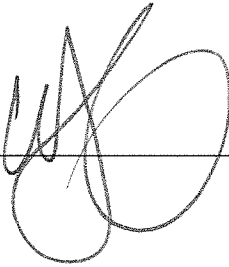
11. **Vendor Code of Ethics.** By executing this Agreement, the Contractor hereby certifies and covenants that:

- (i) The Contractor has been provided a copy of the Nassau County Vendor Code of Ethics issued on June 5, 2019, as may be amended from time to time (the "Vendor Code of Ethics"), and will comply with all of its provisions;
- (ii) All of the Contractor's Participating Employees, as such term is defined in the Vendor Code of Ethics (the "Participating Employees"), have been provided a copy of the Vendor Code of Ethics prior to their participation in the underlying procurement;
- (iii) All Participating Employees have completed the acknowledgment required by the Vendor Code of Ethics;
- (iv) The Contractor will retain all of the signed Participating Employee acknowledgements for the period it is required to retain other records pertinent to performance under this Agreement;
- (v) The Contractor will continue to distribute the Vendor Code of Ethics, obtain signed Participating Employee acknowledgments as new Participating Employees are added or changed during the term of this Agreement, and retain such signed acknowledgments for the period the

Contractor is required to retain other records pertinent to performance under this Agreement; and

The Contractor has obtained the certifications required by the Vendor Code of Ethics from any subcontractors or other lower tier participants who have participated in procurements for work performed under this Agreement.

Signature

A handwritten signature in black ink, appearing to read 'W. Mauff', written over a horizontal line.

William H. Mauff - President

Printed Name and Title

5/20/20

Date

## QUALIFICATION STATEMENT

Note: All blanks in the form are to be filled in. Where blanks are not applicable to your firm, so indicate in each instance.

1. How many years has your firm been in the business under your present business name? 36 yrs +
2. How many years experience in the construction work of a similar type as this contract has your firm had;
  - a. as a Prime Contractor 36 yrs +
  - b. as a Subcontractor 36 yrs +
3. List below the construction projects your firm has under way as of this date:

Contract Amount	Class of work	Percent Completed	Name and Address of Owner or Contracting Officer
-----------------	---------------	-------------------	--

*\* Please See Attached*

(use additional blank sheets if additional space is necessary)

4. List the projects which your firm as a firm has performed in the past few years which you feel will qualify you for this work:

Contract Amount	Class of work	Percent Completed	Name and Address of Owner or Contracting Officer
-----------------	---------------	-------------------	--

*\* Please See Attached*

(use additional blank sheets if additional space is necessary)

5. Have you:
  - a. ever failed to complete any work awarded to You? No  
If so; identify the project, the owner, the contract amount, the circumstances and date of all such failures to complete.
  - b. ever been defaulted on a contract? No  
If so; identify the project, the owner, the contract amount, the circumstances and the date of all default actions

**NO TEXT ON THIS PAGE**

c. ever been declared a non-responsible bidder by any municipality or public agency? NO  
If so; identify the project, the owner, the contract amount, the circumstances and the date of all such declarations

d. ever been barred from bidding municipal or public contracts? NO  
If so; identify the municipality or public agency, the circumstances, date and term of disbarment for all debarments.

(use additional blank sheets if additional space is necessary)

6. Has any officer, partner or principal of your firm ever been on officer, partner or principal of some other firm:

a. that failed to complete a construction contract? NO  
If so, state name of individual and identify the name of firm, the project, the owner, the contract amount, the circumstances and the date of all such failures to complete for all principals of the firm.

b. that has ever been defaulted on a contract? NO  
If so; state the name of the individual and identify the name of the firm, the project, the owner, the contract amount, the circumstances and the date of all default actions for all principals of the firm.

c. that has ever been declared a non-responsible bidder by any municipality or public agency? NO  
If so; state the name of the individual and identify the name of the firm, the project, the owner, the contract amount, the circumstances and the date of all such declarations for all principals of the firm.



**NO TEXT ON THIS PAGE**

- d. that has ever been barred from bidding municipal or public contracts? No  
If so; state the name of the individual and identify the name of the firm, the municipality or public agency, the circumstances, date and term of debarment for all debarments for all principals of the firm.

