



Office of Consumer Protection

50 Sanatorium Road, Building A, 5th Floor, Pomona, NY 10970
Phone: (845) 364- 3901 Email: CPLCAL@co.rockland.ny.us

Kimberly Von Ronn, Esq.
Director and Public Advocate

Dear Mechanical Contractor Applicant:

Chapter 319 of the Laws of Rockland County requires persons conducting business as a Mechanical contractor to obtain a Rockland County license.

Before filling out the enclosed application, please be sure to read the instructions carefully. Note, the experience record portion of the application and child support form must be notarized.

The filing of an application does NOT constitute permission or authority to operate or advertise as a Mechanical Contractor. A license must have been issued and in your possession before any operation may be legally conducted.

Operating as a Mechanical Contractor in Rockland County without a license is a crime as well as a civil violation. The criminal penalty upon conviction is a fine up to \$1,000 and/or up to 1 year in jail. The civil penalty is a fine up to \$3,000 per day of unlicensed work.

For further clarification, this application is for obtaining a **Mechanical Contractor License** as an individual, based on your qualifications. If you plan to operate a business using this license, you must also submit business information, including proof of ownership or membership in the business entity. Once your application is reviewed and approved by the Mechanical Licensing Board, you will need to schedule and pay an additional fee for your written and/or practical examination(s) to obtain your license.

The Office of Consumer Protection is available to assist you in the application process. Please do not hesitate to contact us to answer any questions.

Sincerely,

Kimberly Von Ronn, Esq.
Director & Public Advocate



Office of Consumer Protection

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MECHANICAL CONTRACTOR LICENSE APPLICATION INSTRUCTIONS

Failure to complete the required information may result in the delay or rejection of your application. Do not leave portions blank. Complete all required sections; write N/A, if appropriate. Providing false or misleading information in the application may result in the denial of your application and subjects you to suspension or revocation, if license is issued, as well as possible criminal penalties pursuant to Penal Law Section 175.

NOTICE: All applicants are required to successfully complete both the written and practical examinations (if applicable) within **1 year (365 days)** from the date their application is submitted. Failure to do so will necessitate the submission of a new application, payment of applicable fees, and re-taking of the examination(s).

To avoid delays, please ensure that you carefully read and follow all instructions to submit a complete application.

1. Application Requirements

- ❖ Applications must be filled out *completely*. Incomplete applications may be rejected.
- ❖ Required forms and documents must accompany the application.
- ❖ Fees must be paid before Application will be reviewed.
- ❖ Application must be signed and notarized.

2. License Classifications

- ❖ Applicants may apply for 1 or a combination of multiple classifications per application.
- ❖ To apply for more classifications at a later date, a New Mechanical License Application must be submitted with applicable fees.
 - There is no limit to the number of classifications you may apply for.
 - Applications for additional classifications must undergo applicable written and/or practical examination and successfully pass to be granted a license for the requested classification.
 - All classifications will appear on one license per business (i.e., corporation, partnership or individual).

3. Fees

- ❖ All fees are non-refundable, regardless of whether an application is approved, and a license is issued. Payment can be made by Credit Card, Check, or Money Order payable to: *Rockland County Commissioner of Finance*.
- ❖ Each application for 1 or a combination of multiple classifications is \$400
- ❖ Vehicle Decal Stickers are \$10 each.

4. Annual License Renewal

- ❖ Licenses are valid until December 31st regardless of the time application is submitted.
- ❖ Licenses must be timely renewed with required documentation and annual fee.
- ❖ Renewal Application fee is \$250 for one (1) classification.
- ❖ A \$100 fee is required for every additional classification.
- ❖ Continuing Education is required, see [list of continuing education providers](#).

5. Photo Identification

- ❖ Valid Driver's License **with clear image of the applicant** must be submitted.

6. Photo of Applicant

- ❖ Enclose two (2) recent 2" x 2" photo (passport style) of applicant with application.

