

**ADULT DAY CARE/ALZEIMER PROVIDERS
REQUEST FOR QUALIFICATIONS**

for Senior/Adult Care Providers and their teams seeking to establish a social model adult day care/Alzheimer program at the former children's day care building and grounds at Stotzky Park, Columbus Avenue, Town of Riverhead, New York

Issued by: The Town of Riverhead
Sean M. Walter, Supervisor
Dated: Thursday, August 10, 2017
RETURNABLE ON Tuesday, September 12, 2017
NO LATER THAN 10:00 a.m.

Diane M. Wilhelm, Town Clerk
Riverhead Town Hall
200 Howell Avenue
Riverhead, NY 11901

For schedule of events please see Selection Process Schedule

CONTACT PERSON:
Judy Doll, Department Head
Town of Riverhead Senior Citizen Programs
200 Howell Avenue
Riverhead, New York 11901

Tel (631)722-4444 x241
Fax (631) 722-8761

Email: doll@townofriverheadny.gov
Website: www.townofriverheadny.gov

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NOTICE

The purpose of this Request for Qualifications (“RFQ”) is to solicit statements of qualifications from adult day care/Alzheimer providers and/or teams for the establishment of a social model adult day care program at the former children’s day care building & grounds located at Stotzky Park, Columbus Avenue, Riverhead, New York. NOTE: IT IS THE INTENTION OF THE TOWN TO HAVE SHARED USE OF THE BUILDING. THE BUILDING WILL CONTINUE TO BE AN INTERGENERATIONAL BUILDING.

This RFQ is not a legally binding document, but an invitation to submit Statements of Qualifications on the terms and conditions described herein. The Town of Riverhead (hereinafter referred to as “the Town” or “Riverhead”), shall not be under any obligation to a respondent unless and until the Town and the selected respondent enter into a legally binding agreement. In no event shall the Town be responsible for any costs, expenses or fees incurred by or on behalf of any respondent in connection with this RFQ. Respondents shall be solely responsible for all such costs, expenses and fees. The Town is not by virtue of this RFQ responsible for acquiring or assembling property, providing information on property values, or assisting with the acquisition of property. However, upon approval of a Respondent under this RFQ, the Town may undertake renovations to the subject building and exterior space.

If a respondent’s submission contains any misrepresentations of information, either willful or inadvertent, it may be cause for immediate elimination of the respondent from further consideration. Any such misrepresentation made at any time throughout the process by the respondent will also be cause for termination of any or all contracts subsequently executed between the Town and the respondent.

The Town will not pay any fees or commissions to parties acting as agents, brokers, consultants, or contractors as part of this transaction. Payments to any agents or brokers will be the responsibility of the respondent.

The Town reserves the right at any time, prior to the full execution of a contract, to modify the scope of this RFQ, request additional or clarifying information from all or any respondent, terminate this RFQ process, and reject or not consider all or any part of any response to this

RFQ for any reason or no reason. The Town, in its sole discretion, reserves the following rights and options:

1. To abandon the RFQ process, including the right to decline to accept submission of any respondent related to this RFQ, for any reason or no reason.
2. To accept the Statement that, in the sole judgment of the Town, best serves the interests of the Town.
3. To reject any or all Statements.
4. To change or alter the terms of this RFQ.
5. To undertake all actions necessary to clarify or verify information provided by any respondent.
6. To interview any, all or none of the respondents.

I. Introduction

The Town of Riverhead wishes to solicit qualifications for the purpose of selecting a from adult day care/Alzheimer providers and/or teams of such providers, for the establishment of a social model adult day care program at the former children's day care building & exterior grounds located at Stotzky Park, Columbus Avenue, Riverhead, New York. Through this RFQ, the Town seeks qualifications from experienced adult day care and/or Alzheimer social program providers for the re-use of approximately 3,000 square foot building formerly used a child day care facility. The building together with fenced outdoor space are located at Stotzky Park on Columbus Avenue, Riverhead, New York. The building and fenced area are located next to the ballfields used by Riverhead Little League at Stotzky Park. Adjacent parking is located in close proximity to the 3,000 foot building. The Town is of the opinion that the proposed re-use will complement and enhance the current Senior Citizen Program and Intergenerational Program.

