

**State of New York**  
**Division of Military and Naval Affairs**  
**Budget and Finance, Purchasing and Contracting**  
**330 Old Niskayuna Road**  
**Latham, New York 12110-2224**

## INVITATION FOR BID

**(E-Mail or Facsimile Bid Submissions are NOT Acceptable)**

<b>BID OPENING</b> <b>DATE:</b> March 28, 2025 <b>TIME:</b> 2:00 PM	<b>TITLE:</b> Heating Ventilation Air Conditioning (HVAC) Preventative Maintenance and Repairs -- Camp Smith Training Site
<b>INVITATION FOR BIDS NUMBER:</b> IFB 24-88	<b>SPECIFICATION REFERENCE:</b> Scope of Work – Pages 27-31
<b>CONTRACT PERIOD:</b> Three (3) years – Tentative Start Date: May 27, 2025	<b>ADDRESS INQUIRIES TO:</b> Bonnie J. Kelleher Telephone (518) 786-4673 E-mail Address: <a href="mailto:bonnie.j.kelleher.nfg@army.mil">bonnie.j.kelleher.nfg@army.mil</a>

The bid must be fully and properly executed by an authorized person. By signing you certify your express authority to sign on behalf of yourself, your company, or other entity and full knowledge and acceptance of this INVITATION FOR BIDS, Appendix A (Standard Clauses For New York State Contracts), Appendix B (OGS General Specifications), and State Finance Law §139-j and §139-k (Procurement Lobbying), and that all information provided is complete, true and accurate. By signing, bidder affirms that it understands and agrees to comply with the OGS procedures relative to permissible contacts as required by State Finance Law §139-j (3) and §139-j (6) (b). Information may be accessed at:

Procurement Lobbying: <http://www.ogs.state.ny.us/aboutOgs/regulations/defaultAdvisoryCouncil.html>

Legal Business Name of Company Bidding:		Bidder's Federal Tax Identification No.:		
D/B/A - Doing Business As (if applicable):				
Street	City			State
<b>Cash Discounts will not be considered in determining low bid, but cash discounts of any size may be considered in awarding tie bids.</b>				
_____ % Cash Discount for payment within 15 days of delivery and/or receipt of voucher _____ % Cash Discount for payment within 30 days of delivery and/or receipt of voucher				
If you are not bidding, place an "x" in the box and return this page only. <input type="checkbox"/> WE ARE UNABLE TO BID AT THIS TIME BECAUSE _____ <input type="checkbox"/> WE REQUEST REMOVAL OF OUR NAME FROM THE MAILING LIST FOR THIS TITLE.				
Bidder's Signature:		Printed or Typed Name:		
Title:		Date:		
Phone : (     )     -     ext (     )	Toll Free Phone : (     )     -     ext (     )			
Fax : (     )     -     ext (     )	Toll Free Fax : (     )     -     ext (     )			
E-mail Address:		Company Web Site:		
<b>Method of Award:</b> AWARD WILL BE MADE TO THE LOWEST RESPONSIVE AND RESPONSIBLE BIDDER MEETING SPECIFICATIONS.				

## **TABLE OF CONTENTS**

<b>1. INTRODUCTION .....</b>	<b>4</b>
1.1 Overview .....	4
1.2 Designated Contact.....	4
1.3 Key Events.....	4
1.4 Minimum Bidder Requirements.....	5
1.5 Mandatory Site Visit.....	5
<b>2. BID SUBMISSION .....</b>	<b>6</b>
2.1 RFP Questions and Clarifications .....	6
2.2 Bid Format and Content .....	6
2.3 Bid Preparation .....	7
2.4 Packaging of RFP Response .....	7
2.5 Instructions for Bid Submission.....	7
2.6 Examination of Contract Documents.....	8
<b>3. ADMINISTRATIVE INFORMATION.....</b>	<b>9</b>
3.1 Issuing Office .....	9
3.2 Method of Award .....	9
3.3 Price .....	9
3.4 Term of Contract .....	10
3.5 Price Adjustment (Escalation / De-escalation) .....	10
3.6 Method of Payment .....	10
3.7 Electronic Payment .....	11
3.8 Past Practice .....	11
3.9 Bid Exceptions.....	12
3.10 Dispute Resolution .....	12
3.11 Inspection of Books.....	12
3.12 Glossary of Terms .....	12
3.13 Terminology .....	13
3.14 Prime Contractor Responsibilities.....	13
3.15 Staffing Expectations.....	13
<b>4. CONTRACT CLAUSES AND REQUIREMENT .....</b>	<b>13</b>
4.1 Appendix A / Appendix B / Order of Precedence.....	14
4.2 Procurement Lobbying Requirement .....	14
4.3 Contractor Insurance Requirements.....	14
4.4 Tax and Finance Clause.....	18

4.6	Freedom of Information Law / Trade Secrets .....	18
4.7	General Requirements.....	19
4.8	Contract Terms .....	20
4.9	Subcontractors.....	20
4.10	Procurement Rights .....	20
4.11	Extent of Services .....	21
4.12	Right to Know .....	21
4.13	Debriefings.....	21
4.14	Termination.....	21
4.15	NYS Standard Vendor Responsibility .....	22
4.16	Ethics Compliance .....	23
4.17	Extension of Use.....	23
4.18	Indemnification.....	23
4.19	Force Majeure.....	24
4.20	Appendices and Exhibits .....	24
4.21	Iran Divestment Act.....	24
4.22	Prevailing Wage Rate.....	25
Attachment 1	..... Scope of Work .....	27
Attachment 2	..... Bid Proposal Form / Acknowledgment .....	32
Appendix A	..... Standard Clauses for New York State Contracts	
Appendix B	..... Office of General Services General Specifications	
Appendix C	..... Required Forms	

# 1. INTRODUCTION

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## 1.1 Overview

The New York State Division of Military and Naval Affairs (DMNA), Camp Smith Training Site (CSTS) is seeking a responsible vendor to provide Heating Ventilation Air Conditioning (HVAC) services per the scope of work included within.

DMNA seeks to award a multi-year contract for three (3) years, commencing upon approval from the Office of the State Comptroller.

## 1.2 Designated Contact

In compliance with the Procurement Lobbying Law, DMNA has designated Bonnie J. Kelleher as the **PRIMARY** contact for this procurement solicitation who can be reached by email or voice for all inquiries regarding this solicitation.

Bonnie J. Kelleher, Purchasing Agent  
 Budget and Finance  
 NYS Division of Military and Naval Affairs  
 330 Old Niskayuna Road  
 Latham, New York 12110-3514  
 Voice: 1-518-786-4673  
 Email: [bonnie.j.kelleher.nfg@army.mil](mailto:bonnie.j.kelleher.nfg@army.mil)

In the event the designated contact is not available, the alternate designated contact is:

David Torncello, Purchasing Agent  
 Budget and Finance  
 NYS Division of Military and Naval Affairs  
 330 Old Niskayuna Road  
 Latham, New York 12110-3514  
 Voice: 1-518-786-4527  
 Email: [david.r.torncello.nfg@army.mil](mailto:david.r.torncello.nfg@army.mil)

## 1.3 Key Events

The table below outlines the schedule for important action dates:

<b>DMNA Issues – Invitation for Bid (IFB)</b>	<b>Tuesday, February 18, 2025</b>
<b>Mandatory -- Registration for Site Visit</b>	<b>Tuesday, March 4, 2025 – 3:00 PM</b>
<b>Mandatory -- Site Visit</b>	<b>Thursday, March 6, 2025 – 10:00 AM</b>
<b>Deadline for Submission of Bidder Questions</b>	<b>Monday, March 10, 2025 – 3:00 PM</b>
<b>DMNA Issues Responses to Written Questions</b>	<b>Friday, March 14, 2025 – 3:00 PM</b>
<b>Bid Due Date/Bid Opening Date</b>	<b>Friday, March 28, 2025 – 2:00 PM</b>
<b>Tentative Contract Start Date</b>	<b>May 27, 2025</b>

## 1.4 Minimum Bidder Requirements

**The following minimum requirements must be met by each bidder:**

Contractor must provide proof that they are affiliated with an organization that is registered, licensed, certified by the state or local authority OR developed competence through training and experience and shall be recognized as qualified and experienced in inspections, testing and maintenance of HVAC systems. Qualified personnel shall include, but not be limited to, one or more of the following:

- Factory trained and certified, personnel, for the specific type and brand of system being serviced
- Personnel who are certified by a nationally recognized organization, acceptable to the authority having jurisdiction
- Personnel must have manufacturer certifications to program HVAC systems

All work shall be in strict compliance with all local and state codes, ordinances, laws and policies.

**The State of New York retains the right to request any additional information pertaining to the Contractor's ability, qualifications, and procedures used to accomplish all work under this contract, as it deems necessary to ensure safe and satisfactory work.**

## 1.5 Mandatory Site Visit

Bidders intending to submit a bid are requested to attend a mandatory site visit, located at the Camp Smith Training Site, 11 Bear Mountain Bridge Road, Cortlandt Manor, New York 10567. The date of the site visit is firm and will not be changed. The mandatory site visit is scheduled for **Thursday, March 6, 2025 – 10:00 AM**. This is the only date and time available. Attendees are also required to sign in and provide basic company and contact information. This information will be used to verify attendance and to communicate any changes to the solicitation (addenda). Therefore, it is imperative that the information provided, be legible and accurate.

**The facilitator of the event will publicly announce the official start time of the site visit, which announcement shall be made no sooner than the time stated in Section 1.3 of Key Events above. Prospective bidders arriving after the official start time of the site visit will be precluded from attending the site visit.**

**Due to security procedures, all bidders MUST pre-register no later than **Tuesday, March 4, 2025 at 3:00PM** by emailing the registration form to [subhash.d.sukhram.nfg@army.mil](mailto:subhash.d.sukhram.nfg@army.mil) AND [fnu.jasvinder.nfg@army.mil](mailto:fnu.jasvinder.nfg@army.mil). It is recommended that attendees arrive at the building at least 15 minutes prior to the scheduled time. Photo identification is required. A site visit registration form is included in Appendix C.**

**In accordance with State Finance Law §139-j(3)(a)(3), site visits are covered by the permissible subject matter authorization. A vendor is authorized to speak with DMNA representatives other than Designated Contact(s) for the sole purpose of the site visit (to arrange attendance, during the conduct of the visit and to pose questions regarding the site).**

The site visits will provide an opportunity for bidders to see firsthand the property and the special needs of the facility. Questions during the site visits will be permitted. It is suggested that the bidder note the question and ask at the end of the tour. Verbal answers are not official answers. All questions asked at the conference or after the tour must be submitted via email to the designated contact for this solicitation no later than the date and time indicated in Section 1.3 - Key Events. Official answers to all questions will be distributed in the form of an addendum via email to all prospective bidders. Only answers provided by addendum are considered official.

**NOTE:** If there are any questions bidders would like addressed at the site visit, bidders should submit them in writing as instructed in Section 2.1 – IFB Questions and Clarifications, to the designated contact prior to the date of the site visit. Questions during the site visits will be permitted, however, only questions submitted in writing and answered via addendum will be considered official.

## **2. BID SUBMISSION**

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### **2.1 IFB Questions and Clarifications**

Questions and requests for clarification regarding this IFB 24-88 shall only be directed to:

Bonnie J. Kelleher, Purchasing Agent  
Budget and Finance  
Division of Military and Naval Affairs  
330 Old Niskayuna Road  
Latham, New York 12110  
Voice: 1-518-786-4673  
Email: [bonnie.j.kelleher.nfg@army.mil](mailto:bonnie.j.kelleher.nfg@army.mil)

Questions and/or requests for clarification are only accepted via e-mail in writing. Official answers to questions will be provided via addendum. Deadline for submission of questions will be as stated in Section 1.3 - Key Events.

### **2.2 Bid Format and Content**

For the state to evaluate bids fairly and completely, bidders shall follow the format set forth herein and shall provide all the information requested. All items identified in the following list must be addressed as concisely as possible for a bid to be considered complete.

1. **Cover Letter.** The cover letter shall confirm that: (1) the bidder understands all the terms and conditions contained in this RFP; (2) will comply with all the provisions of this IFB; and (3) should the contract be awarded to your company, you are prepared to begin services upon the New York State Comptroller's contract approval. A bidder representative authorized to make contractual obligations must sign the cover letter.
2. **Experience.** Bidder shall describe its capabilities to provide the services requested in this IFB by providing the following:
  - ☐ Indicate the number of consecutive years the bidder has been actively in business.
  - ☐ Provide a current list of references with contact information and a description of contract services and equipment maintained. A minimum of three references is required.
  - ☐ Provide certifications as described in Section 1.4 – Minimum Bidder Requirements.
3. **Subcontractors.** There is no subcontracting allowed.
4. **Pricing.** Bidder shall submit a completed Bid Proposal Form (Attachment 2). Quantity of hours is estimated and not binding on the State. Contractor shall be paid for actual services rendered and actual hours worked.
5. **Required Forms.** All other required completed forms from Appendix C.

**Note:** DMNA reserves the right to request any additional information it deems necessary to ensure that the bidder can fulfill the requirements of the contract.

## **2.3 Bid Preparation**

All bids must be completed in ink or machine produced. Bids submitted handwritten in pencil will be disqualified.

## **2.4 Packaging of IFB Response**

Please submit **ONE (1) original** of the **Bid Proposal Form, the Bid Signature Page (page 1 of this document)** and the **Acknowledgement Page found in Attachment 2**. Please complete and submit one (1) original of all forms found in Appendix C – Required Forms.

**The bid documents shall be submitted by mail, hand delivery, overnight carrier, or certified mail in a package showing the following information on the outside:**

**Bidder's name and address**

**Solicitation Number: IFB #24-88**

**Bid Due Date and Time: Friday, March 28, 2025 – 2:00 PM**

**Bid for: Heating Ventilation Air Conditioning (HVAC) Preventative Maintenance and Repairs – Camp Smith Training Site**

Failure to complete all information on the bid envelope and / or packages may necessitate the premature opening of the bid and may compromise confidentiality.

## **2.5 Instructions for Bid Submission**

Only those bidders who furnish all required information and meet the mandatory requirements will be considered. Submit all required bid documents including bid addenda, if any, to DMNA Budget and Finance Directorate at the following address:

NYS Division of Military and Naval Affairs  
Budget and Finance  
Purchasing and Contracting  
330 Old Niskayuna Road  
Latham, New York 12110-3514  
Attention: Bonnie J. Kelleher, MNBF-PC

**E-MAILED BID SUBMISSIONS ARE NOT ACCEPTABLE AND WILL NOT BE CONSIDERED.**

The State of New York will not be held liable for any cost incurred by the bidder for work performed in the preparation and production of a bid or for any work performed prior to the formal execution of a contract. Bids must be received in the above office on or before **2:00 PM on the date indicated** in Section 1.3 - Key Events. **Bidders assume all risks for timely, properly submitted deliveries.**

The received time of bids will be determined by the clock at the above noted location.

**LATE SUBMISSION OF BIDS MAY BE CONSIDERED IF PROOF CAN BE PROVIDED SHOWING THAT THE CARRIER WAS SOLEY RESPONSIBLE FOR THIS DELAY.** Bidders mailing their bid must allow sufficient mail delivery time to ensure receipt of their bid at the specified location no later than the specified date and time. Delays in United States mail deliveries or any other means of transmittal, including couriers or agents of the bidding entity shall not excuse late bid submissions. Similar types of delays, including but not limited to, bad weather or security procedures for parking and building admittance shall not excuse late bid

submissions.

Bids must remain open and valid for 120 days from the due date, unless the time for awarding the contract is extended by mutual consent of NYS DMNA and the bidder. A bid shall continue to remain an effective offer, firm and irrevocable, subsequent to such 120-day period until either tentative award of the contract(s) by issuing office is made or withdrawal of the bid in writing by bidder. Tentative award of the contract(s) shall consist of written notice to that effect by the issuing office to the successful bidder. This IFB remains the property of the state at all times, and all responses to this IFB, once delivered, become the property of the state.

**Important Building Access Procedures for Delivered Bids:**

Building access procedures are in effect at the DMNA, Headquarters. Photo identification is required. All visitors must register for building access for delivering bids or attending the bid opening by calling or emailing designated contact at least 24 hours prior to the bid opening.

## **2.6 Examination of Contract Documents**

- a) Each bidder is under an affirmative duty to inform itself by personal examination of the specifications and location of the proposed work and by such other means as it may select, of the character, quality, and extent of the work to be performed and the conditions under which the contract is to be executed.
- b) Each bidder shall examine specifications and all other data or instruction pertaining to the work. No pleas of ignorance of conditions that may be encountered or of any other matter concerning the work to be performed in the execution of the work will be accepted by the Adjutant General of DMNA or a designated representative as an excuse for any failure or omission on the part of the bidder to fulfill every detail of all the requirements of the documents governing the work. The bidder, if awarded a contract, will not be allowed any extra compensation by reason of any matter or thing concerning which such contractor might have fully informed itself prior to bidding.
- c) Any bidder in doubt as to the true meaning of any part of this IFB or the proposed contract documents shall submit to the designated contact a written request for an interpretation thereof. If a major change is involved on which all bidders must be informed, such request for interpretation shall be delivered, in writing, by email by the closing date for inquiries. Any interpretation of the proposed documents will be made only by an addendum duly issued. A copy of such addendum will be mailed or delivered to each potential bidder.
- d) Any addendum issued during the bidding process shall be included in bids and in closing a contract will become a part thereof.
- e) Any verbal information obtained from, or statements made by representatives of the Adjutant General of DMNA at the time of examination of the documents or site visit shall not be construed as in any way amending contract documents. Only such corrections or addenda as are issued in writing to all bidders shall become a part of the contract. The Adjutant General of DMNA will not be responsible for verbal instructions.



### **3. ADMINISTRATIVE INFORMATION**

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#### **3.1 Issuing Office**

This IFB is being released by DMNA, Budget and Finance Directorate, Purchasing and Contracting Section on behalf of DMNA's Camp Smith Training Site.

#### **3.2 Method of Award**

DMNA intends to award one contract to the lowest responsive and responsible bidder. The lowest bidder shall be determined by the Grand Total Bid as represented on the Bid Proposal Form (Attachment 2).

