



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

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

Department:	
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

Purpose: 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 The current equipment is outdated, significantly worn, and only one (1) out of four (4) screens are in operation.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.
Method of Procurement: Formal Sealed Bid - a total of five bids were received and evaluated
Procurement History: 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.
Description of General Provisions: New contract for construction services.
Impact on Funding / Price Analysis: 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%
Change in Contract from Prior Procurement: There is no prior procurement.
Recommendation: (approve as submitted) Approve as Submitted

Advisement Information

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

B17-20

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.

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

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.

(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.

(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.

- 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]

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 [REDACTED]
 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 255th
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	COF ID	Type
20001316	20012513	1
Issue Date	Expiration Date	
06/30/2019	06/30/2020	

WILLIAM H MAUFF



XXXXXXXXXX
DOB
XXXXXXXXXX

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

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.	Ref Number	Amount Paid	Payment Date	Cashier ID	Received	Comments
147744	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. Santella
 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):	<u>\$ 200,000.00</u>
Bid Total:	\$8,350,000.00

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

S:\ADMIN\Letters for Signature\Water Management\Perfetti\S35121-11G RoA DCE.doc



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.

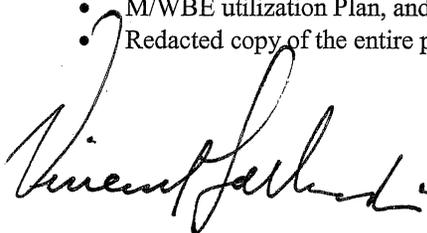
The apparent low bid of \$8,350,000 is 7% lower than the engineer's estimate. This bid is 4% lower than the average bid. The results of the bidding indicate a competitive bidding environment, with five (5) experienced contractors submitting bids.

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

Contractor	Address	Insurance	Payment	Bid Amount	Alternate Bid
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 Date Start Work: April 2018 Duration: Twenty-four (24) months
Includes, design, construction and CM Phase being requested Phase being requested

Capital Funding Approval: YES NO Roseann Allen 4/2/18 ep
SIGNATURE DATE

Funding Allocation (Capital Project): 35121
See Attached Sheet if multiyear

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

Funding Code: 35121-011 Timesheet Code: 18-0097
use this on all encumbrances 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]
SIGNATURE

DCE/Ops Approval: YES NO Brian Schmeil
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: YES NO Signature _____

Version January 2014

[Handwritten initials]

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.

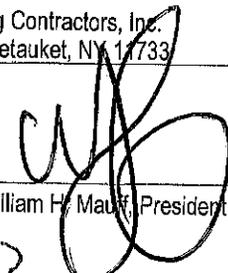
a. In the event that the Principal fails to submit a financial statement when required by the County or in the event that an examination of the Principal indicates to the County that the Principal does not meet the financial requirements required by the County, the undersigned will, upon demand, pay 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.

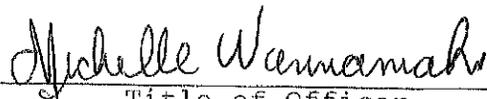
W.H.M. Plumbing & Heating Contractors, Inc.
6H Enterprise Drive, East Setauket, NY 11733
Contractor

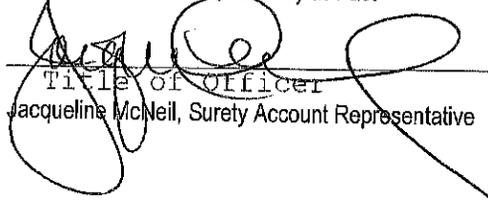
by  (L.S.) (Corporate seal of Contractor
Title if a corporation)

by  (L.S.) Title
Witness:

by _____ (L.S.) Title

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

by  (L.S.) Surety
Title of Officer
Michelle Wannamaker, Attorney-In-Fact

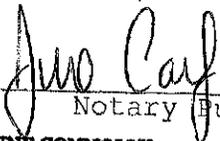
Witness: ~~XXXXXXXX~~
by  (L.S.) (Corporate seal of Surety)
Title of Officer
Jacqueline McNeil, Surety Account Representative

(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)

JUNE CONNOLLY
Notary Public, State of New York
Reg. No. 0205000635
Qualified in Suffolk County
Commission Expires August 17, 2022

STATE OF _____)

ss.:
COUNTY OF _____)

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

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 26, 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 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
ASSETS		
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	2,238,899,502	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
Total Assets	\$ 9,486,063,346	\$ 10,224,828,895
LIABILITIES		
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
Total Liabilities	\$ 6,094,211,082	\$ 6,589,707,586
SURPLUS AND OTHER FUNDS		
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
Total capital and surplus	\$ 3,391,852,264	\$ 3,635,121,309
Total Liabilities and Surplus	\$ 9,486,063,346	\$ 10,224,828,895

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 17th 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: Let 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

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PROPOSAL

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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.

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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.