(use additional blank sheets if additional space is necessary)

7. Has any officer or partner of your firm ever failed to complete a construction contract handled in his name? No  
If so, state name of individual, name of owner and reason therefor:

8. Disclose any and all violations of the Prevailing Wage and Supplemental Payment Requirements of the Labor Law of New York State.

NONE

9. Disclose any and all other Labor Law Violations, including, but not limited to, child labor violations, failure to pay wages, or unemployment insurance tax delinquencies within the past five years.

NONE

10. In what other lines of business are you financially interested?

None

**NO TEXT ON THIS PAGE**

11. What is the construction experience of the principal individuals of your firm?

Individual's Name	Present Position or Office	Years of Construction Experience	Magnitude and type of work	In what Capacity
William H. Mauff	President	45+	All	owner/project Manager

\* See attached resume  
for William H. Mauff

(use additional blank sheets if additional space is necessary)

12. List below the equipment that you own that is available for the proposed work, giving present location where it may be inspected:

Item	Description, Size Capacity, Year, etc.	Years of Service	Present Location
------	---	---------------------	---------------------

N/A

(use additional blank sheets if additional space is necessary)

NOTE: Should the equipment be moved from the above mentioned location, the submitted hereby agrees upon request of the County to state the new location where same may be found.

13. If any of the above equipment is covered by chattel mortgage, conditional bill of sale, lien, or like encumbrance, state the complete details as to nature and amount of encumbrance, the name and address of the holder, etc.

N/A

(use additional blank sheets if additional space is necessary)

**NO TEXT ON THIS PAGE**

14. In what manner have you inspected this proposed work?  
Explain in detail.

Reviewed Plans & Specs in full, been to job site.  
W.H.M. is currently involved w/ other projects w/  
Nassau County & therefore is familiar with  
work & requirements

(use additional blank sheets if additional space is necessary)

15. Explain your plan and lay-out for performing the proposed work.

President William H. Mauff (resume attached) will have  
control over work. Upon award of contract a PM will  
be assigned to supervise & coordinate on site activity.  
Resume for this individual will be provided  
upon award.

16. If a contract is awarded or a permit is issued, to your firm, who  
will have the personal supervision of the work? Attach resume.

William H. Mauff - see attached resume

17. Insurance carried by your firm:

Type	Company	Limits of Coverage	Term
------	---------	--------------------	------

Commercial General Liability	American Family Home Ins	\$1 million / \$2 million	2/1/18-2/1/19
Auto Liability	American Family Home Ins.	\$1 million	2/1/18-2/1/19
Workers Compensation	North River Ins. Co	\$1 million	2/1/18-2/1/19
Builders Risk	Great American Assurance Co.	\$2 million	2/1/18-2/1/19
Umbrella Liability	ACE American Ins.	\$10 million	2/1/18-2/1/19
Disability Insurance	Hartford Life & Accident		1/1/2018-12/31/18

**NO TEXT ON THIS PAGE**



**BAY PARK SEWAGE TREATMENT PLANT EFFLUENT SCREENING &  
DISINFECTION FACILITY IMPROVEMENTS  
Capital Project 35121**

***Qualification Statement***

***Item 3. Construction Projects firm has underway as of this date with  
Similar Scopes of Work:***

**Project:** Cedar Creek WPCP – Influent Screens Facility Improvements  
**Owner:** County of Nassau  
Department of Public Works  
1194 Prospect Avenue  
Westbury, New York  
**Architect:** LiRO Group Company  
**Contract Amount:** \$11,545,350.00  
**Percent Complete:** 93%

---

**Project:** Glen Cove WWTP – Clarifier Improvements  
**Owner:** County of Nassau  
Department of Public Works  
1194 Prospect Avenue  
Westbury, New York  
**Architect:** LiRO Group Company  
**Contract Amount:** \$5,939,500.00  
**Percent Complete:** 67%

---

**Project:** Bay Park Sewage Treatment Plant – Flood Protection Phase I  
Stormwater Pumping Station  
**Owner:** County of Nassau  
Department of Public Works  
1194 Prospect Avenue  
Westbury, New York  
**Architect:** Gannett Fleming  
**Contract Amount:** \$16,700,000.00  
**Percent Complete:** 66%





