

1
2 **BILL NO. S-12-10-13**

SPECIAL ORDINANCE NO. S-_____

3 AN ORDINANCE approving COMBINED SEWER
4 PUMP STATION (CSPS) ELECTRICAL
5 SUBSTATION IMPROVEMENTS RES. #2283-
6 2010, W.O. #75783 between VAUGHN
7 INDUSTRIES and the City of Fort Wayne, Indiana,
in connection with the Board of Public Works.

8 **NOW, THEREFORE, BE IT ORDAINED BY THE COMMON**
9 **COUNCIL OF THE CITY OF FORT WAYNE, INDIANA:**

10 **SECTION 1.** That the COMBINED SEWER PUMP STATION
11 (CSPS) ELECTRICAL SUBSTATION IMPROVEMENTS RES. #2283-2010,
12 W.O. #75783 by and between VAUGHN INDUSTRIES and the City of Fort
13 Wayne, Indiana, in connection with the Board of Public Works, is hereby
14 ratified, and affirmed and approved in all respects, respectfully for:

15
16 All labor, insurance, material, equipment, tools, power,
17 transportation, miscellaneous equipment, etc., necessary for
18 CSPS Electrical Substation Improvements" as follows:
19 CSPS substation is presently fed by two 34.5 kV AEP/IM
20 transmission lines which terminate on a common 34.5
21 kVbus. This bus feeds the City-owned existing Power
22 Transformers. This project is to remove existing substation
equipment, structures, foundation, etc., and install two (2)
new 14 MVA 34.5 kV – 4160/2400 Volt Power
Transformers, 69 kV Circuit Switchers, concrete
foundations, 5 kV underground duct banks, control conduits,
grounding, site stone and fencing;

23
24 involving a total cost of EIGHT HUNDRED EIGHTY-ONE THOUSAND,
25 THREE HUNDRED FORTY-THREE AND 35/100 DOLLARS – (\$881,343.35).
26 A copy said Contract is on file with the Office of the City Clerk and made
27 available for public inspection, according to law.

BID						Engineer's Estimate								Vaughn Industries LLC				Rent Power Co.			
Item#	Description	Quantity	Unit	Unit Price	Extension	Unit Price	Extension	Unit Price	Extension	Unit Price	Extension	Unit Price	Extension								
1	Division 03 - Concrete & Rebar (New)	115	Cubic Yards	\$ 1,338.00	\$ 153,870.00	\$ 1,192.24	\$ 137,107.60	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -								
2	Removal of Existing RCM Foundations	1	Ton	\$26,500.00	\$ 26,500.00	\$ 18,943.59	\$ 18,943.59	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -								
3	Division 31 - Earthwork				\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -								
	#3 Crushed Limestone	24	Cubic Yards	\$115.20	\$ 2,764.80	\$ 75.17	\$ 1,804.08	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -								
	#9 Crushed Limestone	30	Cubic Yards	\$111.60	\$ 3,348.00	\$ 75.17	\$ 2,255.10	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -								
	#2 Washed Crushed Limestone	70	Cubic Yards	\$52.80	\$ 3,696.00	\$ 76.17	\$ 5,261.90	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -								
	GEO-Textile Fabric	4640	Square Feet	\$1.21	\$5,753.60	\$ 1.50	\$ 6,960.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -								
	Rip Rap Limestone (6" - 8" Stone)	5	Cubic Yards	\$100.80	\$ 504.00	\$ 90.21	\$ 451.05	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -								
	10 Borrow (Compact to 95% dry density)	100	Cubic Yards	\$87.75	\$ 8,775.00	\$ 67.66	\$ 6,766.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -								
	Pea Gravel	45	Cubic Yards	\$125.00	\$ 5,625.00	\$ 90.21	\$ 4,059.45	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -								
4	Section: 01 78 39 - Project Record Drawings	1	Lump Sum	\$7,500.00	\$ 7,500.00	\$ 11,275.95	\$ 11,275.95	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -								
5	Section: 26 05 19 - Low Voltage Electrical Power Conductors and Cables	1	Lump Sum	\$96,000.00	\$ 96,000.00	\$ 84,030.28	\$ 84,030.28	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -								
6	Section: 26 05 26 - Grounding	1	Lump Sum	\$58,800.00	\$ 58,800.00	\$ 72,360.89	\$ 72,360.89	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -								
7	Section: 26 05 33.13 - Conduit for Electrical System	1	Lump Sum	\$14,328.00	\$ 14,328.00	\$ 49,637.76	\$ 49,637.76	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -								
8	Section: 26 09 16 - Relay & Control Panels	1	Lump Sum	\$42,000.00	\$ 42,000.00	\$ 54,919.71	\$ 54,919.71	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -								
9	Section: 26 10 00 - Outdoor Industrial Equipment	1	Lump Sum	\$210,869.29	\$ 210,869.29	\$ 227,010.28	\$ 227,010.28	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -								
10	Cost to move one (1) 14 MVA Power Transformer from existing storage to final concrete pad	1	Lump Sum	\$8,500.00	\$ 8,500.00	\$ 9,680.72	\$ 9,680.72	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -								
11	Miscellaneous Electrical Items	1	Lump Sum	\$67,091.60	\$ 67,091.60	\$ 88,818.99	\$ 88,818.99	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -								
12	Work Allowance	1	Lump Sum	\$100,000.00	\$ 100,000.00	\$ 100,000.00	\$ 100,000.00	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -								
TOTAL BASE BID					\$ 815,925.29		\$ 881,343.35		\$ 1,070,393.00												
Addendum No. 1						X			X												
Addendum No. 2						X			X												
Addendum No. 3						X			X												
Bidder's Bond						X			X												
Form 96						X			X												
Non-Collusion Affidavit						X			X												
Cert In Lieu/Financial Statement						X			X												
Vendor Disclosure Statement Form						X			X												