NOTE: IT IS THE INTENTION OF THE TOWN TO HAVE SHARED USE OF THE BUILDING. THE BUILDING WILL CONTINUE TO BE AN INTERGENERATIONAL BUILDING.

The proposed redevelopment activities shall be referred to collectively as the “Project”. The adult day care/Alzheimer providers and teams responding to this request is/are referred to as the “Respondent.”

Prospective respondents must submit development qualifications in response to this Request for Qualifications (RFQ), in the manner prescribed herein.

A Statement of Qualifications that includes, but is not limited to; similar completed projects, proposed social model adult day care/dementia/educational strategies, and comparable social model adult day care/Alzheimer/dementia programs and facilities.

A preliminary plan for site re-use is to be included in the qualifications package.

II. Development Objectives

The overall goal of this project is to seek qualifications from respondents for the re-use of the building measuring approximately 3,000 square feet and the outdoor space as social model adult day care program. The building was formerly used as a children’s day care building & grounds located at Stotzky Park, Columbus Avenue, Riverhead, New York. The building is adjacent to Town owned parking lot and ballfields used by Riverhead Little League.

This project is intended to support the current intergenerational program under the Town Senior Citizen and Recreation Programs. The project site would serve families with older adult family members or those with Alzheimers and/or dementia. Respondents are sought to establish a program that would help families maintain their older members or those with Alzheimers/dementia for as long as possible at home. The project should include education and supportive services to caregivers and daily exercises to stimulate cognitive capacities that are proposed to serve those within the service area on Eastern Long Island. Redevelopment of the project site will bolster the current programming and services of the Town of Riverhead Senior Citizen and Recreation programs.

Objectives of the redevelopment of this area include:

- Create a social model adult day care program in a vibrant and shared-use setting that will meet the needs of the intergenerational residents of Riverhead and those within the intended service area;
- Secure a feasible and sustainable program;

- Provide assistance to families with older members and/or those suffering with Alzheimers/dementia.

III. Development Site

The proposed development site is the Town owned building of about 3,000 square feet and fenced in outdoor area located at Stotzky Park and formerly used as child care facility. The building and grounds are located at Columbus Avenue and are adjacent to the ballfields used by Riverhead Little League at Stotzky Park, Riverhead.

The building information is included as Attachments A.

IV. Site Use and Characteristics

The 3,000 square foot building and fenced outdoor area site are currently used by the Town for intergenerational programs. The building has been improved with nine rooms, including a kitchen, and a reception area. A sketch of the building is attached as Attachment A.

Respondents should be mindful of other opportunities that may be presented by proximity to Stotzky Park.

The Site Area has an adequate supply of parking in close proximity to the 3,000 square foot building. The building and adjacent parking are on grade.

V. Neighborhood and Background Information

Town of Riverhead

THE TOWN OF RIVERHEAD is a rural municipality located in on the east end of Suffolk County, Long Island, New York with a population of approximately 34,000. Riverhead is within a commutable distance of all of Suffolk and Nassau County. Located 70 miles from New York City, Riverhead is bounded by the Peconic River and the Great Peconic Bay on the south, and the Long Island Sound on the north. A vibrant historic downtown with walkable neighborhoods connected to the Peconic River is located within 10 minutes by car from Calverton Enterprise Industrial Park. Calverton is one of the hamlets within Riverhead: other hamlets within the Town include Manorville, Laurel, Baiting Hollow, Aquebogue, Jamesport, Northville and Wading River.

Nearly twenty percent (20%) of the persons residing in Riverhead are 65 year of age or older.¹ This trend supports the need within Riverhead for the project. In addition to Town of

¹ Source being the 2010 US Census

Riverhead Board Members and staff, we expect the availability and participation upon the Town's request of many of the non-profits, other governmental entities and funders within that maintain on-going relationships with the Town. The Town enjoys strong support of local, county, state and federal elected officials.

VI. Design/Development Concept

It is the responsibility of the adult day care/Alzheimer providers to this RFQ and their team to review existing conditions and provide a design and development plan for the re-use of the building measuring approximately 3,000 square feet and the outdoor space as social model adult day care program.