7. Experience Record and Earnings History

- ❖ Trade related work experience record must be completed by Applicant.
- ❖ Applicant must have trade experience requirement as provided in *Appendix A* attached and provide proof of such through the Earnings history on the application and supporting documents listed below.
- ❖ Earnings History must be completed by Applicant and supported with either one of the following documents **(Not required for Licensed Rockland County Plumbers applying for Fire Protection Systems Classification)**:
 - Non-Certified Detailed Itemized FICA earnings statement for the last 10 years, OR
 - Detailed Earnings Information (Form SSA-7050-F4) available through record requests at your local Social Security Office.
Note: it takes approximately 4 months for the above form request to be processed.
 - Wage and Tax Statements (W-2's) from a nationally recognized payroll service provider (i.e., ADP, Paychex)
 - Non-Employee Compensation Form (1099's)

Note: Certified social security records, as mentioned in the first two bullets, are preferred and help expedite the review process of the application.

- ❖ If claiming vocational training as part of your requisite trade experience, a **graduation certificate** from a U.S Department of Labor approved trade school must be submitted along with the application.

8. Letters of Reference:

- ❖ Two (2) Letters of Reference per Classification verifying the type of work performed.
 - Letters may be from Former Employers, Architects, Engineers, Building Inspectors or Certified Contractors in the trade. Applicant cannot write a letter on behalf of the reference.

- Letters MUST be on official BUSINESS LETTERHEAD and contain the following:
 - Name, Address and Telephone Number of individual writing letter
 - Length of time Applicant known
 - Relationship to Applicant
 - Exact dates of employment, or years of professional relationship
 - Employment capacity
 - Duties and Responsibilities, or Business / Profession of Reference
 - Include what Municipal or State licenses Reference holds
- Letters must be personally written and signed by Reference, not the Applicant.
- One of the Two Reference Letters may be from a Customer, and contain the following:
 - Customer letters must contain Customer Name, Address, Phone Number
 - Customer Letters must state the Jobsite Address, Time Frame of the Job, Type of Work performed by the Applicant, and Quality of the Work
 - Letters must be personally written and signed by Customer, not the Applicant.
- ❖ References may be contacted to verify experience of Applicant.
- ❖ If Reference Letters do not contain sufficient information to determine extent of your experience, you will be asked to submit additional reference letters.

9. Child Support Certification

- ❖ Individual Applicants or BOTH Partners of a Partnership must submit a Complete Child Support Certification Form. Child Support Forms must be notarized.

Persons who are four (4) months or more in arrears in child support or who have failed to comply with a summons, subpoena or warrant relating to a paternity or child support proceeding may be subject to suspension of their business, professional, drivers and/or recreational licenses and permits. *NYS General Obligations Law § 3-503.*

The intentional submission of false written statements for the purpose of frustrating or defeating the lawful enforcement of support obligations is punishable pursuant to Section 175.35 of the New York State Penal Law.

10. Criminal Convictions

- ❖ You will be required to list any criminal convictions of all Persons identified above.
- ❖ A criminal conviction does not represent an automatic bar to licensure. Each case is considered and evaluated on an individual basis in relation to the type of work performed.

11. Proof of Authority to Conduct Business in Rockland County, State of New York

A CORPORATION must submit a copy of the filing receipt from the New York State Secretary of State granting the corporation the authority to do business in New York State.

A FOREIGN CORPORATION with an ASSUMED NAME must submit a copy of the filing receipt from the New York State Secretary of State granting use in the County of Rockland of the Assumed Name.

A DOMESTIC or FOREIGN CORPORATION must submit a copy of the filing receipt from the New York State Secretary of State granting the Corporation the authority to do business in New York State.

A PARTNERSHIP conducting business under a trade name, must submit a **certified** copy of the Partnership Certificate on file in the Rockland County Clerk's Office.

An INDIVIDUAL operating under a trade name must submit a **certified** copy of the Trade Name Certificate on file in the Rockland County Clerk's Office.

*If you lost your filing receipt, you may request a Certificate of Good Standing by calling NYS Department of State –Division of Corporations at (518) 473-2492.