**AGREEMENT
BETWEEN OWNER AND CONTRACTOR
ON THE BASIS OF A STIPULATED PRICE**

Resolution 2283-2010

Work Order 75783

THIS AGREEMENT is by and between the Board of Public Works of the City of Fort Wayne, Indiana (hereinafter called Owner) and **Vaughn Industries, LLC.**, (hereinafter called Contractor).

Owner and Contractor, in consideration of the mutual covenants hereinafter set forth, agree as follows:

ARTICLE 1 – WORK

- 1.01 Contractor shall complete all Work as specified or indicated in the Contract Documents. The Work is generally described as follows:

CSPS substation is presently fed by two 34.5 kV AEP/IM transmission lines which terminate on a common 34.5 kV bus. This bus feeds the City-owned existing Power Transformers. This project is to remove existing substation equipment, structures, foundation, etc., and install two (2) new 14 MVA 34.5 kV - 4160/2400 Volt Power Transformers, 69 kV Circuit Switchers, concrete foundations, 5 kV underground duct banks, control conduits, grounding, site stone and fencing.

ARTICLE 2 – THE PROJECT

- 2.01 The Project for which the Work under the Contract Documents may be the whole or only a part is generally described as follows:

CSPS Substation Improvements

ARTICLE 3 – ENGINEER

- 3.01 The Project has been designed by Spectrum Engineering Corporation 5524 North County Line Road
Auburn, IN 46706. Throughout these Contract Documents, the term Engineer is used. Engineer is to act as Owner's representative, assume all duties and responsibilities, and have the rights and authority assigned to Engineer in the Contract Documents in connection with the completion of the Work in accordance with the Contract Documents. Owner will advise Contractor prior to issuance of Notice to Proceed as to who will serve as Engineer.

ARTICLE 4 – CONTRACT TIMES

- 4.01 Time of the Essence
- A. All time limits for Milestones, if any, Substantial Completion, and completion and readiness for final payment as stated in the Contract Documents are of the essence of the Contract.