VII. Environmental Conditions

It is the responsibility of the adult day care/Alzheimer providers and their team to review environmental conditions of the Project Site.

VIII. Submission Requirements

Ten (10) copies of the respondent's Statement must be submitted in hard copy (with a CD containing a PDF file of the same) to the **Attention of:**

**Diane M. Wilhelm, Town Clerk
Riverhead Town Hall
200 Howell Avenue
Riverhead, NY 11901**

by Tuesday, September 12, 2017 NO LATER THAN 10:00 a.m.

The Qualification package may be hand delivered or mailed to the above address. Respondent Statements will not be accepted after 10:00 am on the date of submission. **NO EXCEPTIONS SHALL BE GRANTED.** For additional information please call 631-722-4444 x 241.

The total length of the Statement should not exceed 25 pages inclusive of all components, but exclusive of the following: the annual financial statement(s) of the developers/development teams, the Affidavit of Truthfulness, and all documentation about the respondents' team.

Subsequent to the receipt of Statements, the Town may choose to conduct interviews of some, none or all Respondents in order to assist in the making of its final determination. Should such

interview be required, the affected Respondents shall be notified in writing of the date and time of the interview and as to the nature of issues to be discussed during the interview.

Items to be included

To be considered, the **REQUEST FOR INFORMATION QUESTIONNAIRE** must be completed and signed (Pages 16-24). Other information is welcome, within the limitations of length outlined elsewhere in this RFQ.

IX. Response Presentation

It is preferred that a statement of qualifications be submitted on 8 1/2" x 11" paper, neatly typed, double-sided with no less than 1/2" top, bottom, left and right margins and single-spaced with a 12 point typeface. Each page, including exhibits and attachments, should be clearly and consecutively numbered at the bottom center of each page.

1. Re-use Concept & Statement of Vision

A narrative statement reflective of your thoughts and concepts as to how the site may best be reused to realize the Town and community's goals. Describe the proposed social adult day care/Alzheimer uses, including daily programming, hours of operation, character, and size. The narrative statement should describe the terms of a proposed lease or license; including but not limited to, length of time of the lease or license, amount of compensation, tenant/licensee's obligations. Describe the benefits the re-use will provide to the Town and local community and the project's compatibility with the existing and proposed sharing with the Town Intergenerational Department. The statement should provide a sense of uses, themes and strategies that the respondent plans to employ in this re-use. It should speak to the goals expressed in this RFQ and provide some sense of how the respondent's organization is uniquely qualified to fulfill these goals. Detailed renderings or plans are not required at this stage of the process.

2. Respondent Statement of Qualification

Describe Respondent's and or/ Respondent Team's qualifications and capabilities to redevelop the project site and prior experience on projects of similar size and scope. Include the organizational structure of Respondent/ Respondent teams, principals, and contact information. At a minimum, the Statement should provide a list of at least two projects of similar scope done since January 1, 2000, of which at least two should primarily involve

redevelopment in an urban/suburban setting. Statement should also include up to three (3) references from Municipal Officials from a community in which the developer has completed a project within the last five (5) years. Respondents should have a minimum of five (5) years experience doing projects of similar size and scope. Please identify when such experience involves municipalities in New York.

3. Development Schedule

An anticipated development schedule is required to identify the point in time at which the following items will occur:

- Design Completion for re-use of the Project Site
- Negotiation of Terms and Conditions of Leasing/Licensing of the Project Site
- Scheduled Dates of Public Approvals
- Commencement of social adult day care/Alzheimer uses of the Project Site

4. Project Team & Skills

Provide names of individuals/firms including the respondent, co-respondent (if applicable), management company, and other professionals.

The qualifications package should address the organizational structure of the Project Team including the specific role and responsibilities of each member and their relationship to the project. The background, experience, and qualifications of the Project Manager and the individuals with day to day responsibilities for execution of the project should be included and clearly identified within the Qualifications package. Please include specific examples, if any, where team members have collaborated on previous projects.