**BAY PARK SEWAGE TREATMENT PLANT EFFLUENT SCREENING &  
DISINFECTION FACILITY IMPROVEMENTS  
Capital Project 35121**

***Qualification Statement***

***Item 4. Construction Projects firm has in the past few years which you feel  
will qualify you for this work:***

***Sewer Treatment Projects Completed in Last 5 Years:***

- 1. Project:** Northport WWTP  
Northport, New York  
**Owner:** Incorporated Village of Northport  
Department of Public Works  
224 Main Street  
Northport, New York  
**Engineer:** Gannett Fleming  
**Contract Amount:** \$3,392,000.00  
**Percentage Complete:** 100%  
**Approx. Completion Date:** 4/2016

---
- 2. Project:** Wincoram Commons I & II  
Coram, New York  
**Owner:** Conifer-LeChase, LLC.  
100 Beaman Boulevard  
Atlantic Highlands, New Jersey  
**CM:** The Zenith Group, LLC.  
**Contract Amount:** \$1,040,000.00  
**Percentage Complete:** 100%  
**Approx. Completion Date:** 5/2016

---
- 3. Project:** SUNY Stony Brook WWTP  
Stony Brook, New York  
**Owner:** County of Suffolk  
Department of Public Works  
335 Yaphank Avenue  
Yaphank, New York  
**Engineer:** Gannett Fleming  
**Contract Amount:** \$12,368,000.00  
**Percentage Complete:** 100%  
**Approx. Completion Date:** 11/2015

---

# **William H. Mauff**

**President of W.H.M. Plumbing & Heating Contractors, Inc.**

~~XXXXXXXXXXXXXXXXXXXX~~

~~XXXXXXXXXXXXXXXXXXXX~~

~~XXXXXXXXXXXXXXXXXXXX~~  
**Mobile** ~~XXXXXXXXXXXX~~ **Email: WHMPlumbing@OptOnline.net**

## **EDUCATION:**

### **Local One Union Plumbing Apprenticeship Program**

Midtown, Manhattan, New York, New York

Certificate of Completion - September 1975 - 1978

### **Suffolk Community College**

Selden, New York 11784

Major - Architectural Drafting

Fall of 1975 - One Semester

### **Vocational B.O.C.E.S.**

Dix Hills, New York

Major - Commercial Art

Degree - Honorary Certificate of Completion

September 1973 - June 1975

## **WORK HISTORY:**

### **W.H.M. Plumbing & Heating Contractors, Inc.**

**6 H Enterprise Drive**

**East Setauket, New York 11733**

Title - Owner & President

Project Coordinator - Estimator - Purchaser

Licensed and bonded since 1984

### **Fenley & Nichol**

Deer Park, New York

Title - Journeyman

Responsibilities: Installation of fiberglass gasoline tanks and  
fiberglass piping, process piping

June 1983 - September 1984

### **Seaboard Mechanical**

Chicago, Illinois

Title - General Foreman

Responsibilities: Supervise all men - coordinate projects, high risers  
Sewage treatment plants

January 1981 - May 1983

### **Nagel Bush Plumbing**

Hollywood, California

Title - Foreman

Responsibilities: Supervise all men - coordinate projects, high risers,  
commercial retail

October 1979 - December 1980

18. The undersigned hereby declares: That the foregoing information contained in this bid is a true statement, including, but not limited to, the financial condition of the individual firm herein first named as of the date herein given; the undersigned has read that portion of the Instructions to the Bidders entitled **"Qualifications and Responsibility of Bidders"** and that the bidder acknowledges its affirmative obligation to transmit with this statement any matters relevant and material to those contractor qualifications and responsibility standards; that this statement is for the express purpose of inducing the party to whom it is submitted to award the submitted a contract or issuance of a permit; that any depository, vendor or other agency herein named is authorized to supply such party with any information necessary to verify this statement; and that it understands and agrees that any material misrepresentation or omission of material fact may be deemed grounds for disqualification of the bidder as "not responsible," and may also subject the bidder to future debarment, penalties, and sanctions, to the extent permitted by law.