4.02 Days to Achieve Substantial Completion and Final Payment

- A. The Work will be substantially completed within **North Transformer T-1: January 2, 2013** **South Transformer T-2: April 16, 2013** after the date when the Contract Times commence to run as provided in Paragraph 2.03 of the General Conditions, and completed and ready for final payment in accordance with Paragraph 14.07 of the General Conditions within **North Transformer T-1: January 11, 2013** **South Transformer T-2: April 30, 2013** after the date when the Contract Times commence to run.
- B. Definitions of Substantial Completion for this Work shall consist of **Begin Commissioning of each transformer..**

4.03 Liquidated Damages

- B. Contractor and Owner recognize that time is of the essence of this Agreement and that Owner will suffer financial loss if the Work is not completed within the times specified in Paragraph 4.02 above, plus any extensions thereof allowed in accordance with Article 12 of the General Conditions. The parties also recognize the delays, expense, and difficulties involved in proving in a legal or arbitration proceeding the actual loss suffered by Owner if the Work is not completed on time. Accordingly, instead of requiring any such proof, Owner and Contractor agree that as liquidated damages for delay (but not as a penalty), Contractor shall pay Owner **\$500.00** for each day that expires after the time specified in Paragraph 4.02 above for Substantial Completion until the Work is substantially complete. After Substantial Completion, if Contractor shall neglect, refuse, or fail to complete the remaining Work within the Contract Time or any proper extension thereof granted by Owner, Contractor shall pay Owner **\$1,000.00** for each day that expires after the time specified in Paragraph 4.02 above for completion and readiness for final payment until the Work is completed and ready for final payment.

ARTICLE 5 – CONTRACT PRICE

5.01 Owner shall pay Contractor for completion of the Work in accordance with the Contract Documents an amount in current funds equal to the sum of the amounts determined pursuant to Paragraphs 5.01.A, 5.01.B, and 5.01.C below:

- A. Not used.
- B. For all Unit Price Work, an amount equal to the sum of the established unit price for each separately identified item of Unit Price Work times the actual quantity of that item as indicated in this Paragraph 5.01.B:

As provided in Paragraph 11.03 of the General Conditions, estimated quantities are not guaranteed, and determinations of actual quantities and classifications are to be made by Engineer as provided in Paragraph 9.08 of the General Conditions. Unit prices have been computed as provided in Paragraph 11.03 of the General Conditions.

See Article 5 (itemized Bid Schedule) of the Bid Form 00 41 00-3

Eight Hundred Eighty One Thousand, Three Hundred Forty Three Dollars and Thirty Five Cents.

\$881,343.35

- C. Not Used.

ARTICLE 6 – PAYMENT PROCEDURES

6.01 Submittal and Processing of Payments

- A. Contractor shall submit Applications for Payment in accordance with Article 14 of the General Conditions. Engineer will process Applications for Payment as provided in the General Conditions.

6.02 Progress Payments; Retainage

- A. Owner shall make progress payments on account of the Contract Price on the basis of Contractor's Applications for Payment within 45 days of receipt during performance of the Work as provided in Paragraph 6.02.A.1 below. All such payments will be measured by the Schedule of Values established as provided in Paragraph 2.07.A of the General Conditions (and in the case of Unit Price Work based on the number of units completed) or, in the event there is no Schedule of Values, as provided in the General Requirements.
 1. Prior to Substantial Completion, progress payments will be made in an amount equal to the percentage indicated below but, in each case, less the aggregate of payments previously made and less such amounts as Engineer may determine or Owner may withhold, in accordance with Paragraph 14.02 of the General Conditions.
 - a. 95% % of Work completed (with the balance being retainage); and
 - b. 95 % of cost of materials and equipment not incorporated in the Work (with the balance being retainage).
- B. Upon Substantial Completion, Owner shall pay an amount sufficient to increase total payments to Contractor to 100% of the Work completed, less such amounts as Engineer shall determine in accordance with Paragraph 14.02.B.5 of the General Conditions and less 200% of Engineer's estimate of the value of Work to be completed or corrected as shown on the tentative list of items to be completed or corrected attached to the certificate of Substantial Completion.
- C. Escrow Agreement.
 1. If the Contract is in excess of **\$200,000**, the contract will be subject to the standard Board of Public Works escrow agreement; unless written notice is received from Contractor prior to execution of the Agreement stating that an Escrow Account is not desired. If an Escrow Account is not desired, then the Board of Public Works, in accordance with IC 36-1-12-14, shall hold the retainage and will not pay interest on the amounts of retainage that it holds.