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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	<i>7,900,000</i>	<i>00</i>
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

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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 <hr/> DOLLARS CENTS				
6	Allowance	For Drain Valve Inspection/Repair (Section 01020)	N/A	N/A	\$200,000	00
		Two Hundred Thousand No <hr/> DOLLARS CENTS				

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PROPOSAL

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

		TOTAL BASE BID (Bid Item Nos. 1 thru 6) \$ <u>8,250,000⁰⁰</u>
		TOTAL BASE BID (Bid Item Nos. 1 thru 6): MUST BE WRITTEN IN WORDS: DOLLARS <u>eight million, two hundred fifty thousand</u> CENTS <u>dollars</u>

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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.

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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	Hydro Dyne or Westech or Ovevo or Kusters
11200	Butterfly Valves	Pratt or Waterman or Shan-Red
15830	Fans	Aerovent or Airzone

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PROPOSAL

IRAN DIVESTMENT ACT – CERTIFICATION

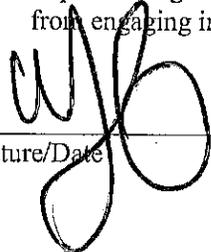
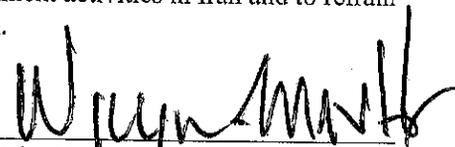
Pursuant to New York State Finance Law §165-a, Iran Divestment Act of 2012, the Office of General Services is required to post on its web site <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf> a list of persons who have been determined to engage in investment activities in Iran (“the List”), 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.

 8/20/12 
Signature/Date Print Name and Position

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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:

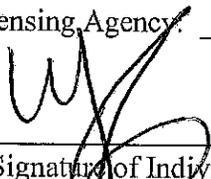
Bidder: W.H.M. Plumbing & Heating Contractors, Inc.
(Individual, Firm or Corporation, as case may be)

Individual's Social Security No.: _____

Federal ID No: 11-2731372

Municipal License ID Number: _____

Municipal Licensing Agency: _____

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

(Print): William H. Mauff Title: President

WHERE BIDDER IS A CORPORATION, ADD

ATTEST:


Secretary

(CORPORATE)
(SEAL)

++ 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

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++ 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.

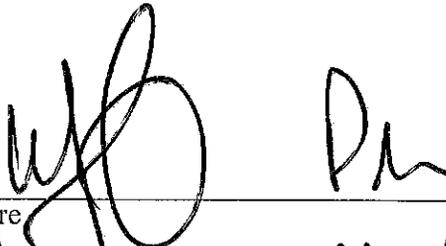
TELEPHONE NUMBER: 431-473-3568

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 PM
Print Name and Title of Signer

8/21/18
Date

NO TEXT ON THIS PAGE

[Faint handwritten notes, possibly including "1/10/74" and "1/10/74"]

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

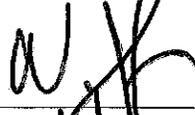
(c) List whether and where the person/organization is registered as a lobbyist (e.g., Nassau County, New York State):

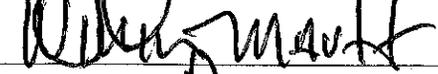
None

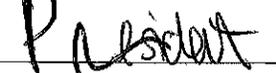
8. VERIFICATION: This section must be signed by a principal of the consultant, contractor or Vendor authorized as a signatory of the firm for the purpose of executing Contracts.

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: 

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.



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.

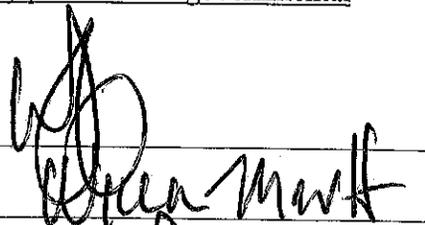
VERIFICATION: The undersigned affirms and so swears that he/she has read and understood the foregoing statements and they are, to his/her knowledge, true and accurate.

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:



Print Name:

Alan Mark

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.

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: W.H. 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 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 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. _____

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. _____

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 charge. _____

b) Any misdemeanor charge pending? Yes ___ No 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

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 relationships 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~~
- 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 Le30 Johnson Avenue
City/State Bohemia, NY 11710
Telephone (203) 567-7200
Fax # (203) 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 Raymond@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 21st day of August, 2019

June Connolly
Notary Public

JUNE CONNOLLY
Notary Public, State of New York
Reg. No. 02CO500635
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

OPR
Title

8.21.19
Date



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**
XXXXXXXX



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*

John A. Rottkamp

Lic. No.
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	WHIM PLUMBING & HEATING CONTRACTORS INC
License Number	2368-M/P
Expiration Date	09/01/2018



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

Fred Marshall
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 XXXXXXXXXXXXXXXXXX
Business address UH Enterprise Drive
City/state/zip East Setauket, NY 11733
Telephone (631) 473-3508
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
 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 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 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 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 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 If Yes, provide details for each such charge.
 - b) Is there any misdemeanor charge pending against you? YES ___ NO If Yes, provide details for each such charge.
 - c) Is there any administrative charge pending against you? YES ___ NO 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 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 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

Wim Pley
Name of submitting business

Wim Mauff
Print name

[Signature]
Signature

Title

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:

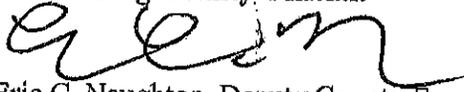
This Debarment and Suspension Policy is effective immediately.

