

BILL NO. S-17-05-01

SPECIAL ORDINANCE NO. S-_____

AN ORDINANCE approving CONSTRUCTION
CONTRACT - WPCP DIGESTERS 3 & 4
IMPROVEMENTS - RESOLUTION/WORK ORDER
#76189 - (\$6,424,000.00) between OTTENWELLER
CONTRACTING, LLC and the City of Fort Wayne,
Indiana, in connection with the Board of Public Works.

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

SECTION 1. That the CONSTRUCTION CONTRACT - WPCP
DIGESTERS 3 & 4 IMPROVEMENTS - RESOLUTION/WORKORDER
#76189 - by and between OTTENWELLER CONTRACTING, LLC and the City
of Fort Wayne, Indiana, in connection with the Board of Public Works, is
hereby ratified, and affirmed and approved in all respects, respectfully for:

All labor, insurance, material, equipment, tools, power,
transportation, miscellaneous equipment, etc., necessary for
WPCP DIGESTERS 3 & 4 IMPROVEMENTS ACCORDING
TO THE AGREEMENT ATTACHED HERETO AND MADE
A PART HEREOF MARKED EXHIBIT A;

involving a total cost of SIX MILLION FOUR HUNDRED TWENTY-FOUR
THOUSAND AND 00/100 DOLLARS - (\$6,424,000.00). A copy of said
Contract is on file with the Office of the City Clerk and made available for
public inspection, according to law.

SECTION 2. That this Ordinance shall be in full force and effect
from and after its passage and any and all necessary approval by the Mayor.

Council Member

APPROVED AS TO FORM AND LEGALITY

Carol Helton, City Attorney

Interoffice Memo

Date: April 20, 2017
To: Common Council Members
From: Mike Kiester, City Utilities Engineering
RE: WPCP Digesters 3 & 4 Improvements
Resolution/Work Order #76189

Council District – City Wide

The contractor shall furnish all labor, insurance, equipment, materials and power for the completion of the project: “WPCP Digesters 3 & 4 Improvements” as follows: This project will include:

1. **Improvements to Digesters 3 and 4 including:**
 - a. Removal of existing digester floating covers and appurtenances
 - b. Removal of existing digested sludge recirculation pumps and associated sludge piping and valve system
 - c. Removal of existing sludge transfer pumps and associated sludge piping and valve system
 - d. Removal of existing digester gas piping and appurtenances
 - e. Provision of new fixed digester covers
 - f. Provision of new gas piping and appurtenances
 - g. Provision of new linear motion mixers for the digesters
 - h. Provision of new digested sludge recirculation pumps and associated sludge piping and valve system
 - i. Provision of new sludge transfer pumps and associated sludge piping and valve system
 - j. Other process-mechanical and piping Work
 - k. Provision of cast-in-place concrete structures
 - l. Associated general construction Work, process instrumentation and control Work, electrical Work, and site Work including yard piping
2. **New heating system for Digesters 2 and 3 including:**
 - a. Provision of new digested sludge recirculation pumps and associated sludge piping and valve system
 - b. Provision of new hot water recirculation pumps and associated piping and valve system
 - c. Associated process instrumentation and control Work, electrical Work, and other Work
3. **Improvements to Digester No. 6 including new digested sludge overflow facilities and new gas piping and appurtenances.**

Implications of not being approved: Digesters are used to treat solids removed from the wastewater. Infrastructure and equipment associated with Digesters 3&4 need restored and replaced to provide reliable and effective solids treatment in terms of pumping, recirculation, heating, mixing, and biogas handling.

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

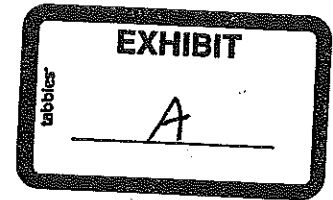
This project was advertised to contractors on February 3, 2017, February 10, 2017 in the Journal Gazette and the News Sentinel and February 8, 2017 in Frost Illustrated, Inc.

The contract for Resolution #76189 awarded to Ottenweller Contracting for \$6,424,000.00 was the lowest responsive bidder of 2 bidders and was 4% below the Engineer's estimate of \$6,701,457.00. The second lowest bidder was \$200,095.00 above Ottenweller Contracting's bid.

The cost of said project funded by Sewer State Revolving Funds.