6.03 Final Payment

- A. Upon final completion and acceptance of the Work in accordance with Paragraph 14.07 of the General Conditions, Owner shall pay the remainder of the Contract Price as recommended by Engineers as provided in said Paragraph 14.07.

ARTICLE 7 – INTEREST

- 7.01 All moneys not paid when due as provided in Article 14 of the General Conditions shall bear interest at the rate at the maximum rate allowed by law at the place of the Project.

ARTICLE 8 – CONTRACTOR'S REPRESENTATIONS

- 8.01 In order to induce Owner to enter into this Agreement, Contractor makes the following representations:

- A. Contractor has examined and carefully studied the Contract Documents and the other related data identified in the Bidding Documents.
- B. Contractor has visited the Site and become familiar with and is satisfied as to the general, local, and Site conditions that may affect cost, progress, and performance of the Work.
- C. Contractor is familiar with and is satisfied as to all federal, state, and local Laws and Regulations that may affect cost, progress, and performance of the Work.
- D. Contractor has carefully studied all: (1) reports of exploration and tests of subsurface conditions at or contiguous to the Site and all drawings of physical conditions in or relating to existing surface or subsurface structures at or contiguous the site (except Underground Facilities), which have been identified in the Supplementary Conditions as provided in Paragraph 4.02 of the General Conditions and (2) reports and drawings of Hazardous Environmental Conditions, if any, at the Site that have been identified in the Supplementary Conditions as provided in Paragraph 4.06 of the General Conditions.
- E. Contractor has obtained and carefully studied (or assumes responsibility for having done so) all additional supplementary examinations, investigations, explorations, tests, studies, and data concerning conditions (surface, subsurface, and Underground Facilities) at or contiguous to the Site which may affect cost, progress, or performance of the Work or which relate to any aspect of means, methods, techniques, sequences, and procedures of construction to be employed by Contractor including applying the specific means, methods, techniques, sequences, and procedures of construction, if any expressly required by the Contract Documents to be employed by Contractor, and safety precautions and programs incident thereto.
- F. Contractor does not consider that further examinations, investigations, explorations, tests, studies, or data are necessary for the performance of the Work at the Contract Price, within the Contract Times, and in accordance with the other terms and conditions of the Contract Documents.
- G. Contractor is aware of the general nature of work to be performed by Owner and others at the Site that relates to the Work as indicated in the Contract Documents.
- H. Contractor has correlated the information known to Contractor, information and observations obtained from visits to the Site, report and drawings identified in the Contract Documents, and all additional examinations, investigations, explorations, tests, studies, and data with the Contract Documents.
- I. Contractor has given Design Manager written notice of all conflicts, errors, ambiguities, or discrepancies that Contractor has discovered in the Contract Documents, and the written resolution thereof provided by Design Manager is acceptable to Contractor.
- J. The Contract Documents are generally sufficient to indicate and convey understanding of all terms and conditions for performance and furnishing of the Work.
- K. In connection with the performance of Work under this Contract, Contractor agrees to comply with Anti-Discrimination Under Indiana Code Chapter 5-16-6-1 and be bound by Chapter 93.036, of the Code of the City of Fort Wayne, Indiana of 1974, passed by the Common Council of the City of Fort Wayne, Indiana as General Ordinance No. G-34-78 (as amended) on December 12th, 1978. Contractor shall file a Manpower Utilization Report for this project with the Compliance Office within ten (10) days after completion of the construction or upon request of the Office of Compliance.