Please provide a brief resume of the individuals in your firm(s) who would be responsible for the implementation of the Project from a supervisory or management perspective, indicating the senior officer (Team Manager). Provide a brief resume for each person that would be assigned to the Project in a supervisory or management capacity and describe his/her experience in rendering services of the nature required by the Project. Indicate the role of each such individual in implementing the Project and include an organization chart depicting the relationship between all personnel on the project team. Information on the staffing of your proposed team of consultants and professionals (e.g. architects, planners, and engineers) is welcome and encouraged.

Please provide an indication of those skills or expertise that set your firm(s) or team members, apart from others in this field (e.g. historic architecture preservation, brownfield redevelopment certification).

5. Experience with re-use, social adult day care/Alzheimer uses – Describe your firm's/firms' experience in the development of adult day care/Alzheimer programs/facilities that are comparable and relevant to Riverhead.

6. References - Provide the names, addresses and phone numbers of three professionals within the social adult day care/Alzheimer community, other than clients or former principal employees, who are qualified to comment on the quality of your firm's/firms' operation. Indicate the basis of each reference's knowledge of your firm(s).

7. Financial capacity

All respondents must provide evidence of its ability to finance, or obtain sources of financing for the proposed re-use of the 3,000 square foot. Please provide information regarding the financial condition of your firm along with bank and credit references.

Documents under this section may be submitted under a separate cover to ensure confidentiality. If you choose to submit this information separately, please note it clearly in the appropriate section in the RFQ submission.

The financial submission should include:

- Certified financial statements of the parent company of the principal developer for the last three years. Financial statements should be complete and include a balance sheet, profit and loss statement, statement of cash flow and notes to the statements.
- Dun and Bradstreet report or ID number of parent company of principal developer, if applicable.
- Narrative describing a current or outstanding litigation pending against the respondent or any members of its team.
- List of prior debt involving monetary defaults, bankruptcies, or foreclosures.

Please provide a written description of the firm's/firms' financial condition and a financial statement for the firm(s) (either reviewed or audited) for the most recently completed fiscal year, and the most recent audited statement of the firm(s).

- Bank reference – Please provide the name, address and contact person for the principal bank utilized by the firm(s).

- Current Projects - Provide a list of all current projects. Please provide a simplified financial structure profile (sources and uses) for the three most comparable developments to Riverhead.
- Affirmative Action/Equal Employment Opportunity (AA/EEO) - It is the policy of Riverhead that Minority Business Enterprise ("MBE") and Women Business Enterprise ("WBE") shall have the maximum practicable opportunity to participate in providing services to Riverhead and Riverhead strongly encourages MBE and WBE participation. Provide a summary of your firm's/firms' accomplishments in the area of AA/EEO and indicate how your firm(s) intends to maximize MBE/WBE participation in this contract.
- Defaults – Please provide a complete list of any and all projects for which the firm(s), for any reason, failed to complete that had been awarded to the firm(s) through a request for qualifications or proposal. Provide explanations in each case as to reasons why the project was not completed.
- Conflicts - Describe any existing or potential legal or other policy conflicts of interest or appearance of conflict of interest your firm(s) may have, or which reasonably might arise, because of your involvement in this engagement. In preparing your response, please be aware that Riverhead frequently engages in transactions involving other entities, including other local governments, school districts and not for profit corporations. Please identify any family and/or business relationship that a principal has with any town employee and/or town public official.
- Authorization for Release of Information – Please provide written authorization to all persons, firm(s) or corporations to furnish such information as may be necessary to verify the representations made in response to this RFQ.
- Other Information - Please discuss any other factors not mentioned above which you believe are relevant to selection of your firm(s) by the Town.
- Affidavit of Truthfulness - The Respondent must include with the response an affidavit attesting to the truth and accuracy of all information submitted in the form as provided in REQUEST FOR INFORMATION QUESTIONNAIRE as is appropriate to the type of company.
- Disclosure Statement – The Respondent must include a completed Disclosure Statement as described in the REQUEST FOR INFORMATION QUESTIONNAIRE.

X. Selection Process and Qualifications - Evaluation Criteria

Each respondent will be evaluated based on the information submitted, on interviews (if any), and on information gathered upon investigation by the Town into the respondent's integrity, reputation and past performance.