Council Introduction Date: May 09, 2017

CC: BOW
Matthew Wirtz
Diane Brown
Construction Manager



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

Resolution 76189

Work Order 76189

THIS AGREEMENT is by and between the Board of Public Works of the City of Fort Wayne, Indiana (hereinafter called Owner) and Ottenweller Contracting, 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:

1. Improvements to Digesters 3 and 4 including:

- a. Removal of existing digester floating covers and appurtenances
- b. Removal of existing digested sludge recirculation pumps and associated sludge piping and valve system
- c. Removal of existing sludge transfer pumps and associated sludge piping and valve system
- d. Removal of existing digester gas piping and appurtenances
- e. Provision of new fixed digester covers
- f. Provision of new gas piping and appurtenances
- g. Provision of new linear motion mixers for the digesters
- h. Provision of new digested sludge recirculation pumps and associated sludge piping and valve system
- i. Provision of new sludge transfer pumps and associated sludge piping and valve system
- j. Other process-mechanical and piping Work
- k. Provision of cast-in-place concrete structures
- l. Associated general construction Work, process instrumentation and control Work, electrical Work, and site Work including yard piping

2. New heating system for Digesters #2 and #3 including:

- a. Provision of new digested sludge recirculation pumps and associated sludge piping and valve system
- b. Provision of new hot water recirculation pumps and associated piping and valve system
- c. Associated process instrumentation and control Work, electrical Work, and other Work

3. Improvements to Digester No. 6 including new digested sludge overflow facilities and new gas piping and appurtenances.

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:

WATER POLLUTION CONTROL PLANT
DIGESTER 3 & 4 IMPROVEMENTS

ARTICLE 3 -- ENGINEER

- 3.01 The Project has been designed by Donohue & Associates, Inc. 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 616 days 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 672 days after the date when the Contract Times commence to run.
- B. Definitions of Substantial Completion for this Work shall consist of satisfactory completion of the Work, in the opinion of the Engineer, including systems demonstrations and delivery of all guarantees, operation and maintenance data, certificates of installation services, certificates of instructional services, record documents as specified in Division 1, General Requirements, and other documents and each of these has been approved by the Engineer. Engineer will not prepare a tentative certificate of Substantial Completion until (a) operation and maintenance data has been submitted and approved in accordance with Section 01 78 23, Operations and Maintenance Data, (b) instructional services have been provided and approved in accordance with Section 01 79 23, Instruction of Operations and Maintenance Personnel, and (c) systems demonstrations have been satisfactorily completed in accordance with Section 01 79 13, System and Facility Performance Testing Procedures.

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 \$1,500 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 \$1,500 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. Owner accepts/rejects the following alternates as described in Section 01 23 00 and indicated in the Bid Form:

- | | | |
|------------------------------|--------------|-------------------------------------|
| 1. Accept /Reject | Alternate 1: | Ovivo Fixed Steel Digester Covers |
| 2. Accept /Reject | Alternate 2: | WesTech Fixed Steel Digester Covers |

3. ~~Accept/~~ Reject Alternate 3: Walker Fixed Steel Digester Covers
 4. ~~Accept/~~ Reject Alternate 4: Wemco Dry Pit Chopper Pump Equipment
- 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.

UNIT PRICE WORK

See Attachment A (Contractor's Bid Schedule) of the Bid Form A2 00 41 00-3

Six Million, Four Hundred Twenty Four Thousand Dollars and Zero Cents

(\$6,424,000.00)

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.
- L. In connection with the performance of the Process Instrumentation and Control Work specified in Section 40 61 13, Contractor agrees to enter into a direct contract with the System Supplier named by the Owner in the Contract Documents. The Contractor agrees that the direct contract between the Contractor and the System Supplier will be the System Supplier Subcontractor Agreement included in the Contract Documents, which includes the price identified by the Owner in the Bid Schedule.

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. SRF Loan Program DBE Packet (pages 00 54 61-1 to 00 54 61-4, inclusive);
- 6. SRF Attachment B – Davis-Bacon Act Contract Provisions (pages 00 54 65-1 to 00 54 65-8, inclusive);
- 7. SRF Attachment C – Wage Fringe Benefit Certification Contract Provisions (page 00 54 66);
- 8. SRF Attachment E – Suspension and Debarment Contract Provisions (page 00 54 68-1);
- 9. SRF Attachment I – AIS Contract Provisions
- 10. SRF Attachment J – AIS Contractor Certifications
- 11. SRF EPA Form OEE-1 (page 00 54 72-1);
- 12. SRF EPA Form OEE-2 (page 00 54 73-1);
- 13. Performance Bond Form (pages 00 61 13.13-1 to 00 61 13.13-2, inclusive);
- 14. Payment Bond Form (pages 00 61 13.16-1 to 00 61 13.16-2, inclusive);
- 15. Guaranty Bond Form (pages 00 61 31-1 to 00 61 31-2, 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 00-12, inclusive);
18. Specifications as listed in the Project Manual Table of Contents
19. Appendices as listed in the Project Manual Table of Contents including Appendix A -- Wage Rates, Appendix B -- Certificates, and Appendix C-- System Supplier Subcontractor Agreement;
20. Exhibits as listed in the Project Manual Table of Contents;
21. Drawings consisting of a cover sheet and sheets numbered 2 through 89, inclusive, with each sheet bearing the following general title: Water Pollution Control Plant, Digesters 3 & 4 Improvements;
22. Addenda (numbers 1 to 3, inclusive);
23. Attachments to this Agreement (enumerated as follows);
 - a. Contractor's Bid Schedule (page A2 00 41 00-3);
 - b. Documentation submitted by Contractor prior to Notice of Award (pages ____ to ____, inclusive);
24. 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.