ARTICLE 9 – CONTRACT DOCUMENTS

9.01 Contents

A. The Contract Documents consist of the following:

1. This Agreement (pages 00 52 00-1 to 00 52 00-9, inclusive);
2. Escrow Account Agreement (pages 00 54 43-1 to 00 54 43-3, inclusive);
3. Drug Policy Acknowledgement Form (page 00 54 52-1);
4. E-Verify Affidavit (page 00 54 53-1, inclusive);
5. Local Indiana Business Preference Form (page 00 54 54-1, inclusive);
6. SRF Loan Program DBE Packet (pages 00 54 61-1 to 00 54 61-4, inclusive);
7. SRF Attachment B – Davis-Bacon Act Contract Provisions (pages 00 54 65-1 to 00 54 65-8, inclusive);
8. SRF Attachment C – Wage Fringe Benefit Certification Contract Provisions (page 00 54 66);
9. SRF Attachment E – Suspension and Debarment Contract Provisions (page 00 54 68-1);
10. SRF EPA Form OEE-1 (page 00 54 72-1);
11. SRF EPA Form OEE-2 (page 00 54 73-1);
12. Performance Bond Form (pages 00 61 13.13-1 to 00 61 13.13-2, inclusive);
13. Payment Bond Form (pages 00 61 13.16-1 to 00 61 13.16-2, inclusive);
14. Guaranty Bond Form (pages 00 61 31-1 to 00 61 31-2, inclusive);
15. Federal Wage Rate Requirements (pages 00 73 43 –1 to 00 73 43-31 inclusive);
16. General Conditions (pages 00 72 00-1 to 00 72 00-41, inclusive);
17. Supplementary Conditions (pages 00 73 00-1 to 00 73 00-10, inclusive);
- ~~18. Standard Specifications (page 00 95 00 – To 00 95 00);~~
19. Drawings consisting of **Drawing 20549, pages 1 through 19**, inclusive, with each sheet bearing the following general title: **CSPS Substation Improvements**);
20. Addenda (numbers 1 to 3, inclusive);
21. Attachments to this Agreement (enumerated as follows);
 - a. Contractor's Bid Schedule (page 00 41 00-3);
 - b. Documentation submitted by Contractor prior to Notice of Award (pages ____ to ____, inclusive);

22. The following which may be delivered or issued on or after the Effective Date of the Agreement and are not attached hereto:
- a. Notice to Proceed;
 - b. Written Amendments;
 - c. Work Change Directives;
 - d. Change Orders;
- B. The documents listed in Paragraph 9.01.A are attached to this Agreement (except as expressly noted otherwise above).
- C. There are no Contract Documents other than those listed above in this Article 9.
- D. The Contract Documents may only be amended, modified, or supplemented as provided in Paragraph 3.04 of the General Conditions.

ARTICLE 10 – MISCELLANEOUS

10.01 Terms

- A. Terms used in this Agreement will have the meanings stated in the General Conditions.

10.02 Assignment of Contract

- A. No assignment by a party hereto of any rights under or interests in the Contract will be binding on another party hereto without the written consent of the party sought to be bound; and, specifically but without limitation, moneys that may become due and moneys that are due may not be assigned without such consent (except to the extent that the effect of this restriction may be limited by law), and unless specifically stated to the contrary in any written consent to an assignment, no assignment will release or discharge the assignor from any duty or responsibility under the Contract Documents.

10.03 Successors and Assigns

- A. Owner and Contractor each binds itself, its partners, successors, assigns, and legal representatives to the other party hereto, its partners, successors, assigns, and legal representatives in respect to all covenants, agreements, and obligations contained in the Contract Documents.

10.04 Severability

- A. Any provision or part of the Contract Documents held to be void or unenforceable under any Law or Regulation shall be deemed stricken, and all remaining provisions shall continue to be valid and binding upon Owner and Contractor, who agree that the Contract Documents shall be reformed to replace such stricken provision or part thereof with a valid and enforceable provision that comes as close as possible to expressing the intention of the stricken provision.