**The total bid consists of the following components:**

**Base Bid:**

- ☐ Provide pricing based on estimated number of hours required to complete the project including supplemental labor rates and a percentage of mark-up on parts. All hours, parts and material are estimates for completion of the bid and not binding on the State. Contractor shall be paid for actual hours worked, actual service rendered, and actual parts/materials ordered or required for repair.

Upon determination of best value and responsible bidder, a contract document will be drawn up and is hereby incorporated by reference and made a part hereof as fully as if set forth at length herein. The contract document will be completed with the successful bidder's information and appended to this IFB and the successful bidder's bid to form the contract between the parties that will be processed for all necessary state approvals.

**The Annual Total Bid amount of the successful bidder shall be used to calculate the total contract value. The total contract value shall not be exceeded.**

#### **3.3 Price**

The bid price shall be inclusive of all costs including travel (Base Bid Scope of Services), licenses, insurance, administrative, profit and other ancillary costs. For the purposes of this contract, full service shall mean that the contractor's bid price includes: all labor, material and equipment cost; all administrative, reporting or other requirements, all overhead costs and profit. Details of service not explicitly stated in these specifications, but necessarily attendant thereto, are deemed to be understood by the contractor and included herein.

Bidders must submit pricing using the Bid Proposal Form (Attachment 2) contained in this document. Bidders must provide pricing for all items on the Bid Proposal Form.

**The contractor agrees that from the effective date of the contract until contract termination, the rates charged by the contractor and paid for by DMNA will be equal to rates provided by the contractor to other clients for like services.**

### **3.4 Term of Contract**

This contract will commence upon purchase order approval by the Office of the State Comptroller (OSC) and will be in effect for three (3) years. **Tentative start date is May 27, 2025.**

The State of New York retains the right to cancel this contract for convenience, provided that the contractor is given at least thirty (30) days written notice of DMNA's intent to cancel. Any cancellation by DMNA under this section shall in no event constitute or be deemed a breach of any contract resulting from this RFP and no liability shall be incurred by or arise against DMNA, its agents and employees therefore for lost profits or any other damages resulting there from. This provision should not be understood as waiving the state's right to terminate the contract for cause or stop work immediately for unsatisfactory work but is supplementary to that provision. See Section 4.14 – Termination.

### **3.5 Price Adjustment (Escalation / De-escalation)**

**The contractor is to submit a bid that will be fixed for one (1) year only. On each anniversary date of the contract, the contractor may be granted an increase in their bid, dependent upon fluctuations in the Consumer Price Index for All Urban Consumers (CPI-U), Northeast, as published by the U.S. Department of Labor, Bureau of Labor Statistics, Washington, D.C. 20212. Visit their website at <http://www.bls.gov/cpi>. Under no circumstance will the increase exceed three percent (3%).**

The 'base' month for determining adjustments will be the third month prior to the start date of the contract. The base month is fixed and will not be adjusted year to year. The adjustments will be based on the difference in the base month CPI for each applicable year and will become effective in the anniversary month. For example, if the contract is awarded in January 2013, the 'base' month will be October. If the contract allows for an adjustment after the first year, it would be based on the difference between the October 2012 CPI and the October 2013 CPI and become effective in January 2014. The consumer price index is published around the middle of each month for the prior month (i.e. the October figure is not published until mid-November). The Contractor has the sole responsibility to request, in letter form, an adjusted rate and shall provide a copy of the index and other supporting documentation necessary to support the increase or decrease with the request. This request and documentation must be received at the below address within three months of the base month. To ensure timely delivery, certified mail is recommended. If the request is submitted and received within the required time frame, the adjustment will be processed using the base month Consumer Price Index. Once approved, the contractor will be notified in writing. **Request and documentation must be sent to the Division of Military and Naval Affairs, 330 Old Niskayuna Road, MNBF-PC, Latham, New York 12110.**

Should a contractor fail to submit the request and supporting documentation to the proper location within three months of the applicable base month date, contractor shall be deemed to have waived its right to any increase in price, but the State shall not be barred from making the appropriate adjustment in the case of a decrease determined in accordance with the above methodology.

Please note that the Material Percentage Mark-up shall remain fixed for the contract term.

### **3.6 Method of Payment**

For the purposes of this contract an invoice will be issued by the contractor to initiate payment processing.

This invoice will contain the purchase order number and, either in its body or as an attachment, that will **itemize work completed**. Such itemization must include at a minimum: date of service, start and finish times, actual number of hours worked, and a detailed description of services performed (such as what type of equipment and material were used), and an itemized cost for services provided. Materials used should be detailed to include quantities, unit prices and mark up percentage to show the total price.

Invoices for payment shall be submitted at the end of each month on a **company invoice** for services satisfactorily completed during that month. A representative from DMNA will attest to the services rendered/goods received and forward the invoice to: Division of Military and Naval Affairs, c/o NYS OGS BSC Accounts Payable, Building 5, 5<sup>th</sup> Floor, 1220 Washington Avenue, Albany, New York 12226-1900 or by email to [AccountsPayable@ogs.ny.gov](mailto:AccountsPayable@ogs.ny.gov)

The invoice will be processed in accordance with established procedures of DMNA and OSC all payments will be subject to the prompt payment provisions of Article XI-A of the New York State Finance Law.

Invoice without the above stated information will be returned to contractor to be completed as required above. Payment will not be issued and will not be due and owing until a corrected invoice is received and approved by DMNA.

### **3.7 Electronic Payment**

The contractor shall provide a complete and accurate billing invoice to receive payment. Billing invoice submitted must contain all information and supporting documentation required by the contract, the agency, and OSC. Payment for invoice submitted by the contractor shall only be rendered electronically unless payment by paper check is expressly authorized by the Adjutant General, at the Adjutant General's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The contractor shall comply with OSC's procedures to authorize electronic payments. Authorization forms are available at OSC's website at <http://www.osc.state.ny.us/epay/index.htm> or by e-mail at [epunit@osc.state.ny.us](mailto:epunit@osc.state.ny.us), or by phone at 518- 474-4032. The contractor acknowledges that it will not receive payment on any invoice submitted under this contract if it does not comply with OSC's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

Please note that in conjunction with New York State's implementation of the new Statewide Financial System, OSC requires all vendors doing business with New York State agencies are to complete a Substitute W-9 form. Vendors registering for electronic payment can complete the W-9 form when they register. Vendors already registered for electronic payment are requested to go to the above website and complete the Substitute W-9 form and submit following the instructions provided.

### **3.8 Past Practice**

The failure to exercise any right hereunder in the past shall not operate as a waiver of such right. No breach of this Agreement shall be deemed waived unless such waiver shall be in writing and signed by the party claimed to have waived. No waiver of any breach of the Agreement at any time in the past shall constitute a waiver of subsequent breach.

### **3.9 Bid Exceptions**

The issuing office will consider all requests to waive any bid requirement. However, bidders should be aware that failure to obtain a waiver of any bid requirement in advance of bid submission could result in rejection of bidder's bid and disqualification from the bidding process. Bidders wishing to obtain an exemption or waiver for any part of this solicitation must contact the issuing office in writing by the Questions Due Date as identified in Section 1.3 - Key Events. The request must cite the specific section and requirement in the question, and clearly identify any proposed alternative. Requests will be considered and responded to in writing, either through an addendum (if the response results in a change to the IFB), or directly to the requesting vendor.

### **3.10 Dispute Resolution**

It is the policy of DMNA, Budget and Finance Directorate to provide vendors with an opportunity to administratively resolve disputes, complaints or inquiries related to bid solicitations or contract awards. The DMNA Budget and Finance Directorate, encourages vendors to seek resolution of disputes through consultation with the DMNA Budget and Finance staff. (Note: prior to the contract award, all disputes must be sent to the designated contact.) All such matters will be accorded impartial and timely consideration. Interested parties may also file formal written disputes.

### **3.11 Inspection of Books**

It is expressly understood and agreed that the DMNA and OSC shall have the right to inspect and audit the contractor's records covered under this Agreement, in accordance with his statutory responsibility to examine the books and accounts of every Agency. OSC requires, and the contractor agrees to, the retention of all material that is pertinent to an audit of the operations under any contract resulting from this IFB for a full six-year period.

### **3.12 Glossary of Terms**

"Issuing Office" shall mean the Division of Military and Naval Affairs.

"Contractor"/"Vendor" shall mean a successful company awarded a contract pursuant to this IFB.

"Request for Proposal" or "IFB" shall mean this document.

The "State" shall mean the People of the State of New York, which shall also mean the New York State Division of Military and Naval Affairs.

"Adjutant General" shall mean the Adjutant General of Military and Naval Affairs or his/her duly authorized representative.

"Offerer" or "Bidder" shall mean any person, partnership, firm, corporation or other authorized entity submitting a bid to the State pursuant to this IFB.

### **3.13 Terminology**

Words of the masculine and feminine genders shall be deemed and construed to include the neuter gender. Unless the context otherwise indicates, the singular number shall include the plural number and vice versa, and words importing persons shall include corporations and associations, including public bodies, as well as natural persons. The terms “hereby,” “hereof,” “hereto,” “herein,” “hereunder,” and any similar terms, as used in this IFB refer to this IFB.

### **3.14 Prime Contractor Responsibilities**

The state will contract only with the successful proposer who is the prime contractor. The issuing office considers the prime contractor, the sole contractor regarding all provisions of the solicitation, and the contract resulting from the solicitation.

No subcontracting is allowed

### **3.15 Staffing Expectations**

DMNA expects that all contractor services will be conducted diligently and effectively with appropriate supervision. Further, it is expected that:

- Contractor’s staff shall conduct themselves in a professional manner with DMNA staff and with the general public.
- Contractor staff shall comply with all rules and requirements of this solicitation, including prohibiting the use of drugs and alcohol prior to or during any work performed under this contract.
- Failure to comply with any of the requirements of this solicitation may result in the removal from the premises.
- All personnel provided, shall have adequate experience for the function being performed. If DMNA determines that the personnel provided are not of adequate experience, DMNA has the right to request, and the contractor shall provide satisfactory substitute personnel.
- Contractors staff assigned for any work are considered employees of that contractor, and as such are not state employees and are not eligible for any NYS benefits.

## **4. CONTRACT CLAUSES AND REQUIREMENTS**

### **4.1 Appendix A / Appendix B / Order of Precedence**

Appendix A — Standard Clauses for New York State Contracts, dated June 2023, attached hereto, is hereby expressly made a part of this solicitation document as fully as if set forth at length herein.

Appendix B – Office of General Services General (OGS) Specifications, dated April 2016, attached hereto, is hereby expressly made a part of this solicitation document as fully as if set forth at length herein and shall govern any situations not covered by this solicitation document or Appendix A.

The agreement resulting from a successful award will include the following documents. Conflicts between these documents will be resolved in the following descending order of precedence:

1. Appendix A
2. This Contract
3. Invitation for Bids IFB 24-88 (this document) with any addendum(s)
4. Appendix B
5. Selected Contractor's Bid

## **4.2 Procurement Lobbying Requirement**

Pursuant to State Finance Law §§139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between DMNA and an offerer/bidder during the procurement process. An offerer/bidder is restricted from making contacts from the earliest notice of intent to solicit offers/bids through final award and approval of the procurement contract by DMNA and, if applicable, OSC ("restricted period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law §139-j (3) (a). Designated staff, as of the date hereof, is identified on the first page of this solicitation. DMNA employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the offerer/bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a four-year period; the offerer/bidder is debarred from obtaining governmental procurement contracts. Further information about these requirements can be found on the OGS website:

<http://www.ogs.ny.gov/aboutogs/regulations/defaultAdvisoryCouncil.html>

## **4.3 Contractor Insurance Requirements**

Prior to the commencement of the work to be performed by the contractor hereunder, the contractor shall file with The People of the State of New York, Division of Military and Naval Affairs (hereinafter referred to as "DMNA"), Certificates of Insurance (hereinafter referred to as "Certificates"), evidencing compliance with all requirements contained in this contract. Such certificates shall be of a form and substance acceptable to DMNA.

Certificate acceptance and/or approval by DMNA do not and shall not be construed to relieve contractor of any obligations, responsibilities or liabilities under the contract.

All insurance required by the contract shall be obtained at the sole cost and expense of the contractor; shall be maintained with insurance carriers licensed to do business in New York State, and acceptable to DMNA; shall be primary and non-contributing to any insurance or self-insurance maintained by DMNA; shall be endorsed to provide written notice be given to DMNA, at least fifteen (15) calendar days prior to the cancellation, non-renewal, or material alteration of such policies, which notice, evidenced by return receipt of United States certified mail; shall be sent to Division of Military and Naval Affairs, Budget and Finance, 330 Old Niskayuna Road, Latham, New York 12110-3514; Attention: Purchasing and Contracting and shall name The People of the State of New York, its officers, agents, and employees as additional insured there under (General Liability Additional Insured Endorsement shall be on Insurance Service Office's (ISO) form number **CG 20 26 11 85** and a copy of the endorsement should accompany the certificate). The additional insured requirement does not apply to Workers Compensation, Disability or Employee Dishonesty Coverage. The contractor shall be solely responsible for the payment of all deductibles and self-insured retentions to which such policies are subject. Deductibles and self-insured retentions must be approved by DMNA. Such approval shall not be unreasonably withheld.

The contractor shall require that any subcontractors hired, carry insurance with the same limits and provisions provided herein.

Each insurance carrier must be rated at least "A-" Class "VII" in the most recently published Best's Insurance Report. If, during the term of the policy, a carrier's rating falls below "A-" Class "VII", the insurance must be replaced no later than the renewal date of the policy with an insurer acceptable to DMNA and rated at least "A-" Class "VII" in the most recently published Best's Insurance Report.

The contractor shall cause all insurance to be in full force and effect as of the commencement date of this contract and to remain in full force and effect throughout the term of this contract and as further required by this contract. The contractor shall not take any action or omit to take any action that would suspend or invalidate any of the required coverage during the period of time such coverage is required to be in effect.

Not less than thirty (30) days prior to the expiration date or renewal date, the contractor shall supply to DMNA updated replacement Certificates of Insurance, and amendatory endorsements.

The contractor, throughout the term of this contract, or as otherwise required by this contract, shall obtain and maintain in full force and effect, the following insurance with limits not less than those described below and as required by the terms of this contract, or as required by law, whichever is greater (limits may be provided through a combination of primary and umbrella/excess policies):

- a) **Commercial General Liability Insurance** with a limit of not less than \$5,000,000 each occurrence. Such liability shall be written on the ISO occurrence form CG 00 01, or a substitute form providing equivalent coverage and shall cover liability arising from premises operations, independent contractors, products-completed operations, broad form property damage, personal and a
  - b) advertising injury, cross liability coverage, liability assumed in a contract (including the tort liability of another assumed in a contract) and
  - c) explosion, collapse and underground coverage.
1. If such insurance contains an aggregate limit, it shall apply separately on a per-job or per-project basis.
  2. Coverage for the use of reasonable force to protect persons and property must be included.
- a) **Commercial Business Automobile Liability Insurance** with a limit of not less than \$2,000,000 each accident. Such insurance shall cover liability arising out of any automobile including owned, leased, hired and non-owned automobiles.
  - b) **The contractor shall maintain, or if subcontracting professional services, shall certify that subcontractor maintain, Errors and Omissions Liability Insurance** with a limit of not less than \$5,000,000 per loss.
1. Such insurance shall apply to professional errors, acts, or omissions arising out of the scope of services covered by this contract.
  2. If coverage is written on a claims-made policy, the contractor warrants that any applicable retroactive date precedes the effective date of this contract; and that continuous coverage will be maintained, or an extended discovery period exercised, for a period of not less than two years from the time work under this contract is completed.
- a) **Workers Compensation / Disability Insurance:** Workers' Compensation, Employer's Liability, and Disability Benefits meeting all New York State statutory requirements are required. If coverage is obtained from an insurance company through an insurance policy, the policy shall provide coverage for all states of operation that apply to the performance of the contract. In addition, if employees will be working on, near or over navigable waters, coverage provided under the US Longshore and Harbor Workers' Compensation Act must be included. Also, if the contract is for temporary services, or involves renting

equipment with operators, the Alternate Employer Endorsement, WC 00 03 01A, must be included on the policy naming the People of the State of New York as the alternate employer.

**PROOF of COMPLIANCE WITH WORKERS' COMPENSATION COVERAGE REQUIREMENTS:**

**ACORD forms** are **NOT** acceptable proof of workers' compensation coverage.

To provide proof of compliance with the requirements of the Workers' Compensation Law pertaining to workers' compensation coverage, contractors shall:

- a) Be legally exempt from obtaining workers' compensation insurance coverage;

**or**

- b) Obtain such coverage from insurance carriers;

**or**

- c) Be a Board-approved self-insured employer or participate in an authorized self-insurance plan. Contractors seeking to enter into contracts with the State of New York **shall provide one of the following forms** to the Division of Military and Naval Affairs at the time of bid submission or shortly after the opening of bids:

**1. Form CE-200, Certificate of Attestation for New York Entities With No Employees and Certain Out of State Entities That New York State Workers Compensation and/or Disability Benefits Insurance Coverage is Not Required** which is available on the Workers' Compensation Board's website <http://www.wcb.ny.gov/> ;

**or**

- b) Certificate of Workers' Compensation Insurance:

**1) Form C-105.2 (9/07)** if coverage is provided by the contractor's insurance carrier, **contractor must request its carrier** to send this form to the New York State Division of Military and Naval Affairs;

**or**

**2) Form U-26.3** if coverage is provided by the State Insurance Fund, contractor must



request that the State Insurance Fund send this form to the New York State Division of Military and Naval Affairs;

**or**

- c) *Certificate of Workers' Compensation Self-Insurance* - Form SI-12, available from the New York State Workers' Compensation Board's Self-Insurance Office;

**or**

- d) *Certificate of Participation in Workers Compensation Group Self-Insurance Form* **GSI-1 05.2**, available from the contractor's Group Self-Insurance Administrator.

**PROOF of COMPLIANCE WITH DISABILITY BENEFITS COVERAGE REQUIREMENTS:**

In order to provide proof of compliance with the requirements of the Workers' Compensation Law pertaining to disability benefits, contractors shall:

- a) Be legally exempt from obtaining disability benefits coverage;

**or**

- b) Obtain such coverage from insurance carriers;

**or**

- c) Be a Board-approved self-insured employer.