WHM Plumbing & Heating Contractors Inc.  
Bidder's Name

[Signature]  
Signature

William H. Muftic - President  
Name & Title

8/21/18  
Date

**NO TEXT ON THIS PAGE**

# PROPOSAL



## NASSAU COUNTY DEPARTMENT OF PUBLIC WORKS

CONTRACT NO. **S35121-116**

### WICKS EXEMPT LIST OF SUBCONTRACTORS

NOTE: This form is required for "Single-Contract" projects exempt from the Wicks law. Failure to submit this form correctly may render the bidder non responsive.

Contractor's Name and Address: <b>WHM Plumbing &amp; Heating Contractors, Inc.</b> <b>101 Enterprise Drive</b> <b>East Setauket, NY 11733</b> Federal ID No.: <b>11-2731372</b>	Project Description (Project Title, Facility Name and Address): <b>Bay Park STP</b> <b>Effluent Screening &amp; Disinfection</b> <b>Facility Improvements Nassau County, NY</b>	Bid Date: <b>8/21/18</b>	Total Contract Amt:
---	--	-----------------------------	---------------------

Indicate ANY work to be self-performed by the contractor in the following categories (check all that apply):

- ☒ Plumbing and Gas Fitting
- ☒ Steam Heating, Hot Water Heating, Ventilating and AC Apparatus
- ☐ Electric Wiring and Standard Illuminating Fixtures

If ALL contract work is to be self-performed, i.e. no subcontractors will be used, please check this box ☐ up to bottom of form, and sign it as required.

Subcontractor's Name, Address and Federal ID No.	Check ( ) only one.			General Description of Work	Subcontractor's Contract Amt.
	Plumbing and Gas Fitting	Steam Heating, Hot Water Heating, Ventilating and AC Apparatus	Electric Wiring and Standard Illuminating Fixtures		
<b>Eldor Contracting</b> Federal ID No.			<b>X</b>	<b>Electrical</b>	<b>\$479,000</b>
Federal ID No.					
Federal ID No.					

This form must be filled out completely and legibly signed by a company authorized representative and included in a separate, sealed envelope within the bid envelope. Use and additional page, if needed.

Failure to complete this form accurately and in its entirety, may result in a non responsive bid determination.

Company Authorized Signature:

Title:

Date:

*[Handwritten Signature]*

**President**

**8/21/2018**

U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS  
OFFICE OF THE COMPTROLLER

**Certification Regarding  
Debarment, Suspension, Ineligibility and Voluntary Exclusion  
Lower Tier Covered Transactions  
(Sub-Recipient)**

This certification is required by the regulations implementing Executive Order 12549, Debarment and Suspension, 28 CFR Part 67, Section 67.510, Participants' responsibilities. The regulations were published as Part VII of the May 26, 1988 *Federal Register* (pages 19160-19211).

**(BEFORE COMPLETING CERTIFICATION, READ INSTRUCTIONS ON REVERSE)**

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department of agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

William H. Mauff - President

5/20/20

Name and Title of Authorized Representative

m/d/yy

[Signature]  
Signature

5/20/20  
Date

W. H. M. Plumbing & Heating Contractors, Inc.  
Name of Organization

101 Enterprise Drive, East Setauket, NY 11733  
Address of Organization

### Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposes," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled, "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transaction," without modification in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may check the Nonprocurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of reports in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**NYS Environmental Facilities Corporation  
Minority- & Women- Owned Business Enterprise (MWBE) Utilization Plan**

**Instructions for Contractors & Service Providers:**

Contractors and Service Providers must complete Sections 2 and 3. **Submit the completed, signed (electronic signature box checked and dated) form in Microsoft Word format to the SRF Recipient's designated Minority Business Officer (MBO) no later than the date of contract execution.** Incomplete forms will be found deficient. If more than 10 subcontractors are used, additional pages for Section 3 can be found in the form [Additional Utilization Plan Section 3](#).

**If the prime contract is being performed by the parties to a Joint Venture, Teaming Agreement, or Mentor-Protégé Agreement that includes a certified MWBE, please contact EFC for assistance.**

MWBE firms must be certified by the NYS Empire State Development Corporation (ESD) in order to be counted towards satisfaction of MWBE participation goals. The utilization of certified MWBEs for non-commercially useful functions may not be counted towards utilization of certified MWBEs in the Utilization Plan.