12. Proof of Business Ownership/Membership of a Partnership, LLC or Corporation

Provide proof that the Mechanical Contractor Applicant is one of the following for the business

- a. **A member of the partnership**
 - i. Certified copy of Rockland County Business Certificate
- b. **A member of the limited-liability company**
 - i. EIN Confirmation Letter and/or Operating Agreement.
- c. **A manager or managing officer of a corporation**
 - i. Share Certificates and/or corporate minutes

13. Insurance

ALL INSURANCE DOCUMENTS MUST LIST CERTIFICATE HOLDER AS:

*County of Rockland
Office of Consumer Protection
50 Sanatorium Road, Building A, 5th Floor
Pomona, NY 10970*

Insurance Certificates must have a recent ISSUE date, i.e., within the past 3 months. Ask your insurance broker for a freshly issued Certificate if you do not have one.

A. General Liability

Proof of liability insurance (ACORD Forms acceptable) in the amount specified per Classification.

- Minimum of \$1,000,000 per occurrence for B6—General Contractors (covers all phases of home improvement and employs subcontractors with unlimited contract amount)
- Minimum of \$500,000 per occurrence for all other classifications.

ALL GENERAL LIABILITY INSURANCE MUST LIST THE ADDITIONAL INSURED AS:

*Board of Plumbing, Heating, Air Conditioning, Refrigeration, Sheet Metal,
and Fire Protection System Examiners*

B. Workers' Compensation and Disability

- Certificate of Workers' Compensation Insurance (Form C-105.2 or Form SI-12) or if through NYSIF (Form U26.3)

- Certificate of Disability Insurance (Form DB 120.1 or Form DB155)
- Applicants who are not required by law to carry Workers' Compensation Insurance and/or Disability Benefits Insurance **must** submit a CE-200 Form—Attestation for New York Entities with No Employees.

The CE-200 Form can be found at the NYS Workers' Compensation Board website <http://www.wcb.ny.gov/>. Click on "Common Forms" and search by Form Number—CE-200. This form is filed electronically, but you must Print, Sign and Date a completed copy to submit with your application.

- C. Fire Protection Systems Applicants** must have an endorsement on their Certificate of Liability Insurance that specifies that **fire protection system installations are covered.**

14. Contractor Vehicles

- ❖ Current State DMV registrations for all vehicles used in connection with the licensed business must be submitted with the application.
- ❖ If the Registration is not issued to either the Applicant or the Business, the Applicant must attach a signed statement from the Registered Owner of the vehicle authorizing use of the vehicle for the Applicant's Business, the Registered Owner's relationship to the Applicant and whether or not the Registered Owner is employed by the Owner.
- ❖ Vehicles registered to another company will not be accepted.
- ❖ Updated Authorization Statements will be required annually upon license renewal.

15. Written Examination & Fees

- ❖ Each applicant must take the written and or practical examination within **1 year of the application date** and successfully pass (score 70%) prior to the issuance of a license in accordance with Rockland County Law Chapter 319-8.
- ❖ Written examinations are administered quarterly on a scheduled to be determined by the Office of Consumer Protection. **Fee to be set by private testing company.**
- ❖ Applicants applying for the plumbing classification must take a practical examination in addition to the written examination. **Fee to take the practical examination is \$250.00**
- ❖ Time and place for written examination shall be scheduled only after the application paperwork is complete and the Plumbing, Heating, Airconditioning, Refrigeration, Sheet Metal, and Fire Protection System Licensing Board approves the application.
- ❖ A no-show to the written and/or practical examination will be considered a failure.
- ❖ Reasonable ADA accommodations offered upon request.
- ❖ **Applicants who have failed to successfully pass or complete the written and/or practical examination within the year (365 days) of their application submission date, must reapply, pay applicable fees and take the necessary examinations.**