10.05 Contractor's Certifications

- A. Contractor certifies that it has not engaged in corrupt, fraudulent, collusive, or coercive practices in competing for or in executing the Contract. For the purposes of this Paragraph 10.05:
1. "corrupt practice" means the offering, giving, receiving, or soliciting of anything of value likely to influence the action of a public official in the bidding process or in the Contract execution;
 2. "fraudulent practice" means an intentional misrepresentation of facts made (a) to influence the bidding process or the execution of the Contract to detriment of Owner, (b) to establish Bid or Contract prices at artificial non-competitive levels, or (c) to deprive Owner of the benefits of free and open competition;
 3. "collusive practice" means a scheme or arrangement between two or more Bidders, with or without the knowledge of Owner, a purpose of which is to establish Bid prices at artificial, non-competitive levels; and
 4. "coercive practice" means harming or threatening to harm, directly or indirectly, persons or their property to influence their participation in the bidding process or affect the execution of the contract.

10.06 M.B.E./W.B.E. Participation

- A. **Indiana State Revolving Fund Loan Program** – This project is being financed in whole or in part by the Indiana State Revolving Fund Loan Programs. The Contractor is required to comply with all federal and state laws, rules, regulations, and contract provisions included in Indiana Finance Authority (IFA) State Revolving Fund (SRF) documents per Article 9 of this agreement

(IFA SRF requirements and forms are available on the IFA SRF website.)

10.07 Other Provisions

- A. None.

IN WITNESS WHEREOF, Owner and Contractor have signed this Agreement (**Contract/Resolution Number 2283-2010**). One counterpart has been delivered to Owner, and one counterpart delivered to Contractor. All portions of the Contract Documents have been signed or have been identified by Owner and Contractor or on their behalf.

This Agreement will be effective on _____, _____ (which is the Effective Date of the Agreement).

CONTRACTOR:

VAUGHN INDUSTRIES, LLC.

BY: _____
(Name)

TITLE: _____

DATE: _____
(Date signed by Contractor)

Address for giving notices:

OWNER:

CITY OF FORT WAYNE

BY: _____
THOMAS C. HENRY, MAYOR

BOARD OF PUBLIC WORKS

BY: _____
ROBERT P. KENNEDY, CHAIR

BY: _____
MIKE AVILA, MEMBER

BY: _____
KUMAR MENON, MEMBER

ATTEST: _____
VICTORIA EDWARDS, CLERK

DATE: _____
(Date signed by Board)

ACKNOWLEDGMENT (CONTRACTOR)

STATE OF INDIANA)

SS:)

COUNTY OF ALLEN)

BEFORE ME, a Notary Public, in and for said County and State, this _____ day of _____, _____, personally appeared the within named _____ who under penalty of perjury says that he is the _____ of _____ and as such duly authorized to execute the foregoing instrument and acknowledged the same as the voluntary act and deed of _____ for the uses and purposes therein set forth.

IN WITNESS WHEREOF, hereunto subscribed my name, affixed my official seal.

Notary Public

Printed Name of Notary

My Commission Expires:

Resident of _____ County

ACKNOWLEDGMENT (OWNER)

STATE OF INDIANA)

SS:)

COUNTY OF ALLEN)

BEFORE ME, a Notary Public, in and for said County and State, this _____ day of _____, _____, personally appeared the within named Thomas C. Henry, Robert P. Kennedy, Mike Avila, Kumar Menon and Victoria Edwards, by me personally known, who being by me duly sworn said that they are respectively the Mayor of the City of Fort Wayne, and Chairman, Members, and Clerk of the Board of Public Works of the City of Fort Wayne, Indiana, and that they signed said instrument on behalf of the City of Fort Wayne, Indiana, with full authority so to do and acknowledge said instrument to be in the voluntary act and deed of said City for the uses and purposes therein set forth.

IN WITNESS WHEREOF, hereunto subscribed my name, affixed my official seal.