All packages deemed acceptable by the Town will be rated by an evaluation committee. The following are criteria that will be used to evaluate qualifications:

Evaluation Criteria	Scoring Weight
Relevant experience and personnel	50
Financial capacity to pursue a project of this size and complexity	20
Quality of the written narrative and its consistency with the Goal	15
Completeness and quality of the Statement	5
Strength of references	5

The evaluation committee may request supplemental information when applicable, including business and personal financial statements from any, all, or none of the respondents. Financial statements and other business confidential information will not be subject to disclosure under Freedom of Information Act (FOIA). **If information protected from disclosure under the FOIA is to be kept confidential, respondents should specify such information, place such information in a separate envelope appropriately marked, and submit such information with the proposal.**

A respondent may be disqualified if any principal or officer of the respondent, or any member of its team, has been charged or convicted of a crime chargeable as a felony within the last five (5) years.

Presentations. The Town, in its sole discretion, may invite one or more respondents to make presentations to clarify proposals. Presentations will be held Riverhead Town Hall, 200 Howell Avenue, Riverhead, New York.

MBE / WBE Participation. It is the Town's policy that women and minority owned business enterprises should have maximum opportunity to participate in any and all components of these revitalization opportunities. All responses must provide information regarding the anticipated use of local firms and MBEs/WBEs. A good faith effort to engage MBEs/WBEs is expected.

Rights Reserved By The Town. The Town reserves the right to contract for all or any part of the services herein and to bid separately any project it feels will be in the best interest of the Town to bid separately, or to make no award, based on the responses to this RFQ. Incomplete proposals will not be considered.

XI. Administrative Information; Additional Submission Requirements

1. **Issue Date.** The issue date of this RFQ is **Thursday, August 10, 2017.** For a schedule of events for this RFQ please see below.
2. **Questions and Inquiries.** Questions and inquiries will be accepted by the Town, but must be in writing and submitted to **Judy Doll** at doll@townofriverheadny.gov. A summary of all substantive questions and answers will be distributed to all parties receiving the RFQ. The closing date for submitting written questions is **Thursday, August 24, 2017.** Responses to all written questions received will be distributed to all recipients of the RFQ on or **before Thursday, August 31, 2017.**
3. **Closing Date For Proposals.** To be eligible for consideration, all respondents must submit the following materials.

ONE (1) ORIGINAL WITH NINE (9) COPIES OF THE PROPOSAL MUST BE IN A SEALED PACKAGE AND RECEIVED BY THE TOWN NO LATER THAN 10:00 AM, TUESDAY, SEPTEMBER 12, 2017.

Respondents who submit their proposals by mail or delivery service should allow sufficient mailing and delivery time to ensure receipt on or before the time and date stated above.

NOTE: THE TOWN WILL NOT REIMBURSE ANY FIRMS FOR ANY COSTS ASSOCIATED WITH THE PREPARATION OF THIS PROPOSAL.

4. **Where To Submit Proposals.** All proposals, whether mailed or hand delivered, must be delivered to:

Riverhead Town Hall
200 Howell Avenue
Riverhead, NY 11901
Attention: Diane Wilhelm, Town Clerk

5. **Public Openings of Proposals.** Proposals will be opened publicly on Tuesday, September 12, 2017 at 10:00 AM at Town Clerk or Town Board Meeting Room. Proposals received after 10:00 AM on September 12, 2017 will **NOT** be considered under any circumstance.
6. **Interviews.** Certain respondents may be invited to present their proposal at a follow-up interview.
7. **Expenses Incurred By Respondent.** The Town shall NOT be responsible for any cost or losses incurred by any respondent at any time in preparing and submitting a proposal or requested supplemental information in response to this RFQ.
8. **Duration of Proposal.** Proposals are to be valid for a period of one hundred and twenty (120) days following final date for submission of proposals as set forth herein. The period may be extended by written mutual agreement between the Town and respondent recommended for award.
9. **Public Information Act Notice.** Respondents should give specific attention to identifying those portions of their proposals that they deem to be confidential, proprietary information or trade secrets and provide any justification of why such material, upon request, should not be disclosed by the Town under the Freedom of Information Law of the State of New York.
10. **Compliance With The Law.** By submitting a proposal in response to this RFQ, the respondent selected for an award agrees that it will comply with all Federal, State, County and local laws, rules, regulations and ordinances applicable to its activities and obligations under this RFQ and any applicable contractual agreements.