Contractors seeking to enter into contracts with the State of New York **shall provide one of the following forms** to the Division of Military and Naval Affairs at the time of bid submission or shortly after the opening of bids:

**1. Form CE-200**, *Certificate of Attestation for New York Entities With No Employees and Certain Out of State Entities, That New York State Workers' Compensation and/or Disability Benefits Insurance Coverage is Not Required* which is available on the Workers' Compensation Board's website <http://www.wcb.ny.gov/> ;

**or**

**2. Form DB-120.1**, *Certificate of Disability Benefits Insurance*. Contractor must request its business insurance carrier to send this form to the Division of Military and Naval Affairs;

**or**

**3. Form DB-1 55**, *Certificate of Disability Benefits Self-Insurance*. The contractor must call the Board's Self-Insurance Office at 518-402-0247 to obtain this form.

**All forms must name the Division of Military and Naval Affairs, Budget and Finance Directorate, 330 Old Niskayuna Road, Latham, New York 12110, as the Entity Requesting Proof of Coverage (Entity being listed as the Certificate Holder).**

**Contractor acknowledges that failure to obtain and/or keep in effect any or all required insurance on behalf of DMNA constitutes a material breach of contract and subjects it to liability for damages, indemnification and a other legal remedies available to DMNA. Contractor's failure to obtain and/or keep in effect any or all required insurance shall also provide the basis for DMNA's immediate**

**termination of any contract resulting from this RFP, subject only to a five (5) business day cure period. Any termination by DMNA under this section shall in no event constitute or be deemed a breach of any contract resulting from this solicitation and no liability shall be incurred by or arise against the DMNA, its agents and employees therefore for lost profits or any other damages.**

#### **4.4 Tax and Finance Clause**

##### **TAX LAW § 5-A:**

Section 5-a of the Tax Law, as amended, effective April 26, 2006, requires certain contractors awarded state contracts for commodities, services and technology valued at more than \$100,000 to certify to the Department of Taxation and Finance (DTF) that they are registered to collect New York State and local sales and compensating use taxes. The law applies to contracts where the total amount of such contractors' sales delivered into New York State are in excess of \$300,000 for the four quarterly periods immediately preceding the quarterly period in which the certification is made, and with respect to any affiliates and subcontractors whose sales delivered into New York State exceeded \$300,000 for the four quarterly periods immediately preceding the quarterly period in which the certification is made.

This law imposes upon certain contractors the obligation to certify whether or not the contractor, its affiliates, and its subcontractors are required to register to collect state sales and compensating use tax and contractors must certify to DTF that each affiliate and subcontractor exceeding such sales threshold is registered with DTF to collect New York State and local sales and compensating use taxes. The law prohibits OSC, or other approving agency, from approving a contract awarded to a contractor meeting the registration requirements but who is not so registered in accordance with the law.

Contractor certification forms and instructions for completing the forms are attached to this IFB. Form ST-220-TD must be filed with and returned directly to DTF. Unless the information upon which the ST-220-TD is based changes, this form only needs to be filed once with DTF. If the information changes for the contractor, its affiliate(s), or its subcontractor(s) a new Form ST-220-TD must be filed with DTF.

Form ST-220-CA must be filed with the bid and submitted to the procuring covered agency certifying that the contractor filed the ST-220-TD with DTF. Proposed contractors should complete and return the certification forms within two business days of request (if the forms are not completed and returned with bid submission). Failure to make either of these filings may render a Bidder non-responsive and non-responsible. Bidders shall take the necessary steps to provide properly certified forms within a timely manner to ensure compliance with the law.

Vendors may call DTF at **1-800-698--2909** for all questions relating to Section 5-(a) of the Tax Law and relating to a company's registration status with the DTF. For additional information and frequently asked questions, please refer to the DTF web site: <http://www.tax.ny.gov/>

#### **4.6 Freedom of Information Law / Trade Secrets**

During the evaluation process, the content of each bid/bid will be held in confidence and details of any bid/bid will not be revealed (except as may be required under the Freedom of Information Law or other State law). The Freedom of Information Law provides for an exemption from disclosure for trade secrets or information the disclosure of which would cause injury to the competitive position of commercial enterprises. This exception would be effective both during and after the evaluation process.

**SHOULD YOU FEEL YOUR FIRM'S BID/BID CONTAINS ANY SUCH TRADE SECRETS OR OTHER CONFIDENTIAL OR PROPRIETARY INFORMATION, YOU MUST SUBMIT A REQUEST TO EXCEPT SUCH INFORMATION FROM DISCLOSURE. SUCH REQUEST MUST BE IN WRITING, MUST STATE THE REASONS WHY THE INFORMATION SHOULD BE EXEMPTED FROM DISCLOSURE AND MUST**

BE PROVIDED AT THE TIME OF SUBMISSION OF THE SUBJECT INFORMATION. REQUESTS FOR EXEMPTION OF THE ENTIRE CONTENTS OF A BID/BID FROM DISCLOSURE HAVE GENERALLY NOT BEEN FOUND TO BE MERITORIOUS AND ARE DISCOURAGED. KINDLY LIMIT ANY REQUESTS FOR EXEMPTION OF INFORMATION FROM DISCLOSURE TO BONA FIDE TRADE SECRETS OR SPECIFIC INFORMATION, THE DISCLOSURE OF WHICH WOULD CAUSE A SUBSTANTIAL INJURY TO THE COMPETITIVE POSITION OF YOUR FIRM.

## **4.7 General Requirements**

- The bidder agrees to adhere to all state and federal laws and regulations in connection with the contract.
- The bidder agrees to notify DMNA of any changes in the legal status or principal ownership of the firm, forty-five (45) days in advance of said change.
- The bidder agrees that in any contract resulting from this IFB it shall be completely responsible for its work, including any damages or breakdowns caused by its failure to take appropriate action.
- The bidder agrees that any contract resulting from this IFB may not be assigned, transferred, conveyed or the work subcontracted without the prior written consent of the Adjutant General.
- For reasons of safety and public policy, in any contract resulting from this IFB, the use of illegal drugs and/or alcoholic beverages by the contractor or its personnel shall not be permitted while performing any phase of the work herein specified.
- For purposes of any contract resulting from this IFB, the State will not be liable for any expense incurred by the contractor for any parking fees or as a consequence of any traffic infraction or parking violations attributable to employees of the contractor.
- The Adjutant General's interpretation of specifications shall be final and binding upon the contractor.
- The Adjutant General of DMNA will make no allowance or concession to the bidder for any alleged misunderstanding because of quantity, quality, character, location or other conditions.
- Should it appear that there is a real or apparent discrepancy between different sections of specifications concerning the nature, quality or extent of work to be furnished, it shall be assumed that the bidder has based its bid on the more expensive option. Final decision will rest with the Adjutant General of DMNA.
- INSPECTION – For purposes of any contract resulting from this IFB, the quality of service is subject to inspection and may be made at any reasonable time by the State of New York. Should it be found that quality of services being performed is not satisfactory and that the requirements of the specifications are not being met, the Adjutant General of DMNA may terminate the contract and employ another contractor to fulfill the requirements of the contract. The existing contractor shall be liable to the State of New York for costs incurred on account thereof.
- STOP WORK ORDER - The Adjutant General of DMNA reserves the right to stop the work covered by this IFB and any contract(s) resulting there from at any time that it is deemed the successful bidder is unable or incapable of performing the work to the state's satisfaction. In the event of such stopping, DMNA shall have the right to arrange for the completion of the work in such manner as it may deem advisable and if the cost thereof exceeds the amount of the bid, the existing contractor shall be liable to the State of New York for any such costs on account thereof. In the event that DMNA issues a stop work order for the work as provided herein, the

contractor shall have ten (10) working days to respond thereto before any such stop work order shall become effective.

- It is the contractor's responsibility to maintain all equipment and materials provided for the work consistent with applicable public safety and health codes.
- DMNA reserves the right to reject any employee hired by the contractor.

## **4.8 Contract Terms**

All provisions and requirements of, Appendix A - Standard Clauses for New York State Contracts, which is attached hereto and forms a part hereof, will be incorporated into any contract resulting from this IFB, and will be binding upon the parties to such contract.

All provisions and requirements, which are attached hereto and form a part hereof, will be incorporated into any contract resulting from this IFB, and will be binding upon the parties to such contract.

It is stipulated and agreed by the parties that the law of the State of New York shall solely and in all respects govern with relation to any dispute, litigation, or interpretation arising out of or connected with any contract resulting from this IFB.

Any contract resulting from this IFB shall not be deemed executed, valid or binding unless and until approved in writing by the Attorney General and the Comptroller of the State of New York.

## **4.9 Subcontractors**

No subcontracting allowed.

## **4.10 Procurement Rights**

The State of New York reserves the right to:

1. Reject any and all proposals received in response to this solicitation.
2. Disqualify a proposer from receiving the award if the proposer, or anyone in the proposer's employ, has previously failed to perform satisfactorily in connection with public bidding or contracts.
3. Correct proposers' mathematical errors and waive or modify other minor irregularities in proposals received, after prior notification to the proposer.
4. Adjust any proposer's expected costs of the bid price based on a determination of the evaluation committee that the selection of the said proposer will cause the state to incur additional costs. Utilize any and all ideas submitted in the proposals received.
5. Negotiate with proposers responding to this solicitation within the solicitation requirements to serve the best interests of the state.
6. Begin contract negotiations with another bidding contractor(s) in order to serve the best interests of the State of New York should the State of New York be unsuccessful in negotiating a contract with the selected contractor within 21 days of selection notification.
7. Waive any non-material requirement not met by all proposers.

8. Not make an award from this solicitation.
9. Make an award under this solicitation in whole or in part.
10. Make multiple contract awards pursuant to the solicitation.
11. Have any service completed via separate competitive bid or other means, as determined to be in the best interest of the state.
12. Seek clarifications of proposals.
13. If two or more offers are found to be substantially equivalent, the Adjutant General of DMNA, at his sole discretion, will determine award.

**Please Note:** The state is not liable for any cost incurred by a proposer in the preparation and production of a proposal or for any work performed prior to the issuance of a contract.

#### **4.11 Extent of Services**

DMNA reserves the right to re-negotiate at its discretion to reduce the amount of services provided under any contract resulting from this solicitation. Any reduction in services shall be effectuated by written amendment to the contract and subject to approval by OSC.

#### **4.12 Right To Know**

In accordance with the New York State Toxic Substance Act (Right-to-Know Law) and the United States Occupational Safety and Health Administration's Hazard Communication Standard, before any chemical product is used on or in any building, a copy of the product label and Material Safety Data Sheet must be provided to and approved by the armory superintendent before the chemical is applied.

#### **4.13 Debriefings**

Bidders will be accorded fair and equal treatment with respect to their opportunity for debriefing. Prior to contract award, DMNA shall, upon request, provide a debriefing which would be limited to review of that bidder's bid. After contract award, DMNA shall, upon request, provide a debriefing to any bidder that responded to the RFP, regarding the reason that the bid or bid submitted by the unsuccessful bidder was not selected for a contract award. The post award debriefing should be requested by the bidder within thirty days of the contract award notification.

#### **4.14 Termination**

##### **A. Termination**

DMNA may, upon thirty (30) days' notice, terminate the contract resulting from this IFB in the event of the awarded bidder's failure to comply with any of the proposal's requirements unless the awarded bidder obtained a waiver of the requirement. In addition, DMNA may also terminate any contract resulting from this IFB upon ten (10) days written notice if the contractor makes any arrangement or assignment for the benefit of the creditors.

Furthermore, DMNA shall have the right, in its sole discretion, at any time to terminate a contract resulting from this IFB, or any unit portion thereof, with or without cause, by giving thirty (30) days written notice of termination to the contractor. Any termination by DMNA under this section shall in no event constitute or be

deemed a breach of any contract resulting from this IFB and no liability shall be incurred by or arise against DMNA, its agents and employees therefore for lost profits or any other damages.

**B. Procurement Lobbying Termination**

DMNA reserves the right to terminate this agreement in the event it is found that the certification filed by the contractor in accordance with New York State Finance Law §139-k was intentionally false or intentionally incomplete. Upon such finding, DMNA may exercise its termination right by providing written notification to the contractor in accordance with the written notification terms of this agreement.

## **4.15 NYS Standard Vendor Responsibility**

**A. General**

The contractor shall at all times during the contract term remain responsible. The contractor agrees, if requested by the Adjutant General of DMNA or his or her designee, to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance, and organizational and financial capacity.

**B. Suspension of Work (for Non-Responsibility)**

The Adjutant General of DMNA or his or her designee, in his or her sole discretion, reserves the right to suspend any or all activities under this contract, at any time, when he or she discovers information that calls into question the responsibility of the contractor. In the event of such suspension, the contractor will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, the contractor must comply with the terms of the suspension order. Contract activity may resume at such time as the Adjutant General or his or her designee issues a written notice authorizing a resumption of performance under the contract.

**C. Termination (for Non-Responsibility)**

Upon written notice to the contractor, and a reasonable opportunity to be heard with appropriate DMNA officials or staff, the contract may be terminated by the Adjutant General or his or her designee at the contractor's expense where the contractor is determined by the Adjutant General or his or her designee to be non-responsible. In such event, the Adjutant General or his or her designee may complete the contractual requirements in any manner he or she may deem advisable and pursue available legal or equitable remedies for breach.

**D. Questionnaire**

DMNA conducts a review of prospective contractors ("bidders") to provide reasonable assurances that the bidder is responsive and responsible. A questionnaire is used for non-construction contracts and is designed to provide information to assess a bidder's responsibility to conduct business in New York based upon financial and organizational capacity, legal authority, business integrity, and past performance history. By submitting a bid, bidder agrees to fully and accurately complete the "questionnaire." The bidder acknowledges that the state's execution of the contract will be contingent upon the state's determination that the bidder is responsible, and that the state will be relying upon the bidder's responses to the questionnaire when making its responsibility determination.

DMNA recommends each bidder file the required questionnaire online via the New York State VendRep System. To enroll in and use the VendRep System, please refer to the VendRep System Instructions and User Support for Vendors available at OSC's website, <http://www.osc.state.ny.us/vendrep/index.htm> or to enroll, go directly to the VendRep System online at <https://portal.osc.state.ny.us>.

OSC provides direct support for the VendRep System through user assistance, documents, online help, and a help desk. The OSC Help Desk contact information is located at [http://www.osc.state.ny.us/vendrep/info\\_vrsystem\\_vendor.htm](http://www.osc.state.ny.us/vendrep/info_vrsystem_vendor.htm) Bidders opting to complete the paper

questionnaire can access this form and associated definitions via the OSC website at:  
[http://www.osc.state.ny.us/vendrep/forms\\_vendor.htm](http://www.osc.state.ny.us/vendrep/forms_vendor.htm) A form is also provided in Appendix C.

In order to assist the state in determining the responsibility of the bidder, the bidder should complete and certify (or recertify) the questionnaire no more than six (6) months prior to the bid due date.

A bidder's questionnaire cannot be viewed by DMNA until the bidder has certified the questionnaire. It is recommended that all bidders become familiar with all of the requirements of the questionnaire in advance of the bid opening to provide sufficient time to complete the questionnaire. The bidder agrees that if it is found by the state that the bidder's responses to the questionnaire were intentionally false or intentionally incomplete, on such finding, DMNA may terminate the contract. In no case shall such termination of the contract by the state be deemed a breach thereof, nor shall the state be liable for any damages for lost profits or otherwise, which may be sustained by the contractor as a result of such termination.

#### **4.16 Ethics Compliance**

All proposers/contractors and their employees must comply with the requirements of §§73 and 74 of the Public Officers Law, other state codes, rules, regulations, and executive orders establishing ethical standards for the conduct of business with New York State. In signing the contract, the contractor certifies full compliance with those provisions for any present or future dealings, transactions, sales, contracts, services, offers, relations, etc., involving New York State and/or its employees. Failure to comply with those provisions may result in disqualification from the bidding process, termination of contract, and/or other civil or criminal proceedings as required by law.

#### **4.17 Extension of Use**

Any contract resulting from the solicitation may be extended to additional state agencies upon mutual agreement between the requesting agency, DMNA, and the contractor, and subject to applicable approvals. DMNA reserves the right to negotiate additional discounts based on any increased volume generated by such extensions.

#### **4.18 Indemnification**

The contractor shall assume all risks of liability for its performance, or that of any of its officers, employees, subcontractors or agents, of any contract resulting from this solicitation and shall be solely responsible and liable for all liabilities, losses, damages, costs or expenses, including attorney's fees, arising from any claim, action or proceeding relating to or in any way connected with the performance of this Agreement and covenants and agrees to indemnify and hold harmless the State of New York, its agents, officers and employees, from any and all claims, suits, causes of action and losses of whatever kind and nature, arising out of or in connection with its performance of any contract resulting from this solicitation, including negligence, active or passive or improper conduct of the contractor, its officers, agents, subcontractors or employees, or the failure by the contractor, its officers, agents, subcontractors or employees to perform any obligations or commitments to the State or third parties arising out of or resulting from any contract resulting from this solicitation. Such indemnity shall not be limited to the insurance coverage herein prescribed its officers, agents, subcontractors or employees to perform any obligations or commitments to the State or third parties arising out of or resulting from any contract resulting from this solicitation. Such indemnity shall not be limited to the insurance coverage herein prescribed.

## **4.19 Force Majeure**

Neither party hereto will be liable for losses, defaults, or damages under any contract resulting from this solicitation which result from delays in performing, or inability to perform, all or any of the obligations or responsibilities imposed upon it pursuant to the terms and conditions of this solicitation, due to or because of acts of God, the public enemy, acts of government, earthquakes, floods, strikes, civil strife, fire or any other cause beyond the reasonable control of the party that was so delayed in performing or so unable to perform provided that such party was not negligent and shall have used reasonable efforts to avoid and overcome such cause. Such party will resume full performance of such obligations and responsibilities promptly upon removal of any such cause.

## **4.20 Appendices and Exhibits**

The proposer's attention is directed to the appendices and exhibit documents attached hereto and hereby incorporated by reference and made part hereto as fully as if it were set forth at length herein. They are part of this solicitation and will be part of the subsequent contract. The proposer is responsible for adhering to all requirements of the appendices and exhibits.