Notary Public

Printed Name of Notary

My Commission Expires:

Resident of _____ County

CITY OF FORT WAYNE, INDIANA

Vaughn Industries, LLC
(Vendor Name)

VENDOR DISCLOSURE STATEMENT RELATING TO:

1. **FINANCIAL INTERESTS;**
2. **POTENTIAL CONFLICTS OF INTERESTS;**
3. **CURRENT AND PENDING CONTRACTS OR
PROCUREMENTS**

Vendors desiring to enter into certain contracts with the City of Fort Wayne, Indiana (the "City") shall disclose their financial interests, potential conflicts of interest and current and pending contract or procurement information as set forth below.

The following disclosures by Vendors are required for all contracts with annual payments by the City in the amount of \$25,000 or more. Vendors shall disclose the financial interests, potential conflicts of interest and other contract and procurement information identified in Sections 1, 2 and 3 below as a prerequisite for consideration of an award of contract by the City. This Disclosure Statement must be completed and submitted together with Vendor's contract, bid, proposal, or offer.

A publicly traded entity may submit its current 10K disclosure filing in satisfaction of the disclosure requirements set forth in Sections 1 and 2 below.

Section 1. Disclosure of Financial Interest in Vendor

- a. If any individuals have either of the following financial interests in Vendor (or its parent), please check all that apply and provide their names and addresses (attach additional pages as necessary):

- (i) Equity ownership exceeding 5% ☒ (X)
- (ii) Distributable income share exceeding 5% ☐
- (iii) Not Applicable (If N/A, go to Section 2) ☐

Name: Timothy L. Vaughn 42.55%

Name: Gregg M. Vaughn 41.3%

Address: 1201 E. Findlay St., Carey, OH 43316

Address: 1201 E. Findlay St.
Carey, OH 43316

- b. For each individual listed in Section 1a., show his/her type of equity ownership: sole proprietorship ☐
stock ☐ partnership interest ☐ units (LLC) ☒ (X) other (explain) _____

- c. For each individual listed in Section 1a., show the percentage of ownership interest in Vendor (or its parent):
ownership interest: 42.55 % 41.3%

Section 2. Disclosure of Potential Conflicts of Interest (not applicable for vendors who file a 10K)

For each individual listed in Section 1a., check "Yes" or "No" to indicate which, if any, of the following potential conflict of interest relationships apply. If "Yes", please describe using space under applicable subsection (attach additional pages as necessary):

- a. City employment, currently or in the previous 3 years,
including contractual employment for services.

Yes _____ No X

- b. City employment of "Member of Immediate Family" (defined herein as: spouse, parent, child or sibling) including contractual employment for services in the previous 3 years. Yes _____ No. X
- c. Relationship to Member of Immediate Family holding elective City office currently or in the previous 3 years. Yes _____ No. X
- d. Relationship to Member of Immediate Family holding appointive City office currently or in the the previous 3 years Yes _____ No X

Section 3. DISCLOSURE OF OTHER CONTRACT AND PROCUREMENT RELATED INFORMATION

- a. Does Vendor have current contracts (including leases) with the City? Yes _____ No X
- b. If "Yes", identify each current contract with descriptive information including purchase order or contract reference number, contract date and City contact using space below (attach additional pages as necessary).
- c. Does Vendor have pending contracts (including leases), bids, proposals, or other pending procurement relationship with the City? Yes _____ No. X

If "Yes", identify each pending matter with descriptive information including bid or project number, contract date and City contact using space below (attach additional pages as necessary).