See the Bid Packet at [www.efc.ny.gov/mwbe](http://www.efc.ny.gov/mwbe) or consult your designated MBO for further guidance.

**Instructions for Minority Business Officers (MBO):**

The MBO must complete Section 1. The MBO may designate an Authorized Representative to complete and submit quarterly payment reports on its behalf, and, if so designated, the MBO's Authorized Representative must also complete Section 1. The Authorized Representative may only submit quarterly payment reports on behalf of the MBO and may not submit any other required forms or reports for the MBO. The MBO must complete Section 1 even if designating an Authorized Representative. **Submit the completed, signed (electronic signature box checked and dated) form in Microsoft Word format via e-mail to your EFC MWBE Representative.**

The subject heading of the e-mail to the EFC MWBE Representative should follow the format "UP, SRF Number, Contractor." EFC will review the Utilization Plan and notify the MBO via e-mail of its acceptance or denial.

Within 10 days of EFC's acceptance of a Utilization Plan, EFC will post the approved Utilization Plan on the EFC website.



**NYS Environmental Facilities Corporation  
Minority- & Women- Owned Business Enterprise (MWBE) Utilization Plan**

**SECTION 1: MUNICIPAL INFORMATION**

<b>Recipient/Municipality:</b>			<b>County:</b>		
<b>SRF Project No.:</b>	<b>GIGP/EPG No.:</b>	<b>Contract ID:</b>	<b>Registration No. (NYC only):</b>		
<b>Minority Business Officer:</b>		<b>Email:</b>		<b>Phone #:</b>	
<b>Address of MBO:</b>					
<b>Electronic Signature of MBO:</b> <input type="checkbox"/> I certify that the information submitted herein is true, accurate and complete to the best of my knowledge and belief.					<b>Date:</b>
<i>Complete if applicable:</i>					
<b>Authorized Representative:</b>			<b>Title:</b>		
<b>Authorized Rep. Company:</b>			<b>Email:</b>		<b>Phone #:</b>
<b>Electronic Signature of Authorized Rep.:</b> <input type="checkbox"/> I certify that the information submitted herein is true, accurate and complete to the best of my knowledge and belief.					<b>Date:</b>

**SECTION 2: PRIME CONTRACTOR / SERVICE PROVIDER INFORMATION**

<b>Firm Name:</b> WHM Plumbing and Heating Contractors, Inc.			<b>Contract Type:</b> <input checked="" type="checkbox"/> Construction <input type="checkbox"/> Other Services		
<b>Prime Firm is Certified as:</b> <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input checked="" type="checkbox"/> N/A <input type="checkbox"/> Other: Please repeat information in the Utilization Plan below (Section 3). If dual certified, you must select either MBE or WBE.					
<b>Address:</b> 6H enterprise Drive, East Setauket, NY 11733			<b>Phone #:</b> 631 473 3568		<b>Fed. Employer ID #:</b> 11-2731372
<b>Description of Work:</b> Effluent Screening and Disinfection Facility					
<b>Award Date:</b>	<b>Start Date:</b>	<b>Completion Date:</b>	<b>MWBE GOAL Total</b>		<b>PROPOSED MWBE Participation</b>
<b>Total Contract Amount:</b> \$ 8,250,000.00 <b>MWBE Eligible Contract Amount:</b> \$ 5,000,000.00 (MWBE Goals are applied to this amount and includes all change orders, amendments, & waivers)			<b>MBE:</b> %    \$		<b>MBE:</b> %    \$
			<b>WBE:</b> %    \$		<b>WBE:</b> %    \$
			<b>Total: 20%</b> \$ 1,000,000.00		<b>Total: 20%</b> \$ 1,000,000.00