## **4.21 Iran Divestment Act**

As a result of the Iran Divestment Act of 2012 (Act), Chapter 1 of the 2012 Laws of New York, a new provision has been added to the State Finance Law (SFL), § 165-a, effective April 12, 2012. Under the Act, the Commissioner of OGS will be developing a list (prohibited entities list) of "persons" who are engaged in "investment activities in Iran" (both are defined terms in the law). Pursuant to SFL § 165-a(3)(b), the initial list is expected to be issued no later than 120 days after the Act's effective date, at which time it will be posted on the OGS website.

By submitting a bid in response to this solicitation or by assuming the responsibility of a contract awarded hereunder, bidder/contractor (or any assignee) certifies that once the prohibited entities list is posted on the OGS website, it will not utilize on such contract any subcontractor that is identified on the prohibited entities list.

Additionally, the bidder/contractor is advised that once the list is posted on the OGS website, any contractor seeking to renew a contract or assume the responsibility of a contract awarded in response to the solicitation, certifies at the time the contract is renewed or assigned that it or its assignee is not included on the prohibited entities list.

During the term of the contract, should DMNA receive information that a person is in violation of the above-referenced certification, DMNA will offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment which is in violation of the Act within 90 days after the determination of such violation, then DMNA shall take such action as may be appropriate including, but not limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the contractor in default.

DMNA reserves the right to reject any bid or request for assignment for an entity that appears on the prohibited entities list prior to the award of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the prohibited entities list after contract award.



## **4.22 Prevailing Wage**

Work being bid is subject to the prevailing wage rate provisions of New York State Labor Law as published by the New York State Department of Labor. Prevailing wage schedule PRC#2025001307 has been assigned this project. Further information can be found in Appendix B.

Any Federal or State violation of public works laws or regulations, labor law or regulation, or any OSHA violation deemed serious or willful may be grounds for a determination of vendor non-responsibility and rejection of bid.

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# **ATTACHMENT 1**

## **SCOPE OF WORK**

**PART 1 GENERAL****1.01 Scope.**

- A. This Statement of Work (SOW) defines the effort required for the annual, quarterly, or monthly inspection, and maintenance of existing HVAC systems and associated component's, in accordance with manufacturer's recommendations, and National Fire Protection Association (NFPA). Location, Frequency and Device list is in Appendix –D- Building Equipment List

**1.02 Hours of Operation.**

- A. Normal duty hours are 7:30 AM through 4:00 PM, Monday through Friday. Federal holidays are non-work days. If a federal holiday falls on a Saturday or Sunday, the preceding Friday or following Monday is a work holiday.

**1.03 General Requirements.**

- A. The contractor shall supply all tools, materials, supplies, equipment, labor and supervision necessary for the complete execution of the requirements within the contract documents and requirements of this SOW.
- B. The Contractor shall maintain proper Lockout/Tag out (LOTO) Notifications or designations prior to working on, or de-energizing any mechanical or electrical equipment, IAW with OSHA 29 CFR 1910.147.
- C. The contractor shall provide notification prior to being allowed access a minimum of two (2) business days before the contractor starts work. The contractor shall provide notification a minimum of seven (7) business days before the shut-down of any active HVAC Equipment in which would impact the building climate control.
- D. The contractor shall clean all work areas, at the end of each workday, to remove all tools, equipment, debris, materials, and all waste from the work site. All replaced parts or equipment shall be offered to the site superintendent, prior to disposal.

**1.04 Safety Requirements.**

- A. The contractor shall be responsible for complying with all Federal, and State health and safety requirements that are applicable to this project and shall use all means and precautions available to ensure the safety of the occupants and protection to the existing buildings and structures.

**1.05 Applicable Documents.**

- A. National Fire Protection Association (NFPA).
  - 1. NFPA – National Fire Protection Act
  - 2. NEC – National Electric Code
  - 3. ASME – American Society of Mechanical Engineers
  - 4. ASHRAE – American Society of Heating, Refrigeration and Air Conditioning Engineers
  - 5. NYCRR – NYS Codes, Rules and Regulations
  - 6. APPENDIX - D - Building and Equipment List
  - 7. APPENDIX - E - Boiler Checklist (Example)

**PART 2 PRODUCTS****2.01 General.**

- A. All work shall be in strict accordance with product manufacturer's instructions and specifications, including but not limited to manufacturer guidance for storage, staging, application, installation, and disposal of the product.
- B. Contractor shall be responsible to provide all tools, ladders, lifting devices, safety equipment, and all other pertinent material or equipment to properly complete contract scope identified within.
- C. All disposal of general garbage, recyclables, and old material/equipment, shall be the contractor's responsibility and disposed of properly off-site.
- D. All requests for storage of materials on site shall be made by contractor to site superintendent upon project start, all requests shall be allowed as possible but not guaranteed by DMNA.

**PART 3 PERFORMANCE****3.01 Inspection and Maintenance**

- A. The contractor shall perform inspection and maintenance, to include frequency of all systems and buildings, per APPENDIX – D – Building Equipment List.
- B. The contractor shall perform operational system testing, with the assistance of the building superintendents; all system testing shall be planned between the contractor and site superintendent to allow for a time when the building superintendent is available.
- C. Where any devices/equipment are inaccessible for safety considerations, it shall be the Contractor's responsibility to identify devices/equipment, and the contractor shall obtain written concurrence from the building superintendent, that it is inaccessible and outside of the contract requirements.
- D. Annual Maintenance of the boiler or heating system shall be at the beginning of the heating season (as defined by site superintendent) and shall include but not limited to the following. Inspection and cleaning of the pilot assembly and burner/heat exchanger, oil nozzle replacement, oil filter replacement, air filter replacement, Boiler chamber tubes and vessel, burner calibration and testing. Safety controls such as low water cut outs, limit switches, relief valves, sight glass, rollout sensors, draft controls, Inducer and blower motors, relays, circuit boards, water PH levels, water chemical testing, water chemical additions for steam boilers, and transformers. Contractor shall add water to correct level and start boiler to verify the proper operation of the pressure, and set points, test functionality of high limit, low water cut-off and other safeties. Contractor shall also perform a blow down of steam boilers before the start of heating season.
- E. Annual Maintenance of the cooling systems, to include chillers, AHU's, MAU', RTU's, ERU's, and all direct expansion (DX) cooling systems shall be completed prior to summer cooling season. Maintenance and cleaning shall include but not limited to belts tensioning, filters replacement, safety switches testing, refrigerant super heat verification and testing, VFD setting verification, wire tensioning, airflow switch testing, actuator and louver verification and adjustment, water levels, water treatment testing and chemical addition as well as following all manufactures recommendations equipment specific per location.
- F. Annual Cleaning and service shall be bid with associated man-hours identified per site, incidental material shall be covered under 3.01 I.

- G. Quarterly Maintenance, (If Identified in APPENDIX –D) Contractor shall bid man hours associated with onsite presence quarterly for system inspection and maintenance.
- H. All maintenance and inspections shall be in accordance with manufactures recommendations per piece of equipment. All maintenance work and inspection logs shall be contractor supplied and current per location and equipment, as well as a copy turned over to building superintendent after each visit. Example of Boiler maintenance checklist in within APPENDIX – E – Boiler Checklist (Example).
- I. The contractor shall correct minor discrepancies or impairments to the installed systems on the spot (e.g. wiring found disconnected, belt tensioning, etc.). The Government prior to taking corrective action shall approve major deficiencies. Contractor shall provide a service ticket per site visit identifying the materials replaced during the site visit.
- J. Contractor shall be responsible for providing and adding chemicals for water treatment on any piece of equipment serviced, identified in Appendix D Building Equipment list. Chemicals shall be added during the equipment inspection, and frequency identified. Chemicals shall be supplied in kind with the current on site chemicals; the quantity to be supplied shall be adequate for the contract term. In any instance that the current chemicals are not identified or found to be wrong for the application, the contractor will follow the proper industry standards for chemicals, IAW the manufactures recommendations (Safety Data Sheets for all Chemicals shall be contractor supplied and left in existing per building on site MER log books).
- K. The contractor shall provide a detailed Inspection Schedule per building or location, for Government review and approval.
- L. The contractor and the Government shall review the current inspection and test status against the planned work monthly on site, or a follow up conversation over the phone between the contractor and the site superintendent /delegated gov. employee, the contractor shall provide an updated work schedule monthly if the project begins to deviate from the schedule.
- M. Each site will have an estimated number of HVAC systems per Appendix D, contractor shall verify as necessary for bid and service requirements. Actual quantity's and devices may vary slightly from this list and shall be the contractors responsibility to verify and update the list as necessary for record keeping, all updated lists shall be turned over to building superintendents upon completion of service.

### 3.02 Emergency Service Calls.

- A. Contractor shall agree per this contract to respond on site for repair, to all emergency service calls within eight (8) hours of call if requested, emergency service calls may consist of any and all associated emergency situations, such as no heat, no AC, etc.
- B. The contractor shall agree to charge a set bid upon hourly rate of normal duty hours as well as off-hour rate for emergency service, outlined as a submittal prior to contract award, and shall be used in determining best value for contract award. Billable hours shall be from time on site to time leaving site, no additional travel time shall be allowed in bid.

3.03 Major Repairs and Contingencies

- A. In the event of major deficiencies as described in Section 3.01, Sub-Section I, contractor shall submit to the site superintendent a written estimate of repair using the same set bid upon labor rate and percentage markup for parts as set forth in Section 3.01.
- B. For repairs under this Section 3.03, DMNA shall have the right to approve or disapprove contractor estimates. DMNA shall also have the right to negotiate such estimates and/or to purchase parts separately.

C. **PART 4 DOCUMENTATION**4.0 Documentation.

- A. The contractor shall provide all reports and service order slips as legible, professionally appearing document, which include the contractor's company name, company address, and company phone number.
- B. All belts and filters shall be conspicuously labelled by the contractor with the date they were changed/replaced.
- C. Contractor shall annotate date and work summary in boiler room logbooks.

**PART 2 APPENDICES**

- A. APPENDIX – D - Building and Equipment List
- B. APPENDIX – E - Boiler Checklist (Example)
- C. Consolidated List of Submittals

Consolidated List of Submittals

Line	Item Submitted	Submittal Needed By	Submittal Reviewed By (Office)
1	Maintenance Schedule	NLT 14 Calendar Days After Award	Contract Management
2	Inspection Plan (Inspection Reference Sheet/s)	NLT 7 Calendar Days After Award	Contract Management

Frequency as follows: (Annual = Once a Year), (Component = Included with equipment frequency), (Quarterly = 4 times a year), (Monthly = 12 times a year), (Not Included = No Service Required)

APPENDIX D

Date of origin	Frequency	Building	Use Data	Component	Tag	Location	Manufacturer	Model #	Serial #	Rating/BTU	Filter Size	Belt Size	Height if Applicable
	Annual	Building 32	Under construction.	Hot Water Boiler - Oil Fired			Burnham	V-8 Series PV83					
	Component	Building 32	Will come online summer 2	Circulator			Taco	007-45					
	Component	Building 32	Split units same as Bldg 507	Burner			Beckett	AFG					
	2023 Annual	Building 32	Transient use mostly on we	Hot Water Heater - Electric			Rheem	PROE201RHP0U	0A22112578				
	Component	Building 32	10-12 Personnel limit	Oil Burner			Wayne	COF 315-850 Series					
	Annual	Building 50	3-4 People full time	Split System	Daikin Split	Server Room	Daikin	R2R30P-VU	A000453				
	Annual	Building 50	Occupied 24-7	Heat Pump	Trane Heat Pump	Guard Shack	Trane	GAMSB0836M31EAA	1605281AV				
	Annual	Building 50					AO-Smith	DEL30110	1619W001309	30GAL 208 VOLT			
	Annual	Building # 69	1 Person	propane - Hot Air Furnace			York	TM9E080C16WP12C	W2K2946221				
	Building # 69												
	2023 Annual	Building # 69		Water heater			TINY TITAN	E616U0175V	1336J005458	6 gal			
	Annual	Building # 70	1 Person Full Time.	Boiler	Boiler	Mechanical Room	AERCO	BMK750					
	Component	Building # 70	Transient use up to 40 peop	Pump		Mechanical Room	Taco	1919					
	Annual	Building # 70	mostly on weekends.	UH-1			Sterling	HS-18					
	Annual	Building # 70		UH-2			Elec 013	HS-18					
	Annual	Building # 70		UH-3			Mech 014	HS-84					
	Annual	Building # 70		UH-4			Mech 014	HS-84					
	Annual	Building # 70		UH_5			Janitor 004	Sterling	HS-18				
	Annual	Building # 70		CU-1	Split System		AAON	CFA-015					
	Annual	Building # 70		CU-2	Split System		AAON	CFA-025					
	Annual	Building # 70		CU-3	Split System		AAON	CFA-026					
	Annual	Building # 70		AHU 1	Split System	Indoor	AAON	H3-C					14
	Annual	Building # 70		AHU 2	Split System	Indoor	AAON	H3-D					14
	Annual	Building # 70		AHU 3	Split System	Indoor	AAON	H3-D					14
	Annual	Building # 70		FCU-1	Heat Pump Ductless			H3-D					
	Annual	Building # 70		FCU-2	Heat Pump Ductless								
	Annual	Building # 70		CU-4	Heat Pump Ductless								
	Annual	Building # 70		CU-4	Heat Pump Ductless								
	Annual	Building # 70		DVWH-208 VOLT			CHRONOMITE	ER-120I/208_3P	1298164				
	Apr-20 Annual	Building # 70		WH			EEMAX	AMM010240T	2777550				
	May-20 Annual	Building # 70		WH			EEMAX	AMM010240T	278826				
	Annual	Building # 75	Transient use. 40 people.	Air Handling Unit	AHU-1	Mechanical Room	Greenheck Fan Corp	IGX-118-H32-HZ	15083302				
	Annual	Building # 75	Mostly on weekends	AHU Condensing Unit		Outside of Building	YORK	YD150C00A231LB4	NZE1944072				
	2023 Annual	Building # 75		Water heater			AO SMITH	DEL-20102	1719106123861				
	Annual	Building # 75		Split System	Split System	Indoor/Outdoor	Mitsubishi	PUZ-A18NKA7	76U03245C				
	Annual	Building # 82	4 People. Frequent foot traf	Hot Water Boiler - Gas Fired	Boiler 1	Boiler Room	HB Smith	PGB 100-W-12	GB 98-1750	229,000 BTU			
	Component	Building # 82	out.	Circulator	Serves Boiler 1	Boiler Room		D89 1 1/4 AA 4 7/8					
	Component	Building # 82		Hot Water Circulator Pump		Boiler Room	B&G	E-60 1.25X5.25	1EF0161F				
	Sep-23 Annual	Building # 82		Hot Water Heater - Gas Fired		Boiler Room	Rheem	PROG40-36P-RH6Z	Q392312360	40 GAL			
	Annual	Building # 84	2 People full time.	Hot Water Boiler - Oil Fired	Boiler 1	Boiler Room	Peerless	5C/5CT-90-WL	656198-201102				
	Component	Building # 84	30 People on weekend per	Oil Burner	Serves Boiler 1	Boiler Room	Beckett	CF500	160209-06005	1.75-5.5			
	Annual	Building # 84	one week in September.	Hot Water Heater - Electric	HWH 1	Boiler Room	AO Smith	ENT-50-110	173107220951	50 gallon			
	Component	Building # 84		Hot Water Circulator Pump		Boiler Room	Taco	16123EI 5.75	43877	1/2HP			
	Annual	Building # 86 N	2-6 people	Hot Air Furnace - Oil Fired	Furnace 1	Engineering Office Area	Williamson	T167-10-1	A8903412	250,000 BTU	16X25X1	A32	A32
	Annual	Building # 86 N		Lift Pump (oil)	Services Furnace	Engineering Office Area		P239-2	317P405	1/4 HP			
	Component	Building # 86 N		5 Gal Day Tank									
	Nov-15 Annual	Building # 86S	1 person full time, frequent	Hot Water Heater - Electric	HWH-1	Mechanic Shop	Rheem	XE40065T45U1	A461513988	40 Gal			
	Annual	Building # 86S	of 12 people throughout the	Hot Air Furnace - Oil Fired	Furnace 1	Mechanic Shop	Oneida Royal	L-H0-190RB4	14487	188,000BTU			
	Annual	Building # 86S		Hot Air Furnace - Oil Fired	Furnace 2	Mechanic Shop	Oneida Royal	L-H0-190RB4	14489	188,000BTU			
	Annual	Building # 86S		Water heater-Electric	HWH-2	Mechanic Shop	AO Smith	EES30913	MB91-0030913	30 GAL			
	Annual	Building # 86S		Transfer Pump	Services Furnaces in Mecha	Mechanic Shop		P239-2	316P758	1/4 HP			
	Component	Building # 86S		5 Gal Day Tank									
	Annual	Building # 87	Storage. People come and g	Infra Red Space Heaters			Panel Bloc			125,000 BTU			
	Annual	Building # 87	sporadically.	AHU		Filter Room	Magic Aire	180/240BMW/BMX	961080479		(2) 25X25X1(2) B65		B65
	Annual	Building # 87		Hot Water Boiler Oil Fired	Boiler 1	Boiler Room	HB Smith	19 Series / 8 Section	F98-81	657,000 BTU			
	Component	Building # 87		Oil Fired Burner	Serves Boiler 1		Carlin	702CPRW		7.50 GHP 140,000 BTU			
	Component	Building # 87		Circulator Pump	Pump 1	Boiler Room	B&G	189105		1/4 HP			
	2023 Annual	Building # 89		Hot Air Furnace Oil Fired	Furnace 1	Basement	YORK	YC2F481B215A	YC2F481B215A	113,000 to 125,000 BTU	20X25X2		
	2023 Component	Building # 89	2022 or early 2023. Will hol	Oil Burner	Serves Furnace		Beckett AFG	41992-002	970 304-21803				