Section 4. CERTIFICATION OF DISCLOSURES

In connection with the disclosures contained in Sections 1, 2 and 3 Vendor hereby certifies that, except as described in attached Schedule A:

- Vendor (or its parent) has not, within the five (5) year period preceding the date of this Disclosure Statement, been debarred, suspended, proposed for debarment declared ineligible or voluntarily excluded from any transactions by any federal, state or local unit of government;
- No officer or director of Vendor (or its parent) or individual listed in Section 1a. is presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any offense;
- Vendor (or its parent) has not, within the five (5) year period preceding the date of this Disclosure Statement, had one or more public transactions (federal, state or local) terminated for cause or default;
- No officer or director of Vendor (or its parent) or individual listed in Section 1a. has, within the five (5) year period preceding the date of this Disclosure Statement, been convicted, adjudged guilty, or found liable in any criminal or civil action instituted by the City, the federal or state government or any other

unit of local government; and

- e. Neither Vendor, nor its parent, nor any affiliated entity of Vendor, or any of their respective officers, directors, or individuals listed in Section 1a. is barred from contracting with any unit of any federal, state or local government as a result of engaging in or being convicted of: (i) bid-rigging; (ii) bid-rotating; or (iii) any similar federal or state offense that contains the same elements as the offense of bid-rigging or bid-rotating
- f. Pursuant to IC 5-22-16.5, Vendor hereby certifies they do NOT provide \$20 million dollars or more in goods or services to the energy sector of Iran. Vendor also certifies it is not a financial institution that extends \$20 million dollars or more in credit that will provide goods or services to the energy sector of Iran or extends \$20 million dollars or more in credit to a person identified on the list as a person engaging in investment activities in Iran.

The disclosures contained Sections 1, 2 and 3 and the foregoing Certifications are submitted by

Vaughn Industries, LLC

(Name of Vendor)

1201 E. Findlay St., Carey, OH 43316

Address

() 419-396-3900

Telephone

mplotts@vaughnindustries.com

E-Mail Address

The individual authorized to sign on behalf of Vendor represents that he/she: (a) is fully informed regarding the matters pertaining to Vendor and its business; (b) has adequate knowledge to make the above representations and disclosures concerning Vendor; and (c) certifies that the foregoing representations and disclosures are true and accurate to the best of his/her knowledge and belief.

Name (Printed) Matthew Plotts

Title President

Signature

Matthew Plotts

Date October 03, 2012

NOTE: FAILURE TO COMPLETE AND RETURN THIS FORM WITH YOUR DOCUMENTATION MAY RESULT IN YOUR CONTRACT, OFFER, BID OR PROPOSAL BEING DISQUALIFIED FROM CONSIDERATION.

Interoffice Memo

Date: **October 11, 2012**
To: **Common Council Members**
From: **Douglas J Fasick, Sr. Program Manager, City Utilities Engineering / PDS**
RE: **Combined Sewer Pump Station (CSPS) Electrical Substation Improvements
Res. #2283-2010, W.O. #75783**

Council District # City-Wide

The contractor shall furnish all labor, insurance, equipment, materials and power for the completion of the project: CSPS Electrical Substation Improvements” as follows: CSPS substation is presently fed by two 34.5 kV AEP/IM transmission lines which terminate on a common 34.5 kV bus. This bus feeds the City-owned existing Power Transformers. This project is to remove existing substation equipment, structures, foundation, etc., and install two (2) new 14 MVA 34.5 kV - 4160/2400 Volt Power Transformers, 69 kV Circuit Switchers, concrete foundations, 5 kV underground duct banks, control conduits, grounding, site stone and fencing.

Implications of not being approved: The existing electrical substation does not have enough electrical capacity to meet the additional electrical equipment being installed as a part of this improvement to the Combined Sewer Pump Station (CSPS). Therefore, CSPS can't meet 2013 Consent Decree milestones

If Prior Approval is being Requested, Justify: N/A

This project was advertised to contractors on August 31, 2012, September 7, 2012 in the Journal Gazette and the News Sentinel and September 5, 2012 in Frost Illustrated, Inc.

The contract for Resolution # 2283-2010 awarded to Vaughn Industries for \$881,343.35 was the lowest most responsive bidder of 2 bidders and 8% above the Engineer's estimate of \$815,925.29. The second lowest bidder was \$189,049.65 above Vaughn Industries, LLC. bid.

The cost of said project funded by SRF

Council Introduction Date: October 23, 2012

CC: BOW
Matthew Wirtz
Diane Brown
Construction Manager
Chrono