(continued on next page)

IN WITNESS WHEREOF, Owner and Contractor have signed this Agreement (Contract/Resolution Number 76189. 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:

Ottewille Contracting, LLC.

BY: _____

(Name)

Ryan Ottewille

TITLE: President

DATE: April 17, 2017

(Date signed by Contractor)

Address for giving notices:

3010 Independence Dr.
Fort Wayne, IN 46808

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: _____

LYNDSEY RICHARDS, 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 Ryan Ottenweller who under penalty of perjury says that he is the President of Ottenweller Contracting and as such duly authorized to execute the foregoing instrument and acknowledged the same as the voluntary act and deed of City of Fort Wayne for the uses and purposes therein set forth.

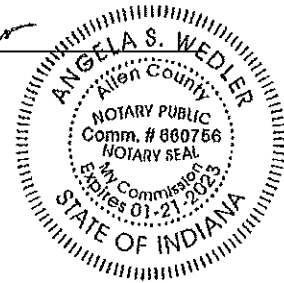
IN WITNESS WHEREOF, hereunto subscribed my name, affixed my official seal.

Angela S. Wedler
Notary Public

Angela S. Wedler
Printed Name of Notary

My Commission Expires: January 21, 2023

Resident of Allen 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 Lyndsey Richards, 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

Ottenweller Contracting, LLC.

(Vendor Name)

VENDOR DISCLOSURE STATEMENT RELATING TO:

- 1. FINANCIAL INTERESTS;**
- 2. POTENTIAL CONFLICTS OF INTEREST;**
- 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 \$50,000 or more. Vendors shall disclose their 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 for a contract awarded by the City. This Disclosure Statement must be completed and submitted together with the 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% ☐

(ii) Distributable income share exceeding 5% ☐

(iii) Not Applicable (If N/A, go to Section 2) ☒

Name: _____

Name: _____

Address: _____

Address: _____

- b. For each individual listed in Section 1a. show his/her type of equity ownership:

sole proprietorship ☐ stock ☐

partnership interest ☐ units (LLC) ☐

other (explain) _____

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

Name: _____ %

Name: _____ %

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

- c. Relationship to Member of Immediate Family holding appointive City office currently or in 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 X No _____

If "Yes", identify each current contract with descriptive information including purchase order or contract reference number, contract date and City contact below (attach additional pages as necessary).

WPCP Effluent Aeration Imp WO#76062/Chris Ravenscroft/10.14.15

Plant 3 Flocculation Equipment WO#66627P/02.08.17

Plant 3 Floc Improvements Phase 4/WO#66627/03.07.17

Old Fort Riverbank Restoration PO #16800059-000/Alec Johnson/11.30.16

St. Joe Tainter Gate Replacement PO #16574046-000/10.05.16

b. 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).

c. Does vendor have any existing employees that are also employed by the City of Fort Wayne?

Yes _____ No X

If "Yes", provide the employee's name, current position held at vendor, and employment payment terms (hourly, salaried, commissioned, etc.).

Name / Position / Payment Terms:

Name / Position / Payment Terms:

Name / Position / Payment Terms:

d. Does vendor's representative, agent, broker, dealer or distributor (if applicable) have any existing employees that are also employed by the City of Fort Wayne? For each instance, please provide the name of the representative, agent, broker, dealer or distributor; the name of the City employee, and the payment terms (hourly, salaried, commissioned, etc.).

Company / Name / Payment Terms: _____

Company / Name / Payment Terms: _____

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:

- 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;
- b. 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;
- c. 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;

- d. 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

Ottenweller Contracting, LLC.

(Name of Vendor)

3010 Independence Drive

Fort Wayne, IN 46808

Address

(260) 484-9183

Telephone

ryan.ottenweller@ottenweller.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) Ryan Ottenweller

Title President

Signature 

Date March 22, 2017

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