16. Air Conditioning and Refrigeration Contractors—Course Certification and Continuing Education Requirements

- ❖ Must obtain EPA Refrigerant Handling Universal Certification

MECHANICAL LICENSE CLASSIFICATIONS & WORK EXPERIENCE REQUIREMENTS

LICENSE CLASSIFICATION	WORK EXPERIENCE
MASTER PLUMBER (P)	<ol style="list-style-type: none"> 1. Five years' experience at an apprentice level and two years' experience as a journeyman working for a Plumbing Contractor; OR 2. Graduation from a one-year technical school, plus Four years' experience as an apprentice and two years' experience as a journeyman working for a Plumbing Contractor; OR 3. Graduation from a two-year technical school, plus three years' experience as an apprentice; and two years' experience as a journeyman working for a Plumbing Contractor.
HEATING CONTRACTOR (H)	<ol style="list-style-type: none"> 1. Five years' experience at an apprentice level and two years' experience as a journeyman working for a Heating Contractor; OR 2. Graduation from a one-year technical school, plus Four years' experience as an apprentice and two years' experience as a journeyman working for a Heating Contractor; OR 3. Graduation from a two-year technical school, plus three years' experience as an apprentice; and two years of experience as a journeyman working for a Heating Contractor.
AIR CONDITIONING CONTRACTOR (C)	<ol style="list-style-type: none"> 1. Five years' experience at an apprentice level and two years' experience as a journeyman working for an Air Conditioning Contractor; OR 2. Graduation from a one-year technical school, plus Four years' experience as an apprentice and two years' experience as a journeyman working for an Air Conditioning Contractor; OR 3. Graduation from a two-year technical school, plus three years' experience as an apprentice; and two years' experience as a journeyman working for an Air Conditioning Contractor.
REFRIGERATION CONTRACTOR (R)	<ol style="list-style-type: none"> 1. Five years' experience at an apprentice level and two years' experience as a journeyman working for a Refrigeration Contractor; OR 2. Graduation from a one-year technical school, plus Four years' experience as an apprentice and two years' experience as a journeyman working for a Refrigeration Contractor.; OR 3. Graduation from a two-year technical school, plus three years' experience as an apprentice; and two years' experience as a journeyman working for a Refrigeration Contractor.
SHEET METAL CONTRACTOR (SM)	<ol style="list-style-type: none"> 1. Five years' experience at an apprentice level and two years' experience as a journeyman working for a Sheet Metal Contractor; OR 2. Graduation from a one-year technical school, plus Four years' experience as an apprentice and two years' experience as a journeyman working for a Sheet Metal Contractor; OR 3. Graduation from a two-year technical school, plus three years' experience as an apprentice; and two years' experience as a journeyman working for a Sheet Metal Contractor.
FIRE PROTECTION SYSTEMS CONTRACTOR (F)	<ol style="list-style-type: none"> 1. New applicants must be at least 23 years of age and have 5 Years' experience with either the installation and/or repair of fire systems; OR 2. Be a Rockland County Licensed Plumber

IMPORTANT NOTE: To qualify, your years of trade experience must be with a licensed contractor in the relevant field. For example, if applying to become a licensed plumber, your experience should be with a licensed plumbing contractor, unless if the jurisdiction where the contractor operates does not require a license.



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MECHANICAL CONTRACTOR LICENSE APPLICATION CHECKLIST

Use this courtesy Checklist to confirm you have all the required documents to complete your application. Failure to submit a complete application may result in your application being rejected or delayed.

- Application Form
- License Fees
 - Application - \$400
 - Check or Money Order: Payable to *Rockland County Commission of Finance*
 - If you prefer to pay by Credit Card, you will be invoiced at the time of processing
 - Vehicle Decal Stickers- \$10 each sticker (you will be invoiced prior to the issuance of license)
- Earning Records – Any one of the below documents * is preferred to expedite processing time (**Not required for Licensed Rockland County Master Plumbers applying for Fire Protection Systems Classification**):
 - Non-Certified Detailed Itemized FICA earnings statement for the last 10 years *
 - Detailed Earnings Information (Form SSA-7050-F4) *
 - IRS Tax Forms W-2's, or 1040's or 1099's
- Two (2) Letters of Reference for each Classification
- Child Support Certification
- Two 2"x2" photos (passport style)
- Color Photocopy of Valid Driver's License
- Proof of Authority to Conduct Business in Rockland County (NYS Filing Receipt or Rockland County Business Certificate)
- Proof of Business Ownership/Membership of a Partnership, LLC or Corporation
- General Liability Insurance
- Workers' Compensation or CE-200 (Exemption Form)
- Disability Insurance or CE-200 (Exemption Form)
- DMV Registrations for All Vehicles Used in Rockland County Business
 - Vehicle Authorization Letter, if vehicle NOT registered under Business or Applicant's Name
 - Vehicles Registered to another company will not be accepted