Date of origin												
Frequency	Building	Use Data	Component	Tag	Location	Manufacturer	Model #	Serial #	Rating/BTU	Filter Size	Belt Size	Height if Applicable
Annual	Building #503	13 units	Fan units		13 units south wing	Johnson control	FMX	6M1M003120				
Annual	Building #503		Exhaust Fans	heat pump		Daikin	RXS12L1V1U	EO39103				
Annual	Building #503		Chiller	CH-1		York	SEIM-771740					
Annual	Building #504	Transient use on long week	City Multi A/C Condensing Unit		Outside Building	Mitsubishi	PUHY-P120THMU-A	9XW00440				
Annual	Building #504	summer weeks of between	City Multi A/C Condensing Unit		Outside Building	Mitsubishi	PUHY-P120THMU-A	97W00281				
Annual	Building #504	600 people.	City Multi A/C Condensing Unit		Outside Building	Mitsubishi	PUHY-P120THMU-A	9XW00442				
Annual	Building #504		City Multi A/C Condensing Unit		Outside Building	Mitsubishi	PUHY-P120THMU-A	9XW00438				
Annual	Building #504 South		Ductless Split System	1-31-A	1st Floor East Wing	Mitsubishi	PEFY-P48MMHU-E	98W01658		14x34x1		
Annual	Building #504 South		Ductless Split System	1-32-A	1ST Floor West Wing	Mitsubishi	PEFY-P30MMHU-E	74W00591		14x34x1		
Annual	Building #504 South		Ductless Split System	1-32-B	1ST Floor West Wing	Mitsubishi	PEFY-P36MMHU-E	98W01929		14x43x1		
Annual	Building #504 South		Ductless Split System	2-18-A	2nd Floor West Wing	Mitsubishi	PEFY-P36MMHU-E	98W01928		14x43x1		
Annual	Building #504 South		Ductless Split System	2-18-B	2nd Floor West Wing	Mitsubishi	PEFY-P48MMHU-E	98W01621		14x43x1		
			Officers Barracks, 2nd Floor West Wing									
Annual	Building #504 South		Ductless Split System	2-11-A	Wing	Mitsubishi	PEFY-P20MMHU-E	6XW00109		14x34x1		
Annual	Building #504 South		Ductless Split System	2-16-A	2nd Floor East Wing	Mitsubishi	PEFY-P30MMHU-E	6XW00108		14x36x1		
Annual	Building #504 South		Ductless Split System	2-16-B	2nd Floor East Wing	Mitsubishi	PEFY-P30MMHU-E	74W00601		14x36x1		
			Officers Barracks, 2nd Floor West									
Annual	Building #504 North		Ductless Split System	2-08-A	Slide	Mitsubishi	PEFY-P30MMHU-E	74W00599		14x34x1		
Annual	Building #504 North		Ductless Split System	2-2-A	2nd Floor West Wing	Mitsubishi	PEFY-P36MMHU-E	98W01931		14x43x1		
Annual	Building #504 North		Ductless Split System	2-2-B	2nd Floor West Wing	Mitsubishi	PEFY-P48MMHU-E	98W01654		14x43x1		
Annual	Building #504 North		Ductless Split System	2-1-A	2nd Floor East Wing	Mitsubishi	PEFY-P20MMHU-E	74W00600		14x36x1		
Annual	Building #504 North		Ductless Split System	2-1-B	2nd Floor East Wing	Mitsubishi	PEFY-P30MMHU-E	74W00598		14x34x1		
			Officers Barracks, 2nd Floor East									
Annual	Building #504 North		Ductless Split System		Slide	Mitsubishi	PEFY-P24MMHU-E	97W01984		14x25x1		
Annual	Building #504 North		Ductless Split System	1-1-A	1st Floor	Mitsubishi	PEFY-P48MMHU-E	98W01620		14x43x1		
Annual	Building #504 North		Ductless Split System	1-1-B	1st Floor	Mitsubishi	PEFY-P36MMHU-E	98W01930		14x43x1		
Annual	Building #504 North		Ductless Split System	1-2-A	1st Floor	Mitsubishi	PEFY-P30MMHU-E	74W00590		14x34x1		
Annual	Building #504		AAON A/C - makeup A/C Units			AAON COIL Products	CC-B-010-2-D2	201001-CHCBO 1479				
			AAON HV1 - Return Air Handler - Roof Unit									
Annual	Building #504		Air Handler-Heating/Cooling		Northside	AAON	RM-007-8-0-0000-E1N	201002-AMWVG03679		(4) 16x20x2	AX38	AX38
Annual	Building #504		Air Handler-Heating/Cooling		Southside	AAON	RN-016-8-0-EB09-E1J	201002-ANWWM01131	16 ton	(6) 20x25x4	BX46	BX46
Annual	Building #504		Air Handler-Heating/Cooling		Southside	AAON	RN-016-8-0-EB09-E1J	201002-ANWWM01128	16 ton	(6) 20x25x4	BX46	BX46
			2nd Floor South									
			Entrance/Mechanical Room			AAON	V2-C3-2-50-200-G00000B00X	201001-CBWC02718		(4) 12x20x2(4)	AX55	AX55
Annual	Building #504		Air Handling Unit	AHU-1								
Annual	Building #504		Air Handling Unit	AHU-2	2nd Floor North	AAON	V2-C3-2-50-200-G00000B00X	201001-CBWC02721				
Annual	Building #504		Exhaust Fan	RCF2A	Roof	Loren Cook	270-ACRUX-00 0002001	127 SC59717-00-0002001		(4) 12x20x2(4)	AX55	AX55
Annual	Building #504		Exhaust Fan	RCF1A	Roof	Loren Cook	270-ACRUX-00 0002001	127 SC59717-00-0002002				
Annual	Building #504		Exhaust Fan	EF-1	Roof	Captive Aire Systems	DU50HFA	1513259				
Annual	Building #504		Exhaust Fan	EF-2	Roof	Captive Aire Systems	DU50HFA	1050013				
Annual	Building #504		Exhaust Fan	EF-4	Roof	Captive Aire Systems	NCA24FA	1050013 (duplicate serial need to correct)				
Annual	Building #504		Transfer Air Fan Units	TF-1	South lobby	Loren Cook	120-SQN-120 SQNIN100	127SC89717-00/0005901				
Annual	Building #504		Transfer Air Fan Units	TF-2	South lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0007501				
Annual	Building #504		Transfer Air Fan Units	TF-3	North lobby	Loren Cook	120-SQN-120 SQNIN100	127SC89717-00/0008901				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				
Annual	Building #504		Transfer Air Fan Units	TF-4	North lobby	Loren Cook	135SQN135SQN10D	127SC89717-00/0010301				

Frequency	Building	Use Data	Component	Tag	Location	Manufacturer	Model #	Serial #	Rating/RTU	Filter Size	Belt Size	Height if Applicable
Annual	Building #504		Hot Water Heater	HW-3 Kitchen	Boiler Room	AO Smith	COT455A840	1126M000429	75 Gal (445,000 BTU)			
Component	Building #504		Oil Burner	Serves HW-3	Boiler Room	Beckett						
Component	Building #504		Domestic Hot Water Circulator	P-3	Boiler Room	Armstrong			1/6 HP			
Component	Building #504		Domestic Hot Water Circulator	P-4	Boiler Room	Armstrong			1/6 HP			
Component	Building #504		Domestic Hot Water Circulator	P-4A	Boiler Room	Armstrong			1/6 HP			
Component	Building #504		Domestic Hot Water Circulator	P-5 Kitchen	Boiler Room	Taco	0.07					
Component	Building #504		Hot Water Circulator	P-6	Boiler Room	Armstrong	4x3x8		5HP			
Component	Building #504		Hot Water Circulator	P-7	Boiler Room	Armstrong	4x3x8		5HP			
Component	Building #504		Hot Water Circulator	P-9 Serves Plate & Frame	Boiler Room	Taco	1635C3E5.30		1HP			
Component	Building # 504		Hot Water Circulator	P-10 Serves Aeon Units	Boiler Room	Taco	1619C3E27.00		1 1/2 HP			
Component	Building #504		Hot Water Circulator	P-11	Boiler Room	Armstrong	2x2x8	HBN56172D10678K	1 1/2 HP			
Component	Building #504		Heat Exchanger			Emerson-Sway						
Annual	Building #505	Same as Building 504.	City Multi A/C Condensing Unit	Condensing Unit North-1	outside - west side of bldg	Mitsubishi	PUHY-P120THMU-A	9XW00443				
Annual	Building #505		City Multi A/C Condensing Unit	Condensing Unit North-2	outside - west side of bldg	Mitsubishi	PUHY-P120THMU-A	9XW00436				
Annual	Building #505		City Multi A/C Condensing Unit	Condensing Unit South-1	outside - west side of bldg	Mitsubishi	PUHY-P120THMU-A	98W00324				
Annual	Building #505		City Multi A/C Condensing Unit	Condensing Unit South-2	outside - west side of bldg	Mitsubishi	PUHY-P120THMU-A	97W00280				
Annual	Building #505 South		Ductless Split System	1-1A	1st Floor West Side	Mitsubishi	PEFY-P30NMNHU-E	63W00502		14x36x1		
Annual	Building #505 South		Ductless Split System	1-1B	1st Floor West Side	Mitsubishi	PEFY-P24NMNHU-E	97W01982		14x25x1		
Annual	Building #505 South		Ductless Split System	1-2A	1st Floor East Side	Mitsubishi	PEFY-P24NMNHU-E	97W01977		14x25x1		
Annual	Building #505 South		Ductless Split System	1-2B	1st Floor East Side	Mitsubishi	PEFY-P30NMNHU-E	74W00596		14x36x1		
Annual	Building #505 South		Ductless Split System	Unit 2-8	2nd Floor, Office Barracks	Mitsubishi	PEFY-P24NMNHU-E	97W01977	CONFIRM SERIAL	14x35x1		
Annual	Building #505 South		Ductless Split System	Unit 2-9	2nd Floor, Office Barracks	Mitsubishi	PEFY-P30NMNHU-E	63W00498		14x34x1		
Annual	Building #505 South		Ductless Split System	2-1B	2nd Floor, Main Barracks	Mitsubishi	PEFY-P48NMNHU-E	98W01656		14x43x1		
Annual	Building #505 South		Ductless Split System	2-1A	2nd Floor, Main Barracks	Mitsubishi	PEFY-P36NMNHU-E	98W01900		14x35x1		
Annual	Building #505 South		Ductless Split System	2-2B	2nd Floor, Main Barracks	Mitsubishi	PEFY-P30NMNHU-E	63W00501		14x35x1		
Annual	Building #505 South		Ductless Split System	2-2A	2nd Floor, Main Barracks	Mitsubishi	PEFY-P36NMNHU-E	98W01903		14x43x1		
Annual	Building #505 North		Ductless Split System	1-1A	1st Floor	Mitsubishi	PEFY-P30NMNHU-E	74W00597		14x34x1		
Annual	Building #505 North		Ductless Split System	1-1B	1st Floor	Mitsubishi	PEFY-P30NMNHU-E	63W00524		14x34x1		
Annual	Building #505 North		Ductless Split System	1-2A	1st Floor	Mitsubishi	PEFY-P24NMNHU-E	97W01987		14x25x1		
Annual	Building #505 North		Ductless Split System	1-32-B	1st Floor	Mitsubishi	PEFY-P30NMNHU-E	63W00524		14x34x1		
Annual	Building #505 North		Ductless Split System	Unit 2-11	2nd Floor	Mitsubishi	PEFY-P30NMNHU-E	98W01838		14x35x1		
Annual	Building #505 North		Ductless Split System	2-18B	2nd Floor	Mitsubishi	PEFY-P30NMNHU-E	63W00500		14x35x1		
Annual	Building #505 North		Ductless Split System	2-18A	2nd Floor	Mitsubishi	PEFY-P36NMNHU-E	98W01901		14x43x1		
Annual	Building #505 North		Ductless Split System	2-16A	2nd Floor	Mitsubishi	PEFY-P36NMNHU-E	98W01902		14x43x1		
Annual	Building #505 North		Ductless Split System	2-16B	2nd Floor	Mitsubishi	PEFY-P36NMNHU-E	98W01838	CONFIRM SERIAL	14x43x1		
Annual	Building #505 North		Ductless Split System	Unit 2-10	2nd Floor	Mitsubishi	PEFY-P30NMNHU-E	63W00527		14x35x1		
Annual	Building #505		Air Handling Unit	AHU-1	2nd Floor South entrance	AAON	V2-C3-2.50-200 . 600000B00X	201001-CBWCO2719		(4) 12x20x2(4) AX-55		AX-55
Component	Building #505		Condenser	Condenser 1 serves AHU-1	outside - west side of bldg	AAON Coil Products Inc	CC-B-010-2-D2	201001-CHCB01486				
Annual	Building #505		Air Handling Unit	AHU-2	2nd Floor North Entrance	AAON	V2-C3-2.50-200 . 600000H00X	201001-CBWCO27202		(4) 12x20x2(4) AX-55		AX-55
Component	Building #505		Condenser	Condenser 2 serves AHU-2	outside - west side of bldg	AAON Coil Products Inc	CC-B-010-2-D2	201001-CHCB01480				
Annual	Building #505		RTU Heating/ Cooling	Small Aeon	Roof	AAON	RM-007-8-0-0000-E1N	201002-AMWG03680		(4) 16x20x2	AX38	AX38
Annual	Building #505		RTU Heating/ Cooling	Aeon 16 Ton Northside	Roof	AAON	RN-016-8-EB09-E1J	201002-ANWM01129	16 ton	(6) 20x25x4	BX46	BX46
Annual	Building #505		Exhaust Fan	REF-2-A		AAON	RN-016-8-EB09-E1J	201002-ANWM01130	16 ton	(6) 20x25x4	BX46	BX46
Annual	Building #505		Exhaust Fan	REF-1-A		Loren Cook	270 ACRUX 270 RX11B	127SC89717-11/0004001				
Annual	Building #505		Exhaust Fan	EF-1		Loren Cook	270 ACRUX 270 RX11B	127SC89717-11/0004002				
Annual	Building #505		Exhaust Fan	EF-2		Captive Aire Systems	DU50HFA	1513259				
Annual	Building #505		Exhaust Fan	EF Griddle-2		Captive Aire Systems	DU50HFA	1050013				
Annual	Building #505		Transfer Air Fan Units	EF Main/Griddle	North Lobby	Captive Aire Systems	NCA24FA	1050013 (need correct #)				
Annual	Building #505		Transfer Air Fan Units	TF-1	South Lobby	Loren Cook	120 SQN-120 SQNIN100	127SC089717-00/0005902				
Annual	Building #505		Transfer Air Fan Units	TF-2	South Lobby	Loren Cook	135SQN135SQN10D	127SC089717-00/0017502				
Annual	Building #505		Transfer Air Fan Units	TF-3	South Lobby	Loren Cook	120 SQN-120 SQNIN100	127SC089717-00/0008903				
Annual	Building #505		Transfer Air Fan Units	TF-4	North Lobby	Loren Cook	135SQN135SQN10D	127SC089717-00/0010302				
Annual	Building #505 North		Indoor Exhaust Fan	IEF-1 North	Northside	Loren Cook	165 SQN-HP	127SC89717-00/0013301		AX46	AX46	AX46
Annual	Building #505		Indoor Exhaust Fan	IEF-2 North	Northside	Loren Cook	165 SQN-HP	127SC89717-00/0016501		AX46	AX46	AX46
Annual	Building #505 South		Indoor Exhaust Fan	IEF-2 South	Southside	Loren Cook	165 SQN-HP	127SC89717-00/0014901		AX46	AX46	AX46
Annual	Building #505 South		Indoor Exhaust Fan	IEF-1 South	Southside	Loren Cook	165 SQN-HP	127SC89717-00/0014902		AX46	AX46	AX46
Annual	Building #505		Hot Water Boiler Oil Fired	Boiler 1	Basement	Hurst	54-X-100-30W	10-296	4000000 BTU			
Component	Building #505		Oil Burner	Serves Boiler 1	Basement	Webster	JB20-30-MCQ562-UL	U65252A-2-2-02				
Component	Building # 505		Circulator	Serves Boiler 1	Basement	Grundfog	UP-43-75 Part 52722373	PCO207				
Annual	Building #505		Hot Water Boiler Oil Fired	Boiler 2	Basement	Hurst	54-X-100-30W	10-295	4000000 BTU			
Component	Building #505		Oil Burner	Serves Boiler 2	Basement	Webster	JB20-30-MCQ562-UL	U65252A-1-2-02				
Annual	Building #505		Hot Water Heater	HWH-1	Basement	Beckett	361E	23083057T	75 Gal (445,000 BTU)			
Annual	Building #505		Hot Water Heater	Serves HWH-1	Basement	Beckett	361E	22043177T	75 Gal (445,000 BTU)			
Annual	Building #505		Hot Water Heater	HWH-2	Basement	Beckett	361E		75 Gal (445,000 BTU)			
Annual	Building #505		Hot Water Heater	Serves HWH-2	Basement	Beckett	361E					
Annual	Building #505		Hot Water Heater	HWH-3 serves Kitchen Area	Basement	BOCK	361E	23083101T	75 Gal (445,000 BTU)			
Component	Building #505		Oil Burner	Serves HWH-3	Basement	Beckett						
Component	Building #505		Circulator	T-P-3	Basement	Armstrong	S-25-AB		1/12 HP			
Component	Building #505		Circulator	P-4	Basement	Armstrong	816549MF		1/6 HP			