**NYS Environmental Facilities Corporation  
Minority- & Women- Owned Business Enterprise (MWBE) Utilization Plan**

**SECTION 3: M/WBE SUBCONTRACTOR INFORMATION**

<b>This Submittal is:</b>	<input checked="" type="checkbox"/> The First/Original Utilization Plan <input type="checkbox"/> Revised Utilization Plan #:			
NYS Certified M/WBE Subcontractor Info		Contract Amount:		For EFC Use:
		MBE (\$)	WBE (\$)	
<b>Name:</b> EMECH	<b>Fed. Employer ID#:</b> 11-3200070		800,000.00	
<b>Address:</b> 247 West 24 <sup>th</sup> Street, Deer Park, NY 11729	<b>Phone #:</b> 631-920-0764			
<b>Scope of Work:</b> Mechanical installation	<b>Email:</b> emechinc@optonline.net			
<b>Select Only One:</b> <input type="checkbox"/> MBE <input checked="" type="checkbox"/> WBE <input type="checkbox"/> Other:	<b>Start Date:</b>			
<b>Full Contract Amount:</b> \$ 800,000.00	<b>Completion Date:</b>			
<b>Name:</b> PCS Pump and Process	<b>Fed. Employer ID#:</b> 22-3714238		200,000.00	
<b>Address:</b> 41 plymouth Street, Fairfield, NJ 07004	<b>Phone #:</b> 973-575-7464			
<b>Scope of Work:</b> Instrumentation & Controls	<b>Email:</b> ptabone@pcspump.com			
<b>Select Only One:</b> <input checked="" type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Other:	<b>Start Date:</b>			
<b>Full Contract Amount:</b> \$ 200,000.00	<b>Completion Date:</b>			
<b>Name:</b>	<b>Fed. Employer ID#:</b>			
<b>Address:</b>	<b>Phone #:</b>			
<b>Scope of Work:</b>	<b>Email:</b>			
<b>Select Only One:</b> <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Other:	<b>Start Date:</b>			
<b>Full Contract Amount:</b> \$	<b>Completion Date:</b>			
<b>Name:</b>	<b>Fed. Employer ID#:</b>			
<b>Address:</b>	<b>Phone #:</b>			
<b>Scope of Work:</b>	<b>Email:</b>			
<b>Select Only One:</b> <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Other:	<b>Start Date:</b>			
<b>Full Contract Amount:</b> \$	<b>Completion Date:</b>			
<b>Name:</b>	<b>Fed. Employer ID#:</b>			
<b>Address:</b>	<b>Phone #:</b>			
<b>Scope of Work:</b>	<b>Email:</b>			
<b>Select Only One:</b> <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Other:	<b>Start Date:</b>			
<b>Full Contract Amount:</b> \$	<b>Completion Date:</b>			

**NYS Environmental Facilities Corporation  
Minority- & Women- Owned Business Enterprise (MWBE) Utilization Plan**

SECTION 3: M/WBE SUBCONTRACTOR INFORMATION continued				
<b>Name:</b>	<b>Fed. Employer ID#:</b>			
<b>Address:</b>	<b>Phone #:</b>			
<b>Scope of Work:</b>	<b>Email:</b>			
<u>Select Only One:</u> <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Other:	<b>Start Date:</b>			
<b>Full Contract Amount: \$</b>	<b>Completion Date:</b>			
<b>Name:</b>	<b>Fed. Employer ID#:</b>			
<b>Address:</b>	<b>Phone #:</b>			
<b>Scope of Work:</b>	<b>Email:</b>			
<u>Select Only One:</u> <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Other:	<b>Start Date:</b>			
<b>Full Contract Amount: \$</b>	<b>Completion Date:</b>			
<b>Name:</b>	<b>Fed. Employer ID#:</b>			
<b>Address:</b>	<b>Phone #:</b>			
<b>Scope of Work:</b>	<b>Email:</b>			
<u>Select Only One:</u> <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Other:	<b>Start Date:</b>			
<b>Full Contract Amount: \$</b>	<b>Completion Date:</b>			
<b>Name:</b>	<b>Fed. Employer ID#:</b>			
<b>Address:</b>	<b>Phone #:</b>			
<b>Scope of Work:</b>	<b>Email:</b>			
<u>Select Only One:</u> <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input type="checkbox"/> Other:	<b>Start Date:</b>			
<b>Full Contract Amount: \$</b>	<b>Completion Date:</b>			

SIGNATURE	
<b>Electronic Signature of Contractor:</b> <input checked="" type="checkbox"/> I certify that the information submitted herein is true, accurate and complete to the best of my knowledge and that all MWBE subcontractors will perform a commercially useful function. <b>Name</b> (Please Type): Jay Johneas	<b>Date:</b> 9/25/18

**NYS Environmental Facilities Corporation  
Minority & Women Owned Business Enterprise (MWBE) Waiver Request Form**

**Instructions for Contractors & Service Providers:**

Contractors and Service Providers must complete Sections 2, 3, and 4. **Submit the completed, signed (electronic signature box checked and dated) form in Microsoft Word format to the SRF Recipient's designated Minority Business Officer (MBO).** Incomplete forms will be found deficient.