Other, if applicable:

- EPA Refrigerant Handling Universal Certificate – Required only for Air Conditioning/Refrigeration License
- Graduation Certificate from a U.S Department of Labor approved trade school if claiming vocational training as part of your requisite trade experience.



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MECHANICAL CONTRACTOR LICENSE APPLICATION

PART I. CONTRACTOR BUSINESS INFORMATION

Answers to all questions must be accurate and complete. Please do not leave blank spaces. Write N/A as needed. False statements made herein are punishable by a Class A Misdemeanor pursuant to 210.45 of the NYS Penal Law.

Check box to indicate Type of Ownership:

<input type="checkbox"/> Corporation/LLC/LTD/LP/LLP	<input type="checkbox"/> Partnership	<input type="checkbox"/> Individual Owner
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Business Name: _____

Trade/Assumed/Display Name (DBA): _____

Business Street Address: _____

Town/Village: _____ State: _____ Zip: _____ Business Phone: (____) ____ - _____

Business Email: _____@_____.com

Note: Email address must be **legible, accurate and regularly monitored** as it will be used to create your online profile, and you will receive important notifications regarding your license via this email.

Name of Applicant (Last, First, Middle): _____

Date of Birth (MM/DD/YYYY): ____ / ____ / ____ Sex (circle): Male Female

Home Street Address: _____

Town/Village: _____ State: _____ Zip: _____ Personal Phone: (____) ____ - _____

Select the Mechanical License Classification(s) that describe exactly the Type of Work the Applicant intends to conduct. Applicant must have required years of qualifying experience, see instructions.

- PLUMBING HEATING AIR CONDITIONING REFRIGERATION SHEET METAL FIRE PROTECTION SYSTEMS

If Contractor Business is a Partnership, list Name and Address of each Partner.

Full Name (Last, First, Middle): _____

Home Street Address: _____

Town/Village: _____ State: _____ Zip: _____

Full Name (Last, First, Middle): _____

Home Street Address: _____

Town/Village: _____ State: _____ Zip: _____

If Contractor Business is a Corporation/LLC/LTD/LP/LLC, list name, title and address of any Corporate Officer and Designated Agent(s) of service upon whom process or other legal notice may be served.

Full Name (Last, First, Middle): _____

Corporate Title: _____

Home Street Address: _____

Town/Village: _____ State: _____ Zip: _____

Full Name (Last, First, Middle): _____

Corporate Title: _____

Home Street Address: _____

Town/Village: _____ State: _____ Zip: _____

Use Additional Sheets if Necessary

All vehicles used in your Rockland County business must be registered with Consumer Protection and display a current vehicle decal.

Total number of vehicles used in the Contractor Business: _____

INSURANCE ACKNOWLEDGEMENTS

Please read the below statements carefully, initial and date.

I understand that if I submit a Workers' Compensation and/or Disability Exemption (CE-200 Form) at any time during the pendency of my licensure with Rockland County Consumer Protection, I am confirming that I have not hired any individuals in the restricted categories outlined on the Form. _____(initials)
_____ (date)

Should I hire any individuals to perform **ANY WORK** for the Contractor Business, even on a temporary, per day or per hour basis, I acknowledge that I must obtain the appropriate Workers' Compensation and Disability Insurance. Failure to do so may result in civil penalties, suspension and/or revocation of my Home Improvement Contractor License.
_____ (initials) _____ (date)

I further affirm that I have **ACCURATELY** reported to my insurance company and/or broker the Type of Work / Classification my Contractor Business intends on performing. _____(initials)
_____ (date)

I understand that I am required to **CONTINUOUSLY MAINTAIN** all insurance policies in compliance with Rockland County law, as well as any other applicable State laws. Failure to do so may result in civil penalties, suspension and/or revocation of my Mechanical Contractor License. It is my affirmative responsibility to institute any policies and procedures within my business to ensure insurance policies do not lapse.
_____ (initials) _____ (date)

Signature of Applicant
Note: Digital / Typed signatures are not accepted.