Date of origin												
Frequency	Building	Use Data	Component	Tag	Location	Manufacturer	Model #	Serial #	Rating/RTU	Filter Size	Belt Size	Height if Applicable
Component	Building #505		Circulator	P-4A	Basement	Armstrong	816S49MF		1/6 HP			
Component	Building #505		Circulator	P-3	Basement	B&G	189165		1/6 HP			
Component	Building #505		Circulator	P-6	Basement	Armstrong	S-25-AB 4X3X8	452801	5 HP			
Component	Building #505		Circulator	P-7	Basement	Armstrong	S-35-AB 4X3X8	452800	5 HP			
Component	Building #505		Circulator	P-8	Basement	Armstrong	4030	302	1 1/2 HP			
Annual	Building #505		Heat Exchanger	HX-1 serves Plate & Frame	Basement	ITT	GPM					
Component	Building #505		Circulator	TP-5 serves Plate & Frame	Basement	Armstrong	H68-38F/B1	116523-136A	1 1/2 HP			
Component	Building #505		Circulator	TP-6 serves Plate & Frame	Basement	Armstrong	1.5X1.5X8	423317	1 1/2 HP			
Annual	Building #505		Heat Exchanger	HX-2 serves TP-11 and 12	Basement	Armstrong	8X13-500-39	AN101003-101				
Component	Building #505		Circulator	TP-11	Basement	Armstrong	2D1060-001	484613	1 HP			
Component	Building #505		Circulator	TP-12	Basement	Armstrong	2X2X8	33379	1 1/2 HP			
Component	Building #505		Duplex Pump Station	Serves Boilers 1 and 2	Basement	Webster	W-0 Remote Pump	W065252A				
Component	Building #505		Duplex Pump Station	Serves Hot Water Heaters	Basement	Webster	W-0 Remote Pump	W065252B				
Annual	Building #506	4 people full time.	Packaged Hot Air Furnace	Furnace-1	Boiler Room	Armstrong	LG14-350/450660-2A	8497C35551	340,000 w/36PH70	(3) X20X24x2		
Component	Building #506		Burner Assembly	Serves Furnace-1	Boiler Room	Beckett	SF	97092575128	3.00X708			
Annual	Building #506		Domestic Hot Water Heater	HW-1	Boiler Room	A.O. SMITH	EMT50110	1737107535076	50 Gal 240Volts			
Annual	Building #506		Condenser	Condenser-1	Roof	Arco Aire/PN-328858	HAC060AKC4	E04163602	5 Ton/ 208/230 1PHr-22, 126oz			
Component	Building #506		Airhandling Unit	AHU-1	Inside Building							
Annual	Building #507	2 people full time. Transient	Heat Pump	Split System	Indoor/Outdoor	Fujitsu	AOU36RLXF2H	PKN024052				
Annual	Building #507	15 people mostly on weeks	Heat Pump	Split System	Indoor/Outdoor	Fujitsu	AOU36RLXF2H	fn027276				
Annual	Building #507		Heat Pump	Split System	Indoor/Outdoor	Fujitsu	AOU36RLXF2H	fn024052				
Annual	Building #507		Domestic Hot Water	DHWH-1	Boiler Room	A.O. SMITH	EMT-50110	1736107485774	50 gal 208volt			
Annual	Building #508	Transient use up to 95 people	Package Terminal Cooling Unit			Amana	PTC 12335E, Manf # 9999733R					
Annual	Building #508	Lodging Facility which is at	Hot Water Heating Boilers			H.B. SMITH	28A8	N97-703 N97-702	2499 MBH			
Component	Building #508	weekends per month and 11	Burner Controls			Honeywell	Q780B1003					
Component	Building #508	weeks during the year.	Oil Burner			U.S. Carlin	801 CRD		Low 4.00 High 1980			
Annual	Building #508		Domestic Hot Water Heater			AO SMITH	DRE-080-100	69791508	80GAL			
Annual	Building #508		Domestic Hot Water Heater			AO SMITH	DRE-080-100	69791508	80 GAL			
Component	Building #508		Heating Circulator			Armstrong	SG43 4280BF		3 HP 1745 RPM			
Component	Building #508		Heating Circulator on Boilers			Armstrong	2131050 BF		3/4 HP			
Component	Building #508		Heating Circulator Dom Hot Water			Teel	1P901B		1/6 HP			
Annual	Building #508		Pack A/C Duplex Hermetic Cold Gen			Trane	CCG125C	592228				
Annual	Building #508		Package Air Cooled Condenser			Trane	CA 12508	861-1819G 88917	7.5 HP			
Component	Building #508		Domestic Hot Water Circulator			Armstrong	15B10508F	189103	1/2 HP			
Component	Building #508		Chiller Pump			Armstrong	15B10508F		1/2 HP			
Annual	Building #508		Condensing Unit/Chiller			Trane	CGAM100A2					
Annual	Building #508		Kitchen Air Handler			Climatic	SE-CHV-10.16					
Annual	Building #508		Dining Hall Air Handler			Vanquard Electric	VM5050F 230/460v	64A70B-6	Fltr20X20X2&20X25X2			
Annual	Building #508		Airtherm Air Handling Unit			Trane	Y128235 - 12.7/6.4		3ph/60Hz, 1730 RPM			
Annual	Building #508		Airtherm Air Handling Unit			Trane	LPCA0801CORG00000004FAP	103673456	924RPM, 12.63°F			
Annual	Building #508		Airtherm Air Handling Unit			Trane	030912HHC	103173457	1113RPM, 9.5°F			
Annual	Building #508		Airtherm Fan Coil Units				F-031-2	FC-1	CFM 300, RPM 1060			
Annual	Building #508		Airtherm Fan Coil Units				CP-A-031-2	FC-2	CFM 390, RPM1515			
Annual	Building #508		Airtherm Fan Coil Units				F-061-2	FC-3	CFM 590, RPM 1060			
Annual	Building #508		Airtherm Fan Coil Units				CP- A061-2	FC-4	CFM 749, RPM 1570			
Component	Building #508		Ceiling Hung Circulating Pumps						1.5HP, 3PH, 1740RPM			
Annual	Readiness Center		METASYS Computer System			Johnson Control System			Heating & Cooling			
Annual	Building #508		Fan control unit		quantity 53	Johnson Control System	FWX					
Annual	Building 500	Weekdays 75 people. Trans	Boiler Heating - Cast Iron			De Dietrich Thermique	DeDIETRICRICH GT-413	U85459613030800000-1	2,635,000			
Annual	Building 500	weekends up to 200. Freque	Boiler Heating - Cast Iron			De Dietrich Thermique	DeDIETRICRICH GT-413	U85459613030800000-2	2,635,000			
Component	Building 500	use during the week up to 1	Burners			WEBSTER		U86735A-01				
Component	Building 500		Cyclonic JB Series Forced Draft									
Component	Building 500		Cyclonic JB Series Forced Draft									
Component	Building 500		Webster Burner - Boiler # 1			WEBSTER	JB20-10-RM784Q-L-MP-UJ/GE GA	U86735A-02				
Component	Building 500		Webster Burner - Boiler # 2			WEBSTER	MP-2221	AS-65054				
Component	Building 500		Duplex Pump System - # 2 Oil -			WEBSTER	MP-2221	AS-95053				
Component	Building 500		Motors, 1/3 Hp, 115/208-203, 60hz			Phillips Pump LLC	Part # DP-3	80018				
Component	Building 500		Cat. # 102910.00			Leeson Electric Corp.	C4C17MK2B					
Annual	Building 500		Cabinet Unit Heaters- Verticle Floor									
Annual	Building 500		Cabinet Unit Heater - Ceiling			Rittling	RF-06					
Annual	Building 500		Recessed unit			Rittling	RFRC-06					
Annual	Building 500		Unit Heaters - Vertical Units			Rittling	RV-139					
Annual	Building 500		Unit Heaters Horizontal Units			Rittling	RH-108					
Annual	Building 500					Loren Cook						
Annual	Building 500		Tubular Centrifugal Inline Fan			Loren Cook	300TCNB					
Annual	Building 500		Tubular Centrifugal Inline Fan			Loren Cook	120TCNB					

9.25\*25.75\*1





Date of origin												
Frequency	Building	Use Data	Component	Tag	Location	Manufacturer	Model #	Serial #	Rating/BTU	Filter Size	Belt Size	Height if Applicable
Annual	Building 300		Unit Heater, Electric, 300000-600000 BTU	UH-6	1-ZVZIUMK	Write-In						
Annual	Building 300		Unit Heater, Electric, 300000-600000 BTU	UH-7	1-ZVZIUMV	Write-In						
Annual	Building 300		Unit Heater, Electric, 300000-600000 BTU	UH-8	1-ZVZIUNS	Write-In						
Annual	Building 300		Unit Heater, Electric, 300000-600000 BTU	UH-9	1-ZVZIUNG	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-1	1-ZXFNR8S	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-10	1-ZXFNRCE	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-11	1-ZXFNRDI	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-12	1-ZXFNRCO	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-13	1-ZXFNRREM	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-14	1-ZXFNRFG	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-15	1-ZXFNRG0	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-16	1-ZXFNRGK	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-17	1-ZXFNRHE	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-18	1-ZXFNRH8	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-19	1-ZXFNRIS	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-2	1-ZXFNR92	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-20	1-ZXFNRJ2	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-21	1-ZXFNRK6	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-3	1-ZXFNR9C	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-4	1-ZXFNR9M	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-5	1-ZXFNRAG	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-6	1-ZXFNRADQ	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-7	1-ZXFNRB0	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-8	1-ZXFNRBK	Write-In						
Annual	Building 300		VAV Box, All Types	VAV-9	1-ZXFNRCA	Write-In						
Annual	Building 300		Fan, Exhaust Fan, Wall Mounted, 0 - SHP	VEF-1	1-ZXFNDWP	Write-In						
Annual	Building 300		Fan, Exhaust Fan, Wall Mounted, 0 - SHP	VEF-2	1-ZXFNDMJ	Write-In						
Annual	Building 300		Fan, Exhaust Fan, Wall Mounted, 0 - SHP	VEF-3	1-ZXFNDMT	Write-In						
Annual	Building 300		Fan, Exhaust Fan, Wall Mounted, 0 - SHP	VEF-4	1-ZXFNDH0	Write-In						
Annual	Building 300		Fan, Exhaust Fan, Wall Mounted, 0 - SHP	VEF-5	1-ZXFNDN3	Write-In						
Annual	Building 300		Fan, Exhaust Fan, Wall Mounted, 0 - SHP	VEF-6	1-ZXFNDX0	Write-In						
Annual	Building 300		Fan, Exhaust Fan, Wall Mounted, 0 - SHP	VEF-7	1-ZXFNE3G	Write-In						
Annual	Building 300		Fan, Exhaust Fan, Wall Mounted, 0 - SHP	VEF-8	1-ZXFNE3Q	Write-In						
Annual	Building 300		Fan, Exhaust Fan, Wall Mounted, 0 - SHP	VER-1	1-ZVZVSE	Write-In						
Annual	Building 300		Fan, Exhaust Fan, Wall Mounted, 0 - SHP	VER-2	1-ZVZV86	Write-In						
Annual	Building 300		Fan, Exhaust Fan, Wall Mounted, 0 - SHP	VER-3	1-ZVZV44	Write-In						
Annual	Building 300		Fan, Exhaust Fan, Wall Mounted, 0 - SHP	VER-4	1-ZXFND02	Write-In						
Annual	Building 300		Fan, Exhaust Fan, Wall Mounted, 0 - SHP	VER-5	1-ZXFNDDM	Write-In						
Annual	Building 300		Fan, Exhaust Fan, Wall Mounted, 0 - SHP	VER-6	1-ZXFNDDW	Write-In						
Annual	Building 300		Fan, Exhaust Fan, Wall Mounted, 0 - SHP	VER-7	1-ZXFNDEG	Write-In						
Annual	Building 300		Fan, Exhaust Fan, Wall Mounted, 0 - SHP	VER-8	1-ZXFNDFK	Write-In						

## APPENDIX D – BOILER CHECKLIST (EXAMPLE)

### **Boiler inspection checklist**

#### **Unit Identification (Boiler) Steam or Hot Water Heat**

Manufacturer's Name \_\_\_\_\_ Manufacturer's Model # \_\_\_\_\_

Year Built \_\_\_\_\_ Nat. Bd # \_\_\_\_\_ MN-B # \_\_\_\_\_

Boiler Unit Description (Fire Tube, Water Tube, etc.) \_\_\_\_\_

If Modular (no. of modules) \_\_\_\_\_

Boiler Max Input (Btu/KW) \_\_\_\_\_

Boiler horsepower \_\_\_\_\_ Heating Surface \_\_\_\_\_

MAWP \_\_\_\_\_ Psig Maximum Temp. \_\_\_\_\_ F

Minimum required Safety Valve Capacity \_\_\_\_\_ LB/HR or BTU

Safety Relief Valve Set Pressure \_\_\_\_\_ Capacity \_\_\_\_\_

Lowest Permissible water level marking \_\_\_\_\_

Pressure / Temperature Gage: Range \_\_\_\_\_ Mounting \_\_\_\_\_

Piping: Water Column, Sight Glass, Cross Tees, Bottom Blow, Safety Valve, Low Water Cut-off

AS Applicable: Hydrostatic Test Pressure \_\_\_\_\_ Duration \_\_\_\_\_

**Combustion Air Requirements** (NBIC Part 1, 2.5.4 & 3.5.4): *Satisfactory* *Unacceptable*

**Boiler Clearances** (NBIC Part 1) (Manf. Req. acceptable): *Satisfactory* *Unacceptable*

Stop Valve(s) When required	<i>Satisfactory</i>	<i>Unacceptable</i>	_____
Water Column/Sight glass Location	<i>Satisfactory</i>	<i>Unacceptable</i>	_____
Venting (Chimney)	<i>Satisfactory</i>	<i>Unacceptable</i>	_____
Observation Port	<i>Satisfactory</i>	<i>Unacceptable</i>	_____
Lowest Permissible water level	<i>Satisfactory</i>	<i>Unacceptable</i>	_____

<b>Electrical Controls</b>	<i>Checked</i>	<i>Not Checked</i>	<i>Notes:</i> _____
<b>PH Level</b>	<i>Checked</i>	<i>Not Checked</i>	<i>Notes:</i> _____
<b>Heat Exchanger</b>	<i>Cleaned</i>	<i>Not Cleaned</i>	<i>Notes:</i> _____
<b>Burner/Tubes</b>	<i>Cleaned</i>	<i>Not Cleaned</i>	<i>Notes:</i> _____

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**Pilot Type:** *Continuous* *Intermittent* *Interrupted* *Direct Ignition* *Hot Surface*

Boiler Control/Device Set Points Acceptable Location of Control/Device Test Date, Result

**Low-Water Fuel Cutout**  
(*Steam 2, HWH 1*) (*3/4" Drain*) \_\_\_\_\_

**Forced Circulation Flow Switch** \_\_\_\_\_

**Steam Pressure Control** \_\_\_\_\_

**High Pressure Limit** \_\_\_\_\_

**Water temperature Control** \_\_\_\_\_

**High Temperature Limit** \_\_\_\_\_



## APPENDIX D – BOILER CHECKLIST (EXAMPLE)

### Gas Fuel Train Safety Controls: Control/Device

Set Points Acceptable

Location of Control/Device

Test Result

**Drip leg**

**Manual shut off valve**

**Fuel Safety Shutoff Valve, Main**  
(proof of closure)

**Pilot Safety Shutoff Valve**

**Combustion Air Switch**

**High Gas Pressure**

**Low Gas Pressure**

**Flame Safeguard (Primary)**  
(Fire Eye)

**Purge Air Flow** (Sail Switch)

**Gas Regulator**

**Vent Valve and Lines**

**Bleed Lines**

**Relief Lines**

### Oil, Fuel Train Safety Controls

**Atomizing Medium Switch**

**Filters / Strainers**

**Low Oil Pressure**

**High Oil Temperature**

**Safety Shutoff Valves**

**Loss of Combustion air switch**

**Emergency Shutdown Switch**

**Low-Fire Start Switch**  
(required for 2,500,000 btu, 20 gph and greater)

Comments:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Code Violations:

\_\_\_\_\_

# **ATTACHMENT 2**

## **BID PROPOSAL FORM ACKNOWLEDGMENT**

**BIDDER'S RESPONSE FORM**  
**HVAC Preventative Maintenance and Repairs**  
**Camp Smith Training Site**

IFB #24-88

DATE: \_\_\_\_\_

**Bids due by 2:00 PM on Friday, March 28, 2025**

**SECTION 1 – Preventative Maintenance**

- |  |                 |
|--|-----------------|
| 1. Preventative Maintenance Parts (i.e. oil nozzles, filters, belts, etc.) | \$ 7500         |
| 2. Flat Rate Annual Maintenance – Heating                                  | \$ _____        |
| 3. Flat Rate Annual Maintenance – Cooling                                  | \$ _____        |
| 4. Flat Rate Quarterly Maintenance   | \$ _____        |
| <b>5. Total Lines 1-4 – Preventative Maintenance</b>                       | <b>\$ _____</b> |

**SECTION 2 – Repairs (Time and Materials)**

- |  | <u>Labor Hours</u> | <u>Final Cost</u> |
|--|--------------------|-------------------|
| 6. Repair Parts  |                    | \$ 100,000        |
| 7. Straight Time \$ _____ X 500 of Hrs. _____ =                            |                    | \$ _____          |
| 8. Overtime Rate \$ _____ X 100 of Hrs. _____ =                            |                    | \$ _____          |
| 9. Emergency/Holiday Rate \$ _____ X 25 of Hrs. _____ =                    |                    | \$ _____          |
| <b>10. Total Lines 6 - 9 – Repairs (Time and Materials)</b>                |                    | <b>\$ _____</b>   |
| <b>11. Percentage of Markup on <u>all</u> parts % _____ X \$107,500.00</b> |                    | <b>\$ _____</b>   |
| <b>12. FINAL ANNUAL COST (ADD LINES 5, 10 and 11):</b>                     |                    | <b>\$ _____</b>   |

**JOB TITLE/TRADE:** \_\_\_\_\_

ALL parts are defined as new and not rebuilt or remanufactured. All estimates, above, are based on 12 months. The "final cost" outlined on Line 12 will be multiplied to determine the overall contract value for three (3) years.