See the Bid Packet at [www.efc.ny.gov/mwbe](http://www.efc.ny.gov/mwbe) or consult your designated MBO for further guidance.

**Instructions for Minority Business Officers (MBO):**

The MBO must complete Section 1. **Submit the completed, signed (electronic signature box checked and dated) form in Microsoft Word format via e-mail to your EFC MWBE Representative.** The subject heading of the e-mail to the EFC MWBE Representative should follow the format "Waiver Request, SRF Number, Contractor." EFC will review and notify the MBO via e-mail of its acceptance or denial.

If a partial MWBE waiver is requested, an MWBE Utilization Plan must also be submitted for the amount of proposed MWBE participation.

**SECTION 1: MUNICIPAL INFORMATION**

<b>Recipient/Municipality:</b>		<b>County:</b>	
<b>SRF Project No.:</b>	<b>GIGP/EPG No.:</b>	<b>Contract ID:</b>	<b>Registration No. (NYC only):</b>
<b>Minority Business Officer (MBO):</b>		<b>Email:</b>	<b>Phone #:</b>
<b>Address of MBO:</b>			
<b>Signature of MBO:</b> <input type="checkbox"/> I certify that the information submitted herein is true, accurate and complete to the best of my knowledge and belief.			<b>Date:</b>

**SECTION 2: PRIME CONTRACTOR / SERVICE PROVIDER INFORMATION**

<b>Firm Name:</b> WHM Plumbing and Heating Contractors, Inc.			<b>Contract Type:</b> <input checked="" type="checkbox"/> Construction <input type="checkbox"/> Other Services	
<b>Prime Firm is Certified as:</b> <input type="checkbox"/> MBE <input type="checkbox"/> WBE <input checked="" type="checkbox"/> N/A <input type="checkbox"/> Other:				
<b>Address:</b> 6 H enterprise drive, East Setauket, NY 11733		<b>Phone #:</b> 631-473-3568		<b>Fed. Employer ID #:</b>
<b>Contact Information of Firm Representative Authorized to Discuss Waiver Request:</b>				
<b>Name:</b> Jay Johneas		<b>Title:</b> VP		<b>Phone #:</b> 631-473-3568
		<b>E-mail:</b>		
<b>Description of Work:</b> Effluent Screening and Disinfection Facility			<b>EFC MWBE GOAL Total</b>	
<b>Award Date:</b>	<b>Start Date:</b>	<b>Completion Date:</b>	<b>MBE: 10 % \$ 500,000.00</b>	
<b>Total Contract Amount:</b> \$ 8,250,000.00			<b>WBE: 10% \$ 500,000.00</b>	
<b>MWBE Eligible Contract Amount: \$ 5,000,000.00</b> (MWBE Goals are applied to this amount and includes all change orders, amendments, & waivers)			<b>Total: 20% \$ 1,000,000.00</b>	

**NYS Environmental Facilities Corporation  
Minority & Women Owned Business Enterprise (MWBE) Waiver Request Form**

**SECTION 3: TYPE OF MWBE WAIVER REQUESTED**

1. ☐ **Full Waiver** (No MWBE participation)
2. ☒ **Partial Waiver** (Less than the MWBE goals; indicate below the proposed MWBE participation)

**PROPOSED MWBE Participation**

**MBE:**        %    \$ 200,000

**WBE:**        %    \$ 800,000

**Total:** 12%    \$ 1,000,000.00

3. ☒ **Specialty Equipment/Services Waiver** (Must be of SIGNIFICANT cost - list of equipment and cost must be attached in addition to the supporting documentation outlined below)

**SECTION 4: SUPPORTING DOCUMENTATION**

To be considered, the Request for Waiver Form must be accompanied by the documentation requested in items 1 – 9, as listed below. If a Specialty Equipment Waiver is requested, it must be accompanied by the documentation requested in items 1 - 13. If a Specialty Services Waiver is requested, it must be accompanied by the items requested in items 1 – 9 and item 14. Copies of the following information and all relevant supporting documentation must be submitted along with the request. Please contact EFC for assistance, including sample documentation.