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. 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 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 Mault - President
Name and Title of Authorized Representative

[Signature] 8/25/10
Signature Date

William Mault & Heating Contractors, Inc.
Name of Organization

6 Enterprise Drive
Address of Organization

East Setauket 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 an 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
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Commercial General Liability	American Family Home Ins	\$1 million / \$2 million	2/1/2018 - 2/1/2019
Auto Liability	American Family Home Ins.	\$1 million	2/1/18 - 2/1/2019
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

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**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

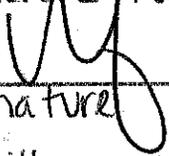
Title - Foreman

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

William H. Mault - President
Name & Title

8/21/18
Date

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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 WAM Plumbing Heating Contractors Inc 101 Enterprise Drive East Setauket, NY 11733 Federal ID No.: 11-2-131372	Project Description (Project Title, Facility Name and Address): Bay Park STP Effluent Screening & Disinfection Facility Improvements Nassau County, NY	Bid Date: 8/21/18	Total Contract Amt:
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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

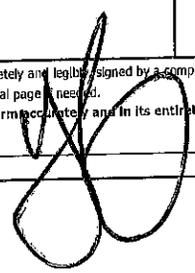
Electric Wiring and Standard Illuminating Fixtures

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		
Eldor Contracting Federal ID No.			X	Electrical	\$470,000
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: President Date: 8/21/2018

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.

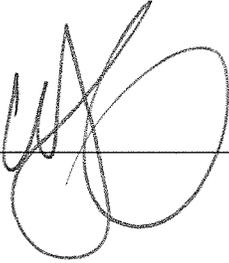
11. **Vendor Code of Ethics.** By executing this Agreement, the Contractor hereby certifies and covenants that:

- (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



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 an 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	2/1/2018 - 2/1/2019
Auto Liability	American Family Home Ins.	\$1 million	2/1/18 - 2/1/2019
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:

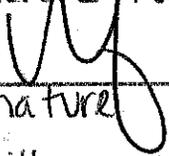
- 1. Project:** Northport WWTP
Northport, New York
Owner: Incorporated Village of Northport
Department of Public Works
224 Main Street
Northport, New York
Engineer: Gannett Fleming
Contract Amount: \$3,392,000.00
Percentage Complete: 100%
Approx. Completion Date: 4/2016

- 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

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

William H. Mault - 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 WAM Plumbing Heating Contractors Inc 101 Enterprise Drive East Setauket, NY 11733 Federal ID No.: 11-2-131372	Project Description (Project Title, Facility Name and Address): Bay Park STP Effluent Screening & Disinfection Facility Improvements Nassau County, NY	Bid Date: 8/21/18	Total Contract Amt:
---	---	----------------------	---------------------

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

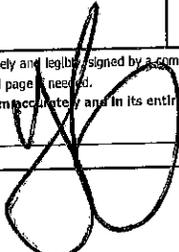
- Plumbing and Gas Fitting
- Steam Heating, Hot Water Heating, Ventilating and AC Apparatus
- Electric Wiring and Standard Illuminating Fixtures

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		
Eldor Contracting Federal ID No.			X	Electrical	\$470,000
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: President Date: 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

5/20/20

Date

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

Name of Organization

104 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 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

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

SECTION 2: PRIME CONTRACTOR / SERVICE PROVIDER INFORMATION

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

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

SECTION 3: M/WBE SUBCONTRACTOR INFORMATION

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

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

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

SIGNATURE	
Electronic Signature of Contractor: <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. Name (Please Type): Jay Johneas	Date: 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 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

SECTION 1: MUNICIPAL INFORMATION			
Recipient/Municipality:		County:	
SRF Project No.:	GIGP/EPG No.:	Contract ID:	Registration No. (NYC only):
Minority Business Officer (MBO):		Email:	Phone #:
Address of MBO:			
Signature of MBO: <input type="checkbox"/> I certify that the information submitted herein is true, accurate and complete to the best of my knowledge and belief.			Date:

SECTION 2: PRIME CONTRACTOR / SERVICE PROVIDER INFORMATION

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

**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
TOTAL EXEMPTIONS		\$2,767,500.00
CONTRACT AMOUNT		\$8,250,000.00
ADJUSTED CONTRACT PRICE AFTER EXEMPTIONS		\$5,482,500.00
WMBE @ 20% REQUIREMENT AFTER EXEMPTIONS		\$1,096,500.00