XII. Conditions, Terms and Limitations

This RFQ is subject to the specific conditions, terms and limitations stated below.

1. If applicable, valid permits and approvals, as required by applicable Federal, State and local departments and agencies, shall be obtained by the selected respondent prior to commencing work.

2. The continuation of negotiations with a respondent will depend upon satisfaction of the review requirements described in this RFQ, and will be subject to review by the Town.
3. No transaction will be consummated if any principal of the respondent with whom the Town has commenced negotiations is in arrears, or in default upon any debt, lease, contract or obligation to the Town, including, without limitation, real estate taxes and any other municipal liens or charges. The Town reserves the right not to review any proposal by any such respondent.
4. This RFQ does not represent any obligation or agreement whatsoever on the part of the Town, which may only be incurred or entered into by written agreement, and subject to any applicable Federal or State approval.
5. Selection of a respondent's proposal will not create any rights on the respondent's part, including, without limitation, rights of enforcement, equity or reimbursement until an agreement has been signed by the Town and work performed pursuant to it. The terms of said agreement shall govern.
6. The Town reserves the right, in its sole and absolute discretion and at any time, to reject any or all proposals, to withdraw this RFQ, to negotiate with one or more respondent, and/or to negotiate on terms other than those set forth herein (including, without limitation, to parties other than those responding to this RFQ). The Town likewise reserves the right, at any time, to waive compliance with, or to change any of the terms and conditions of, this RFQ, or to entertain modifications or additions to selected proposals.
7. All determinations as to the completeness or compliance of any proposals, or as to the eligibility or qualifications of any respondent, will be within the sole and absolute discretion of the Town.
8. The Town advises all respondents that there is no legal obligation on the part of the Town to use the proposals submitted pursuant to this RFQ as a basis for negotiation with such respondent.

This RFQ and any agreement resulting therefrom are subject to all applicable laws, rules and regulations promulgated by any Federal, State or local authority having jurisdiction over the subject matter thereof, as the same may be amended from time-to-time.

XIII. Selection Process Schedule

The following schedule represents the anticipated timeline for the selection of development proposals, which may be altered by the Town as the need arises:

RFQ formally announced and distributed

Thursday, August 10, 2017

Questions Due	Thursday, August 24, 2017
Response to Questions from Town	Thursday, August 31, 2017
Request for Qualifications due date	Tuesday, September 12, 2017
Town review of submissions	Month of September, 2017
Notification of results of selection process	October/November, 2017

XIV. Attachments

The following documents are available for download at www.townofriverheadny.gov:

- A. Building Plans
- B. Aerial Photo of Project Area
- C. Tax Map of Project Area

REQUEST FOR INFORMATION QUESTIONNAIRE

Please answer all questions. For any question left not answered, please note the exclusion with an N/A or an explanation. In the event, additional pages are needed add as an addendum.

1) Legal Name: _____

2) Address of Place of Business: _____

3) Mailing Address (if different): _____

Federal I.D. No. or Social Security No.: _____

Phone: _____ Fax: _____

Email address: _____

4) The Respondent is a (check one): ___Sole Proprietorship; ___Partnership; ___Corporation

Other (*please describe*): _____

5) If the Respondent is a Joint Venture, or Partnership, please list all partner firms and/or parties to the Joint Venture below. All partners and/or parties listed are also required to individually complete a separate Respondent Responsibility Form.

(i) Partner/Party name: _____

TIN, EIN, or SSN: _____

Percentage of Ownership: _____

(ii) Partner/Party Name: _____

TIN, EIN, or SSN: _____

Percentage of Ownership: _____

6) State or country under whose laws Respondent is organized and year organized:

7) Provide a list of the senior members of the Respondent's management team and the structure of their employment contracts with the Firm. Please include professional biographies for the management team and all other Private Equity investment professionals in the Biography Appendix.

8) Name, title, address and phone number of person to have overall responsibility for this project.

9) List all subcontractors and consultants and provide their qualifications and expected area of jurisdiction within this project.

10) Within the past ten (10) years, has Respondent been declared not responsible?