**Contractor must abide by all terms and conditions in the IFB and in the above Scope of Work. The number of labor hours and cost for all parts is an estimate for annual service and there is no guarantee that this is the number of hours and parts that will be paid out by the state. Contractor will only be paid for actual services rendered. Travel time is not applicable to this service and shall not be paid.**

SIGN BID HERE: \_\_\_\_\_  
 (Authorized Signature)

PRINT NAME: \_\_\_\_\_  
 TITLE: \_\_\_\_\_

OFFICIAL COMPANY NAME: \_\_\_\_\_

Mailing Address: \_\_\_\_\_

Federal Employee Tax ID #: \_\_\_\_\_ SFS Vendor ID #: \_\_\_\_\_

MWBE Contractor: Yes \_\_\_\_\_ No \_\_\_\_\_ Service Disabled Veteran Owned: Yes \_\_\_\_\_ No \_\_\_\_\_

Telephone Number (\_\_\_\_) \_\_\_\_\_

FAX Number (\_\_\_\_) \_\_\_\_\_

E-Mail Address \_\_\_\_\_

**ACKNOWLEDGMENT PAGE**

The bid must be fully and properly executed by an authorized person. **By signing you certify your express authority to sign on behalf of yourself, your company, or other entity and full knowledge and acceptance of this INVITATION FOR BIDS, Appendix A (Standard Clauses For New York State Contracts), Appendix B (DMNA General Specifications), and State Finance Law §139-j and §139-k (Procurement Lobbying), and that all information provided is complete, true and accurate. By signing, bidder affirms that it understands and agrees to comply with the DMNA procedures relative to permissible contacts as required by State Finance Law §139-j (3) and §139-j (6) (b).** Information may be accessed at:

Procurement Lobbying: <http://www.ogs.ny.gov/aboutogs/regulations/defaultAdvisoryCouncil.html>

**INDIVIDUAL, CORPORATION, PARTNERSHIP, OR LLC ACKNOWLEDGMENT**

STATE OF \_\_\_\_\_ }  
 : SS.:  
 COUNTY OF \_\_\_\_\_ }

On the \_\_\_\_ day of \_\_\_\_\_ in the year 20 \_\_, before me personally appeared \_\_\_\_\_, known to me to be the person who executed the foregoing instrument, who, being duly sworn by me did depose and say that \_he resides at \_\_\_\_\_, Town of \_\_\_\_\_, County of \_\_\_\_\_, State of \_\_\_\_\_; and further that:

**[Check One]**

- ☐ **If an individual):** \_he executed the foregoing instrument in his/her name and on his/her own behalf.
- ☐ **If a corporation):** \_he is the \_\_\_\_\_ of \_\_\_\_\_, the corporation described in said instrument; that, by authority of the Board of Directors of said corporation, \_he is authorized to execute the foregoing instrument on behalf of the corporation for purposes set forth therein; and that, pursuant to that authority, \_he executed the foregoing instrument in the name of and on behalf of said corporation as the act and deed of said corporation.
- ☐ **If a partnership):** \_he is the \_\_\_\_\_ of \_\_\_\_\_, the partnership described in said instrument; that, by the terms of said partnership, \_he is authorized to execute the foregoing instrument on behalf of the partnership for purposes set forth therein; and that, pursuant to that authority, \_he executed the foregoing instrument in the name of and on behalf of said partnership as the act and deed of said partnership.
- ☐ **If a limited liability company):** \_he is a duly authorized member of \_\_\_\_\_, LLC, the limited liability company described in said instrument; that \_he is authorized to execute the foregoing instrument on behalf of the limited liability company for purposes set forth therein; and that, pursuant to that authority, \_he executed the foregoing instrument in the name of and on behalf of said limited liability company as the act and deed of said limited liability company.

\_\_\_\_\_  
**Notary Public**  
**Registration No.**

## **APPENDIX A**

# **STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS**

**PLEASE RETAIN THIS DOCUMENT  
FOR FUTURE REFERENCE.**

## **TABLE OF CONTENTS**

	<b>Page</b>
1. Executory Clause	3
2. Non-Assignment Clause	3
3. Comptroller's Approval	3
4. Workers' Compensation Benefits	3
5. Non-Discrimination Requirements	3
6. Wage and Hours Provisions	3-4
7. Non-Collusive Bidding Certification	4
8. International Boycott Prohibition	4
9. Set-Off Rights	4
10. Records	4
11. Identifying Information and Privacy Notification	4
12. Equal Employment Opportunities For Minorities and Women	5
13. Conflicting Terms	5
14. Governing Law	5
15. Late Payment	5
16. No Arbitration	5
17. Service of Process	5
18. Prohibition on Purchase of Tropical Hardwoods	5-6
19. MacBride Fair Employment Principles	6
20. Omnibus Procurement Act of 1992	6
21. Reciprocity and Sanctions Provisions	6
22. Compliance with Breach Notification and Data Security Laws	6
23. Compliance with Consultant Disclosure Law	6
24. Procurement Lobbying	7
25. Certification of Registration to Collect Sales and Compensating Use Tax by Certain State Contractors, Affiliates and Subcontractors	7
26. Iran Divestment Act	7
27. Admissibility of Contract	7

## **STANDARD CLAUSES FOR NYS CONTRACTS**

The parties to the attached contract, license, lease, amendment or other agreement of any kind (hereinafter, “the contract” or “this contract”) agree to be bound by the following clauses which are hereby made a part of the contract (the word “Contractor” herein refers to any party other than the State, whether a contractor, licenser, licensee, lessor, lessee or any other party):

**1. EXECUTORY CLAUSE.** In accordance with Section 41 of the State Finance Law, the State shall have no liability under this contract to the Contractor or to anyone else beyond funds appropriated and available for this contract.

**2. NON-ASSIGNMENT CLAUSE.** In accordance with Section 138 of the State Finance Law, this contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or otherwise disposed of without the State’s previous written consent, and attempts to do so are null and void. Notwithstanding the foregoing, such prior written consent of an assignment of a contract let pursuant to Article XI of the State Finance Law may be waived at the discretion of the contracting agency and with the concurrence of the State Comptroller where the original contract was subject to the State Comptroller’s approval, where the assignment is due to a reorganization, merger or consolidation of the Contractor’s business entity or enterprise. The State retains its right to approve an assignment and to require that any Contractor demonstrate its responsibility to do business with the State. The Contractor may, however, assign its right to receive payments without the State’s prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.

**3. COMPTROLLER’S APPROVAL.** In accordance with Section 112 of the State Finance Law, if this contract exceeds \$50,000 (or \$75,000 for State University of New York or City University of New York contracts for goods, services, construction and printing, and \$150,000 for State University Health Care Facilities) or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds \$25,000, it shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office. Comptroller’s approval of contracts let by the Office of General Services, either for itself or its customer agencies by the Office of General Services Business Services Center, is required when such contracts exceed \$85,000. Comptroller’s approval of contracts established as centralized contracts through the Office of General Services is required when such contracts exceed \$125,000, and when a purchase order or other procurement transaction issued under such centralized contract exceeds \$200,000.

**4. WORKERS’ COMPENSATION BENEFITS.** In accordance with Section 142 of the State Finance Law, this contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this contract for the benefit of such employees as are required to be covered by the provisions of the Workers’ Compensation Law.

**5. NON-DISCRIMINATION REQUIREMENTS.** To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment, nor subject any individual to harassment, because of age, race, creed, color, national origin, citizenship or immigration status, sexual orientation, gender identity or expression, military status, sex, disability, predisposing genetic characteristics, familial status, marital status, or domestic violence victim status or because the individual has opposed any practices forbidden under the Human Rights Law or has filed a complaint, testified, or assisted in any proceeding under the Human Rights Law. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

**6. WAGE AND HOURS PROVISIONS.** If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor’s employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in



accordance with the Labor Law. Additionally, effective April 28, 2008, if this is a public work contract covered by Article 8 of the Labor Law, the Contractor understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by the State of any State approved sums due and owing for work done upon the project.

**7. NON-COLLUSIVE BIDDING CERTIFICATION.** In accordance with Section 139-d of the State Finance Law, if this contract was awarded based upon the submission of bids, Contractor affirms, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further affirms that, at the time Contractor submitted its bid, an authorized and responsible person executed and delivered to the State a non-collusive bidding certification on Contractor's behalf.

**8. INTERNATIONAL BOYCOTT PROHIBITION.** In accordance with Section 220-f of the Labor Law and Section 139-h of the State Finance Law, if this contract exceeds \$5,000, the Contractor agrees, as a material condition of the contract, that neither the Contractor nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Contractor, or any of the aforesaid affiliates of Contractor, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the contract's execution, such contract, amendment or modification thereto shall be rendered forfeit and void. The Contractor shall so notify the State Comptroller within five (5) business days of such conviction, determination or disposition of appeal (2 NYCRR § 105.4).

**9. SET-OFF RIGHTS.** The State shall have all of its common law, equitable and statutory rights of set-off. These rights shall include, but not be limited to, the State's option to withhold for the purposes of set-off any moneys due to the Contractor under this contract up to any amounts due and owing to the State with regard to this contract, any other contract with any State department or agency, including any contract for a term commencing prior to the term of this contract, plus any amounts due and owing to the State for any other reason including, without limitation, tax delinquencies, fee delinquencies or monetary penalties relative thereto. The State shall exercise its set-off rights in accordance with normal State practices including, in cases of set-off pursuant to an audit, the finalization of such audit by the State agency, its representatives, or the State Comptroller.

**10. RECORDS.** The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively, the "Records"). The Records

must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this contract, shall have access to the Records during normal business hours at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying. The State shall take reasonable steps to protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law (the "Statute") provided that: (i) the Contractor shall timely inform an appropriate State official, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the State's right to discovery in any pending or future litigation.

**11. IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION.** (a) Identification Number(s). Every invoice or New York State Claim for Payment submitted to a New York State agency by a payee, for payment for the sale of goods or services or for transactions (e.g., leases, easements, licenses, etc.) related to real or personal property must include the payee's identification number. The number is any or all of the following: (i) the payee's Federal employer identification number, (ii) the payee's Federal social security number, and/or (iii) the payee's Vendor Identification Number assigned by the Statewide Financial System. Failure to include such number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or Claim for Payment, must give the reason or reasons why the payee does not have such number or numbers.

(b) Privacy Notification. (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law. (2) The personal information is requested by the purchasing unit of the agency contracting to purchase the goods or services or lease the real or personal property covered by this contract or lease. The information is maintained in the Statewide Financial System by the Vendor Management Unit within the Bureau of State Expenditures, Office of the State Comptroller, 110 State Street, Albany, New York 12236.

**12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN.**

In accordance with Section 312 of the Executive Law and 5 NYCRR Part 143, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000.00, whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of \$100,000.00 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of \$100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project, then the following shall apply and by signing this agreement the Contractor certifies and affirms that it is Contractor's equal employment opportunity policy that:

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on State contracts and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment, employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

(b) at the request of the contracting agency, the Contractor shall request each employment agency, labor union, or authorized representative of workers with which it has a collective bargaining or other agreement or understanding, to furnish a written statement that such employment agency, labor union or representative will not discriminate on the basis of race, creed, color, national origin, sex, age, disability or marital status and that such union or representative will affirmatively cooperate in the implementation of the Contractor's obligations herein; and

(c) the Contractor shall state, in all solicitations or advertisements for employees, that, in the performance of the State contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

Contractor will include the provisions of "(a), (b) and (c)" above, in every subcontract over \$25,000.00 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work") except where the Work is for the beneficial use of the Contractor. Section 312 does not

apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State. The State shall consider compliance by a contractor or subcontractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this clause. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Department of Economic Development's Division of Minority and Women's Business Development pertaining hereto.

**13. CONFLICTING TERMS.** In the event of a conflict between the terms of the contract (including any and all attachments thereto and amendments thereof) and the terms of this Appendix A, the terms of this Appendix A shall control.

**14. GOVERNING LAW.** This contract shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise.

**15. LATE PAYMENT.** Timeliness of payment and any interest to be paid to Contractor for late payment shall be governed by Article 11-A of the State Finance Law to the extent required by law.

**16. NO ARBITRATION.** Disputes involving this contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.

**17. SERVICE OF PROCESS.** In addition to the methods of service allowed by the State Civil Practice Law & Rules ("CPLR"), Contractor hereby consents to service of process upon it by registered or certified mail, return receipt requested. Service hereunder shall be complete upon Contractor's actual receipt of process or upon the State's receipt of the return thereof by the United States Postal Service as refused or undeliverable. Contractor must promptly notify the State, in writing, of each and every change of address to which service of process can be made. Service by the State to the last known address shall be sufficient. Contractor will have thirty (30) calendar days after service hereunder is complete in which to respond.

**18. PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS.** The Contractor certifies and warrants that all wood products to be used under this contract award will be in accordance with, but not limited to, the specifications and provisions of Section 165 of the State Finance Law, (Use of Tropical Hardwoods) which prohibits purchase and use of tropical hardwoods, unless specifically exempted, by the State or any governmental agency or political subdivision or public benefit corporation. Qualification for an exemption under this

law will be the responsibility of the contractor to establish to meet with the approval of the State.

In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in § 165 State Finance Law. Any such use must meet with the approval of the State; otherwise, the bid may not be considered responsive. Under bidder certifications, proof of qualification for exemption will be the responsibility of the Contractor to meet with the approval of the State.

**19. MACBRIDE FAIR EMPLOYMENT PRINCIPLES.** In accordance with the MacBride Fair Employment Principles (Chapter 807 of the Laws of 1992), the Contractor hereby stipulates that the Contractor either (a) has no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations in Northern Ireland in accordance with the MacBride Fair Employment Principles (as described in Section 165 of the New York State Finance Law), and shall permit independent monitoring of compliance with such principles.

**20. OMNIBUS PROCUREMENT ACT OF 1992.** It is the policy of New York State to maximize opportunities for the participation of New York State business enterprises, including minority- and women-owned business enterprises as bidders, subcontractors and suppliers on its procurement contracts.

Information on the availability of New York State subcontractors and suppliers is available from:

NYS Department of Economic Development  
Division for Small Business and Technology Development  
625 Broadway  
Albany, New York 12245  
Telephone: 518-292-5100

A directory of certified minority- and women-owned business enterprises is available from:

NYS Department of Economic Development  
Division of Minority and Women's Business Development  
633 Third Avenue 33rd Floor  
New York, NY 10017  
646-846-7364  
email: [mwbebusinessdev@esd.ny.gov](mailto:mwbebusinessdev@esd.ny.gov)  
<https://ny.newnycontracts.com/FrontEnd/searchcertifieddirectory.asp>

The Omnibus Procurement Act of 1992 (Chapter 844 of the Laws of 1992, codified in State Finance Law § 139-i and Public Authorities Law § 2879(3)(n)-(p)) requires that by signing this bid proposal or contract, as applicable, Contractors certify that whenever the total bid amount is greater than \$1 million:

(a) The Contractor has made reasonable efforts to encourage the participation of New York State Business Enterprises as suppliers and subcontractors, including certified minority- and women-owned business enterprises, on this project, and has retained the documentation of these efforts to be provided upon request to the State;

(b) The Contractor has complied with the Federal Equal Opportunity Act of 1972 (P.L. 92-261), as amended;

(c) The Contractor agrees to make reasonable efforts to provide notification to New York State residents of employment opportunities on this project through listing any such positions with the Job Service Division of the New York State Department of Labor, or providing such notification in such manner as is consistent with existing collective bargaining contracts or agreements. The Contractor agrees to document these efforts and to provide said documentation to the State upon request; and

(d) The Contractor acknowledges notice that the State may seek to obtain offset credits from foreign countries as a result of this contract and agrees to cooperate with the State in these efforts.

**21. RECIPROCITY AND SANCTIONS PROVISIONS.** Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively, codified in State Finance Law § 165(6) and Public Authorities Law § 2879(5)) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 2023, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii.

**22. COMPLIANCE WITH BREACH NOTIFICATION AND DATA SECURITY LAWS.** Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law §§ 899-aa and 899-bb and State Technology Law § 208).

**23. COMPLIANCE WITH CONSULTANT DISCLOSURE LAW.** If this is a contract for consulting services, defined for purposes of this requirement to include analysis, evaluation, research, training, data processing, computer programming, engineering, environmental, health, and mental health services, accounting, auditing, paralegal, legal or similar services, then, in accordance with Section 163 (4)(g) of the State Finance Law (as amended by Chapter 10 of the Laws of 2006), the Contractor shall timely, accurately and properly comply with the requirement to submit an annual employment report for the contract to the agency that awarded the contract, the Department of Civil Service and the State Comptroller.

**24. PROCUREMENT LOBBYING.** To the extent this agreement is a “procurement contract” as defined by State Finance Law §§ 139-j and 139-k, by signing this agreement the contractor certifies and affirms that all disclosures made in accordance with State Finance Law §§ 139-j and 139-k are complete, true and accurate. In the event such certification is found to be intentionally false or intentionally incomplete, the State may terminate the agreement by providing written notification to the Contractor in accordance with the terms of the agreement.

**25. CERTIFICATION OF REGISTRATION TO COLLECT SALES AND COMPENSATING USE TAX BY CERTAIN STATE CONTRACTORS, AFFILIATES AND SUBCONTRACTORS.**

To the extent this agreement is a contract as defined by Tax Law § 5-a, if the contractor fails to make the certification required by Tax Law § 5-a or if during the term of the contract, the Department of Taxation and Finance or the covered agency, as defined by Tax Law § 5-a, discovers that the certification, made under penalty of perjury, is false, then such failure to file or false certification shall be a material breach of this contract and this contract may be terminated, by providing written notification to the Contractor in accordance with the terms of the agreement, if the covered agency determines that such action is in the best interest of the State.

**26. IRAN DIVESTMENT ACT.** By entering into this Agreement, Contractor certifies in accordance with State Finance Law § 165-a that it is not on the “Entities Determined to be Non-Responsive Bidders/Offerers pursuant to the New York State Iran Divestment Act of 2012” (“Prohibited Entities List”) posted at: <https://ogs.ny.gov/iran-divestment-act-2012>

Contractor further certifies that it will not utilize on this Contract any subcontractor that is identified on the Prohibited Entities List. Contractor agrees that should it seek to renew or extend this Contract, it must provide the same certification at the time the Contract is renewed or extended. Contractor also agrees that any proposed Assignee of this Contract will be required to certify that it is not on the Prohibited Entities List before the contract assignment will be approved by the State.

During the term of the Contract, should the state agency receive information that a person (as defined in State Finance Law § 165-a) is in violation of the above-referenced certifications, the state agency will review such information and offer the person an opportunity to respond. If the person fails to demonstrate that it has ceased its engagement in the investment activity which is in violation of the Act within 90 days after the determination of such violation, then the state agency shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not limited to, imposing sanctions, seeking compliance, recovering damages, or declaring the Contractor in default.

The state agency reserves the right to reject any bid, request for assignment, renewal or extension for an entity that appears on the Prohibited Entities List prior to the award, assignment, renewal or extension of a contract, and to pursue a responsibility review with respect to any entity that is awarded a contract and appears on the Prohibited Entities list after contract award.

**27. ADMISSIBILITY OF REPRODUCTION OF CONTRACT.** Notwithstanding the best evidence rule or any other legal principle or rule of evidence to the contrary, the Contractor acknowledges and agrees that it waives any and all objections to the admissibility into evidence at any court proceeding or to the use at any examination before trial of an electronic reproduction of this contract, in the form approved by the State Comptroller, if such approval was required, regardless of whether the original of said contract is in existence.