1. A letter of explanation setting forth your basis for requesting a partial or total waiver and detailing the good faith efforts that were made.
2. Copies of advertisements in any general circulation, trade association, and minority- and women-oriented publications in which you solicited MWBEs for the purposes of complying with your participation goals, with the dates of publication.
3. Screenshots of search results (by business description or commodity code) from Empire State Development Corporation's (ESD) MWBE Directory of all certified MWBEs that were solicited for purposes of complying with your MWBE participation goals.
4. Copies of faxes, letters, or e-mails sent to MWBE firms to solicit participation and their responses.
5. A log of solicitation results, consisting of the list of MWBE firms solicited for the contract and the outcome of the solicitations. The log should be broken out into separate areas for each task that is solicited (e.g., trucking, materials, electricians) and clearly provide a rationale for firms included on the completed Utilization Plan as well as for those not chosen. The log should show: that each MWBE firm was contacted twice by two different methods (e.g., fax and phone); who was spoken to; what was said; and the final outcome of the solicitation.

**NYS Environmental Facilities Corporation  
Minority & Women Owned Business Enterprise (MWBE) Waiver Request Form**

6. A description of any contract documents, plans, or specifications made available to MWBEs for purposes of soliciting their bids and the date and manner in which these documents were made available. Specifically, include information on the scope of work in the contract and a breakout of tasks or equipment, such as a schedule of values for a construction contract or a proposal or excerpt from a professional services agreement.
7. Documentation of any negotiations between you, the Contractor, and the MWBEs undertaken for purposes of complying with your MWBE participation goals.
8. Any other information you deem relevant which may help us in evaluating your request for a waiver. Examples may include sign-in sheets from any pre-bid meetings where MWBE firms were invited, attendance at MWBE forums, etc.
9. EFC and the MBO reserve the right to request additional information and/or documentation.

**Additional Documentation for Requests for Specialty Equipment Waivers:**

10. Copies of the appropriate pages of the technical specification related to the equipment showing the choices for manufacturers or other information that limits the choice of vendor.
11. Letter, e-mail or screenshot of website from the manufacturer listing their distributors in NYS and the locations.
12. Screenshots of ESD's MWBE Directory searches for the manufacturer and distributor showing that they are not found in the Directory.
13. An invoice or purchase order showing the value of the equipment.

**Additional Documentation for Requests for Specialty Service Waivers:**

14. A letter of explanation containing information about the scope of work and why no MWBE firms could be subcontracted to provide that service.

**Note:** Unless a Total Waiver has been granted, Firms will be required to submit all reports and documents pursuant to the provisions set forth in the procurement and/or contract, as deemed appropriate by EFC, to determine MWBE compliance. In cases where EFC accepts a full or partial waiver of MWBE participation goals, the waiver request will be posted to EFC's website.

**SIGNATURE**

**Electronic Signature of Contractor:**

☒ I certify that the information submitted herein is true, accurate and complete to the best of my knowledge.

**Name:** (Please Type): Jay Johneas

**Date:** 9/25/18

Exclusions from MBE/WBE Requirements		
Contract Item	NAME	Cost
Effluent Screen	WESTECH	\$1,100,000.00
Butterfly Valves	PRATT	\$1,650,000.00
Valves	DEZURIK	\$17,500.00
<b>TOTAL EXEMPTIONS</b>		\$2,767,500.00
<b>CONTRACT AMOUNT</b>		\$8,250,000.00
<b>ADJUSTED CONTRACT PRICE AFTER EXEMPTIONS</b>		<b>\$5,482,500.00</b>
<b>WMBE @ 20% REQUIREMENT AFTER EXEMPTIONS</b>		<b>\$1,096,500.00</b>