Yes _____ No _____ If YES, please provide
details: _____

11) Has Respondent been debarred, suspended, or otherwise disqualified from bidding, proposing, or contracting?

Yes _____ No _____ If YES, please provide
details: _____

12) Is there a proceeding pending relating to Respondent's responsibility, debarment, suspension, or qualification to receive a public contract?

Yes _____ No _____ If YES, please provide
details: _____

13) Within the past ten (10) years, has Respondent defaulted on a contract or been terminated for cause?

Yes _____ No _____ If YES, please provide

details: _____

14) Has the Respondent or any principal, during the past seven (7) years filed for bankruptcy, or been declared bankrupt as an individual, and/or officer of any other corporation, partnership, or LLC?

Yes _____ No _____ If YES, state date, court jurisdiction, amount of liabilities and amount of assets: _____

15) Details regarding any pending lawsuits, any previous contracts for which the firm or individual has been found to be in default, any indictments, judgments, defaults, convictions, or any principals or employees both present and past debarment from federal contracts.

16) List and describe any liquidated damages assessed, and/or liens or claims filed against your firm and remaining undischarged or satisfied for more than 90 days on any contracts within the past ten years. _____

17) Within the past ten years has your firm, any affiliate, any predecessor company or entity, owner of a 5% or more of the firm's shares, director, officer, partner or proprietor been the subject of:

A. a judgment of conviction or pleaded nolo contendere to (1) any felony or (2) a misdemeanor related to truthfulness in connection with business conduct under state or federal law?

Yes _____ No _____ If YES, please provide details: _____

B. an indictment or has pending before any state or federal grand jury or court an indictment or information of the commission of a crime which has not been favorably terminated.

Yes _____ No _____ If YES, please provide details: _____

C. a pending investigation by any grand jury, commission, committee or other entity or agency or authority of any local, state, or the federal government in connection with the commission or alleged commission of a crime.

Yes _____ No _____ If YES, please provide details: _____

D. a bid disqualification or is currently disqualified from selling or submitting bids/proposals to or receiving awards from or entering into any contract with any federal, state or local government agency, any public authority or any other public entity.

Yes _____ No _____ If YES, please provide details: _____

E. a federal suspension or debarment, New York rejection of any bid or disapproval of any proposed subcontract for lack of responsibility, denial or revocation of pre-qualification in any state, or a voluntary exclusion agreement?

Yes _____ No _____ If YES, please provide details: _____

F. any federal determination of a violation of any labor law or regulation? OSHA serious violation?

Yes _____ No _____ If YES, please provide details:

G. any New York State Department of Labor or other State agency determination of a violation of any labor law or regulation?

_____ Yes _____ No Public Violation? _____ Yes _____ No Was violation deemed willful?
_____ Yes _____ No If yes, please provide details.

H. a revocation of DBE, MBE, or WBE certification?

_____ Yes _____ No If yes, please provide details.

I. a rejection of a low bid on a State contract for failure to meet statutory affirmative action or W/MBE requirement?

_____ Yes _____ No If yes, please provide details.

J. any pending litigation against your firm?

_____ Yes _____ No If yes, please provide details.

18) Within the past ten (10) years, has refused to testify or to answer any question concerning a bid or contract with any federal, state, or local government agency, any public authority or any other public entity when called before a grand jury or other committee, agency or forum which is empowered to compel the attendance of witnesses and examine them under oath, upon being advised that neither the person's statement nor any information or evidence derived from such statement will be used against that person in any subsequent criminal proceeding.

_____ Yes _____ No If yes, please provide details.

19) Is currently disqualified from selling or submitting a bid to, or receiving an award from, or entering into any contract with any public entity or public authority within the State of New York because, within the past ten (10) years, such entity or person refused to testify or to answer any relevant question concerning a transaction or contract with the State of New York, any political subdivision of the State of New York, or a public authority or a public department, agency or official of the State of New York or of a political subdivision of the State of New York, when called before a grand jury or other state or local department, commission or agency which is empowered to compel the attendance of witnesses and examine them under oath, upon being advised that neither that person's statement nor any information or evidence derived from such statement will be used against that person in any subsequent criminal proceeding.