B. Earnings History

List the annual salary you earned for the past 10 years. You must establish a minimum of 7 years of qualifying experience over the past 10 years. If you worked for an employer for several years, list every year employed and salary for each year.

Example:

Year	Salary Earned for Year Listed	Employer
20 24	\$ 67,000.00	ABC Plumbing & Heating
20 23	\$ 65,000.00	ABC Plumbing & Heating
20 22	\$ 64,000.00	Plumbers of America

Note: Certified Social Security Records must be submitted with application.

Year	Salary Earned for Year Listed	Employer
20__	\$	
20__	\$	
20__	\$	
20__	\$	
20__	\$	
20__	\$	
20__	\$	
20__	\$	
20__	\$	
20__	\$	

C. Theoretical or Educational Experience

Submit graduation certificate from a U.S Department of Labor approved trade school if using education and or vocational training to establish experience.

<p>Name of School: _____</p> <p>Address: _____</p> <p>Start Date: _____ End Date: _____ Degree Received: _____</p>
<p>Name of School: _____</p> <p>Address: _____</p> <p>Start Date: _____ End Date: _____ Degree Received: _____</p>

D. Other Background Information

1. If you or your Business(es) have been previously licensed in Rockland County, provide former company/business name and license number. If not applicable, write N/A.

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2. Name any other Business(es) you hold a financial or personal interest in. If not applicable, write N/A.

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3. List other contractor, trade or professional licenses you hold or have held in the past. Provide jurisdiction, license type and license number. If not applicable, write N/A.

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4. Has any trade or professional license ever been denied, cancelled, suspended or revoked?

<input type="checkbox"/> No	<input type="checkbox"/> Yes
If yes, explain.	

5. Have you been convicted of a crime within the last ten (10) years? Do not include minor traffic violations.

<input type="checkbox"/> No	<input type="checkbox"/> Yes
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If yes, attach a list of all criminal convictions including date, name, charge, and disposition—court and date.

6. Does the business have any outstanding judgments? If yes, provide letter from attorney or accountant explaining how you are actively resolving the judgments.

<input type="checkbox"/> No	<input type="checkbox"/> Yes
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False statements made herein are punishable as a Class A misdemeanor pursuant to Section 210.45 of the Penal Law.

Signature of Applicant
Note: Digital / Typed signatures are not accepted.

SWORN BEFORE ME THIS DATE
_____ Day of _____, 20____

COMM. OF DEEDS - NOTARY PUBLIC
County of _____
No. _____



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Kimberly Von Ronn, Esq.
Director and Public Advocate

TO: Licensees & Applicants

RE: Child Support Certification

New York State law (General Obligation Law, Section 3-503) **REQUIRES** this office to gather information to allow the Department of Social Services to determine if applicants for a license issued by this office and those seeking to renew their license are in default of their obligation to pay child support.

Therefore, you must fill out the attached form completely and sign same before a notary. The information you supply will be checked by the Department of Social Services against a nationwide database to confirm that you are not in default on child support obligations.

PLEASE TAKE NOTICE that providing false information may result in criminal charges and, in addition, may result in the denial of your application or renewal of your license.

PLEASE TAKE FURTHER NOTICE that any persons who are four months or more in arrears in child support or who have failed to comply with a summons, subpoena or warrant relating to a paternity or child support proceeding may be subject to suspension of their business, professional, drivers and/or recreational licenses and permits including, but not limited to, licenses issued pursuant to section 11-0713 of the environmental conservation law.

Thank you for your cooperation in this matter.

Attach.