_____ Yes _____ No If yes, please provide details.

20) Has within a ten (10) year period preceding this Bid/Proposal been convicted of or had a civil judgment rendered against it for or in relation to: (i) commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction; (ii) collusion with another person or entity in connection with the submission of bid/proposals; (iii) violation of federal or state antitrust statutes or False Claims Acts; or (iv) commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statement(s) or receiving stolen property.

_____ Yes _____ No If yes, please provide details.

21) **Provide any legal or regulatory complaints, litigations, arbitrations, reparations, or other proceedings (pending or resolved) against or by your firm, any affiliate, any predecessor company or entity, owner of a 5% or more of the firm's shares, director, officer, partner or proprietor in the past ten years.**

22) In the past ten (10) years, have there been any judgments, injunctions, or liens of \$100,000 or more, including but not limited to, judgments based on taxes owed, fines and penalties assessed by a government agency against Respondent at any time?

____ Yes ____ No If yes, please provide details.

23) Are there any judgments, injunctions, or liens for \$100,000 or more each against Respondent that remain open, unsatisfied or in effect today?

____ Yes ____ No If yes, please provide details.

24) During the past ten (10) years, has the Respondent failed to file any applicable federal, state or local tax return?

____ Yes ____ No If yes, please provide details.

25) Does the Respondent own or rent office space? Please provide details.

____ Yes ____ No ____ If yes, please provide details.

26) Does any principal owner or officer of the Respondent, or any member of his/her immediate family, have an ownership interest in any entity that holds the title or lease to any real property used by the Respondent?

_____ Yes _____ No ___ If yes, please provide details.

The undersigned hereby certifies and affirms that the foregoing statements and all information provided herein are true and accurate.

DATE

Signature

Name (Print or Type)

Title

State of New York)

) ss:

County of Suffolk)

_____ being duly sworn, says; I am the person described in and who executed the foregoing proposal and the several matters therein stated are in all respects true.

Subscribed and sworn to, before me, this _____ day of _____, 20__

TOWN OF RIVERHEAD
DISCLOSURE STATEMENT

In connection with the submission of this RFQ for:

(Name of Respondent)

I, _____ the (applicant herein, an officer or agent of the corporate applicant) namely its _____ (swears) or (affirms) under the penalties of perjury that:

1. The following persons have a direct or indirect interest

Name	Address	Date of Birth
_____	_____	_____
_____	_____	_____
_____	_____	_____

(In case of corporations, all officers of the corporation, and stockholders owning more than 5% of the corporate stock must be listed. Attach an additional sheet, if necessary.)

2. The following persons listed in (1) above are related by blood, or marriage, to an officer or employee of the Town.

Name	Relationship	Name/Position of Employee/Officer
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

3. The following persons listed in (1) above are state or local officers or employees, or members of a board of commissioners or local public authorities, or other public corporation within Suffolk (exclusive of a volunteer fireman or civil defense volunteer):

Name	Employee	Position
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False statements herein are punishable as a Class A misdemeanor pursuant to 210.45 of Penal Law.

DATE

(Legal Name of Person/Firm/Corporation)

BY:

Signature

Name (Print or Type)

Title

TOWN OF RIVERHEAD

IMMUNITY CLAUSE

In accordance with Sections 103-a and 103-b of the General Municipal Law, upon the refusal of a person to sign a waiver of immunity against subsequent criminal prosecution or to answer any relevant questions when called before a grand jury, head of a state department, temporary state commission, organized crime task force in the department of law or other state agency, which is empowered to compel attendance of witnesses and examine them under oath to testify concerning this contract, such person and any firm, partnership or corporation of which he is a member, partner, director or officer, shall be disqualified from thereafter selling to or submitting bids to, or receiving awards from, or entering into any contracts with the Town of Riverhead, its departments, agencies or officials thereof, for goods work or services, for a period of five years after such refusal. The Town of Riverhead may terminate any and all contracts made by the Town, its departments, agencies or officials, with such person and with any firm, partnership, or corporation, of which he is a member, partner, director or officer, without incurring any penalty or damages. However, any monies owed for goods delivered or work done prior to cancellation shall be paid. This condition shall be further subject to any other provisions or subsequent amendments to Sections 103-a and 103-b of the General Municipal Law.