# **APPENDIX B**

## **GENERAL SPECIFICATIONS**

## TABLE OF CONTENTS

<u>GENERAL</u>	<u>PAGE</u>	<u>TERMS &amp; CONDITIONS (CONT.)</u>	<u>PAGE</u>
1. Ethics Compliance	1	34. Title and Risk of Loss for Products Other than Technology Products	7
2. Definitions	1	35. Product Substitution	8
<b><u>BID SUBMISSION</u></b>		36. Rejected Product	8
3. International Bidding	3	37. Installation	8
4. Bid Opening	3	38. Repaired or Replaced Products, Parts, or Components	8
5. Late Bids	3	39. Employees, Subcontractors and Agents	8
6. Confidential/Trade Secret Materials	3	40. Assignment	8
7. Prevailing Wage Rates - Public Works and Building Services Contracts	3	41. Subcontractors and Suppliers	8
8. Taxes	4	42. Suspension of Work	8
9. Expenses Prior to Contract Execution	4	43. Termination	9
10. Product References	4	44. Savings/Force Majeure	9
11. Remanufactured, Recycled, Recyclable, or Recovered Materials	4	45. Contract Invoicing	10
12. Products Manufactured in Public Institutions	4	46. Default - Authorized User	10
13. Pricing	4	47. Prompt Payments	10
14. Site Inspection	5	48. Remedies for Breach	10
15. Purchasing Card	5	49. Assignment of Claim	11
<b><u>BID EVALUATION</u></b>		50. Toxic Substances	11
16. Bid Evaluation	5	51. Independent Contractor	11
17. Tie Bids	5	52. Security	11
18. Quantity Changes Prior to Award	5	53. Cooperation with Third Parties	11
19. Timeframe for Offers	5	54. Warranties	11
20. Debriefings	5	55. Legal Compliance	12
21. Contract Publicity	5	56. Indemnification	12
<b><u>TERMS &amp; CONDITIONS</u></b>		57. Indemnification Relating to Infringement	13
22. Contract Creation/Execution	6	58. Limitation of Liability	13
23. Contract Term – Extension	6	59. Dispute Resolution Procedures	13
24. Official Use Only/No Personal Use	6	<i>To the extent the scope of the Solicitation or Contract includes the sale, development, maintenance, or use of information technology Products such as software, computer components, systems, or networks for the processing, and distribution, or storage, or storage of data, the following clauses shall govern, as applicable.</i>	
25. Participation in Centralized Contracts	6	60. Software License Grant	14
26. Modification of Contract Terms	6	61. Product Acceptance	15
27. Scope Changes	6	62. Audit of Licensed Product Usage	16
28. Estimated/Specific Quantity Contracts	6	63. No Hardstop or Passive License Monitoring	16
29. Emergency Contracts	6	64. Ownership/Title to Project Deliverables	16
30. Purchase Orders	7	65. Proof of License	17
31. Product Delivery	7	66. Changes to Product or Service Offerings	17
32. Weekend and Holiday Deliveries	7		
33. Shipping/Receipt of Product	7		

**GENERAL**

**1. ETHICS COMPLIANCE** All Bidders/Contractors and their employees must comply with the requirements of Sections 73 and 74 of the Public Officers Law, other State codes, rules, regulations and executive orders establishing ethical standards for the conduct of business with New York State. In signing the Bid, Bidder certifies full compliance with those provisions for any present or future dealings, transactions, sales, contracts, services, offers, relationships, etc., involving New York State and/or its employees. Failure to comply with those provisions may result in disqualification from the bidding process, termination of contract, and/or other civil or criminal proceedings as required by law.

**2. DEFINITIONS** Terms used herein shall have the following meanings:

**a. AUTHORIZED USER** Authorized User shall have the meaning set forth in State Finance Law Section 163(1)(k) and includes, but is not limited to, New York State Agencies, political subdivisions, local governments, public authorities, public school and fire districts, public and nonprofit libraries, and certain other nonpublic/nonprofit organizations.

**b. BID** A response to the Solicitation submitted by a Bidder to provide Products.

**c. BIDDER** Any person or entity who submits a response to the Solicitation. At the time that a Bidder executes a Contract with the State, the Bidder shall become a "Contractor." See also "Contractor."

**d. BID SPECIFICATIONS** A written description drafted by OGS or an Authorized User setting forth the specific terms of the intended procurement, which may include: physical or functional characteristics, the nature of a Product, any description of the work to be performed, Products to be provided, the necessary qualifications of the Bidder, the capacity and capability of the Bidder to successfully carry out the proposed Contract, or the process for achieving specific results and/or anticipated outcomes or any other requirement necessary to perform work. Where this Appendix B is incorporated in negotiated Contracts that have not been competitively solicited, the term "Bid Specifications" shall be deemed to refer to the terms and conditions set forth in the negotiated Contract and associated documentation.

**e. COMMISSIONER** The Commissioner of OGS or his or her designee, or, in the case of Bid Specifications issued by an Authorized User, the head of such Authorized User or his or her authorized representative.

**f. CONTRACT** The writings that contain the agreement of the Commissioner and the Contractor setting forth the total legal obligation between the parties as determined by applicable rules of law, and which most typically include the following classifications of public procurements:

- 1. Agency Specific Contracts** Contracts where the written description for a Product or a particular scope of work is described and defined to meet the needs of one or more Authorized Users.
- 2. Centralized Contracts** Single- or multiple-award Contracts where the written description for a Product or general scope of work is described and defined by OGS to meet the needs of Authorized Users. Centralized Contracts may be awarded through multiple awards or through adoption of another

jurisdiction's contract or on a sole source, single source, emergency, or competitive basis. Once established, procurements may be made from the selected Contractors without further competition or Mini-Bid unless otherwise required by the Contract.

**3. Back-Drop Contracts** Multiple-award Centralized Contracts where OGS provides a written description for a Product or general scope of work to meet the needs of Authorized Users. Bids may be submitted either at a date and time certain or may be accepted on a continuous or periodic recruitment basis, as set forth in the Solicitation. Selection of a Contractor from among Back-Drop contract holders for an actual Product, project or particular scope of work may be subsequently made as set forth in the Contract.

**4. Piggyback Contract** A Contract let by any department, agency or instrumentality of the United States government, or any department, agency, office, political subdivision or instrumentality of any state or group of states that is adopted and extended for use by OGS in accordance with the requirements of the State Finance Law.

**5. Contract Award Letter** A letter to the successful Bidder indicating acceptance of its Bid in response to a Solicitation. Unless otherwise specified, the issuance of a letter of acceptance forms a Contract but is not an order for Product, and the Contractor should not take any action with respect to actual Contract deliveries except on the basis of Purchase Orders sent from Authorized Users.

**g. CONTRACT AWARD NOTIFICATION** An announcement to Authorized Users that a Contract has been established.

**h. CONTRACTOR** Any successful Bidder to whom a Contract has been awarded by the Commissioner.

**i. DOCUMENTATION** The complete set of manuals (e.g., user, installation, instruction or diagnostic manuals) in either hard or electronic copy, that are necessary to enable an Authorized User to properly test, install, operate and enjoy full use of the Product.

**j. ENTERPRISE** The total business operations in the United States of an Authorized User without regard to geographic location where such operations are performed or the entity actually performing such operations on behalf of the Authorized User.

**k. ENTERPRISE LICENSE** A license grant of unlimited rights to deploy, access, use and execute Product anywhere within the Enterprise up to the maximum capacity stated on the Purchase Order or in the Contract.

**l. ERROR CORRECTIONS** Machine executable software code furnished by Contractor which corrects the Product so as to conform to the applicable warranties, performance standards and/or obligations of the Contractor.

**m. GROUP** A classification of a Product that is designated by OGS.

**n. INVITATION FOR BIDS (IFB)** A type of Solicitation that is most typically used for procurements where requirements can be stated and award will be made based on lowest price to the responsive and responsible Bidder or Bidders.

**o. LICENSED SOFTWARE** Software transferred upon the terms and conditions set forth in the Contract. "Licensed Software" includes Error Corrections, upgrades, or enhancements, and any deliverables due under a technical support/maintenance or service contract (e.g., Patches, programs, code or data conversion, or custom programming).

**p. LICENSEE** An Authorized User who acquires Product from Contractor by issuing a Purchase Order in accordance with the terms and conditions of the Contract; provided that, for purposes of compliance with an individual license, the term "Licensee" shall be deemed to refer separately to the individual Authorized User who took receipt of and who is executing the Product, and who shall be solely responsible for performance and liabilities incurred. In the case of acquisitions by State Agencies, the Licensee shall be the State of New York.

**q. LICENSE EFFECTIVE DATE** The date Product is delivered to an Authorized User. Where a License involves Licensee's right to copy a previously licensed and delivered master copy of a program, the License Effective Date for additional copies shall be deemed to be the date on which the Purchase Order is executed.

**r. LICENSOR** A Contractor who transfers rights in proprietary Product to Authorized Users in accordance with the rights and obligations specified in the Contract.

**s. MINI-BID** A document used by an Authorized User containing transaction-specific requirements soliciting responses from Contractors previously qualified under a Centralized Contract for such Products.

**t. OGS** The New York State Office of General Services.

**u. PATCH** Software designed to update, fix, or improve the Product or its supporting data. This includes fixing security vulnerabilities and other bugs, including hot fixes, to improve usability or performance.

**v. PRODUCTS** Items or deliverables under any Solicitation or Contract and may include commodities, services and/or technology.

**w. PURCHASE ORDER** The Authorized User's fiscal form or format that is used when making a purchase (e.g., formal written Purchase Order, Purchasing Card, electronic Purchase Order, or other authorized instrument).

**x. REQUEST FOR PROPOSALS (RFP)** A type of Solicitation that is used for procurements where factors in addition to cost are considered and weighted in awarding the contract and where the award will be made based on "best value," as defined by the State Finance Law, to one or more responsive and responsible Bidders.

**y. REQUEST FOR QUOTATION (RFQ)** A procurement method that can be used in situations such as discretionary, sole source, single source, or emergency purchases and certain Centralized Contracts.

**z. RESPONSIBLE BIDDER** A Bidder that is determined to have financial and organizational capacity, legal authority, satisfactory previous performance, skill, judgment and integrity, and that is found to be competent, reliable and experienced, as determined by the Commissioner. For purposes of being deemed responsible, a Bidder must also be determined to be in compliance with Sections 139-j and 139-k of the State Finance Law relative to restrictions on contacts during the procurement process and disclosure of contacts and prior findings of non-responsibility under these statutes.

**aa. RESPONSIVE BIDDER** A Bidder meeting the specifications or requirements prescribed in the Solicitation, as determined by the OGS Commissioner.

**bb. SINGLE SOURCE** A procurement where two or more Bidders can supply the required Product, and the Commissioner may award the contract to one Bidder over the other.

**cc. SITE** The location (street address) where Product will be delivered or executed.

**dd. SOLE SOURCE** A procurement where only one Bidder is capable of supplying the required Product.

**ee. SOLICITATION** Writings by the State setting forth the scope, terms, conditions and technical specifications for a procurement of Product. The procurement may be undertaken on a competitive or non-competitive basis. Such writings typically include, but are not limited to: Invitation for Bids (IFB), Request for Quotations (RFQ), Request for Proposals (RFP), addenda or amendments thereto, and terms and conditions that are incorporated by reference, including but not limited to Appendix A (Standard Clauses for NYS Contracts), Appendix B (General Specifications), and identified attachments. Where the procurement is undertaken on a non-competitive basis, the term "Solicitation" shall be deemed to refer to all the terms and conditions identified by the State.

**ff. SOURCE CODE** The programming statements or instructions written and expressed in any language understandable by a human being skilled in the art which are translated by a language compiler to produce executable machine object code.

**gg. STATE** State of New York.

**hh. STATE AGENCY OR AGENCIES** The State of New York, acting by or through one or more departments, boards, commissions, offices or institutions of the State of New York.

**ii. SUBCONTRACTOR** Any individual or legal entity (including but not limited to sole proprietor, partnership, limited liability company, firm or corporation) who has entered into a contract, express or implied, for the performance of a portion of a Contract with a Contractor.

**jj. TERMS OF LICENSE** The terms and conditions set forth in the Contract that are in effect and applicable to a Purchase Order at the time of order placement.

**kk. THIRD-PARTY SOFTWARE** Any software that is developed independently of Contractor and which may be governed by a separate license.

**ll. VIRUS** Any computer code, whether or not written or conceived by Contractor, that disrupts, disables, harms, or otherwise impedes in any manner the operation of the Product, or any other associated software, firmware, hardware, or computer system (such as local area or wide-area networks), including aesthetic disruptions or distortions, but does not include security keys or other such devices installed by Product manufacturer. Virus shall also include any malware, adware, or other computer code, whether or not written or conceived by Contractor, that allows data or metrics to be copied, redirected, or modified without the express consent of the Authorized User.



**BID SUBMISSION**

**3. INTERNATIONAL BIDDING** All Bids, including all information and Product required by the Solicitation or provided as explanation thereof, shall be submitted in English. All prices shall be expressed, and all payments shall be made, in United States Dollars (US\$). Any Bids submitted which do not meet the above criteria will be rejected.

**4. BID OPENING** Bids may, as applicable, be opened publicly. The Commissioner reserves the right at any time to postpone or cancel a scheduled Bid opening.

**5. LATE BIDS** Bids must be received at the location designated in the Solicitation at or before the date and time established in the Solicitation for the Bid opening or receipt of Bids.

Any Bid received at the designated location after the established time will be considered a Late Bid. A Late Bid may be rejected and disqualified from award. Notwithstanding the foregoing, a Late Bid may be accepted in the Commissioner's sole discretion where (i) no timely Bids meeting the requirements of the Solicitation are received, (ii) in the case of a multiple award, an insufficient number of timely Bids are received to satisfy the multiple award, or (iii) the Bidder has demonstrated to the satisfaction of the Commissioner that the Late Bid was caused solely by factors outside the control of the Bidder. However, in no event shall the Commissioner be under any obligation to accept a Late Bid.

The basis for any determination to accept a Late Bid shall be documented in the procurement record.

**6. CONFIDENTIAL/TRADE SECRET MATERIALS**

**a. BIDDER/CONTRACTOR** Confidential, trade secret or proprietary materials as defined by the laws of the State of New York must be clearly marked and identified as such upon submission by the Bidder/Contractor. Marking the Bid as "confidential" or "proprietary" on its face or in the document header or footer shall not be considered by the Commissioner or Authorized User to be sufficient without specific justification as to why disclosure of particular information in the Bid would cause substantial injury to the competitive position of the Bidder/Contractor. Bidders/Contractors intending to seek an exemption from disclosure of these materials under the Freedom of Information Law must request the exemption in writing, setting forth the reasons for the claimed exemption. The Commissioner's or Authorized User's receipt/acceptance of the claimed materials does not constitute a determination on the exemption request, which determination will be made in accordance with statutory procedures. Properly identified information that has been designated confidential, trade secret, or proprietary by the Bidder/Contractor will not be disclosed except as may be required by the Freedom of Information Law or other applicable State and federal laws.

**b. COMMISSIONER OR AUTHORIZED USER** Contractor warrants, covenants and represents that any confidential information obtained by Contractor, its agents, Subcontractors, officers, distributors, resellers or employees in the course of performing its obligations, including without limitation, security procedures, business operations information, or commercial proprietary information in the possession of the State or any Authorized User hereunder or received from another third party, will not be divulged to any third parties without the written consent of the Commissioner or Authorized User. Contractor shall not be required to keep confidential any such material that is publicly available through no fault of Contractor, independently developed by Contractor without reliance on confidential information

of the Authorized User, or otherwise obtained under the Freedom of Information Law or other applicable New York State laws and regulations. This warranty shall survive termination of this Contract. Contractor further agrees to take commercially reasonable steps to inform its agents, Subcontractors, officers, distributors, resellers or employees of the obligations arising under this clause to ensure such confidentiality.

**7. PREVAILING WAGE RATES - PUBLIC WORKS AND BUILDING SERVICES CONTRACTS** If any portion of work being solicited is subject to the prevailing wage rate provisions of the Labor Law, the following shall apply:

**a. PREVAILING WAGE RATE APPLICABLE TO BIDS** A copy of the applicable prevailing wage rate schedule is incorporated into the Solicitation and may also be obtained by visiting [www.labor.ny.gov](http://www.labor.ny.gov) and typing in the search box: Prevailing Wage Schedule Request. Bidders must submit Bids which are based upon the prevailing hourly wages, and supplements in cash or equivalent benefits (e.g., fringe benefits and any cash or non-cash compensation which are not wages, as defined by law) that equal or exceed the applicable prevailing wage rates for the location where the work is to be performed. Bidders may not submit Bids based upon hourly wage rates and supplements below the applicable prevailing wage rates as established by the New York State Department of Labor. Bids that fail to comply with this requirement will be disqualified.

**b. WAGE RATE PAYMENTS/CHANGES DURING CONTRACT TERM** The wages to be paid under any resulting Contract shall not be less than the prevailing rate of wages and supplements as set forth by law. It is required that the Contractor keep informed of all changes in the prevailing wage rates during the Contract term that apply to the classes of individuals supplied by the Contractor on any projects resulting from this Contract, subject to the provisions of the Labor Law. Contractor is solely liable for and must pay such required prevailing wage adjustments during the Contract term for its employees as required by law and is responsible for ensuring any Subcontractors utilized on the Contract also comply with the prevailing wage provisions of the New York State Labor Law.

**c. ARTICLE 8 CONSTRUCTION/PUBLIC WORKS CONTRACTS** In compliance with Article 8, Section 220 of the New York State Labor Law:

**i. Posting** The Contractor must publicly post on the work Site, in a prominent and accessible place, a legible schedule of the prevailing wage rates and supplements.

**ii. Payroll Records** Contractors and Subcontractors must keep original payrolls or transcripts subscribed and affirmed as true under the penalties of perjury as required by law. For public works contracts over \$25,000 where the Contractor maintains no regular place of business in the State, such records must be kept at the work Site. For building services contracts, such records must be kept at the work Site while work is being performed.

**iii. Submission of Certified Payroll Transcripts for Public Works Contracts Only** Contractors and Subcontractors on public works Contracts must submit monthly payroll transcripts to the Authorized User issuing the Purchase Order for the work. This provision does not apply to Article 9 of the Labor Law building services contracts.

**iv. Day's Labor** No laborers, workmen or mechanics in the employ of the Contractor, Subcontractor or other person doing or

contracting to do all or part of the work contemplated by the Contract shall be permitted or required to work more than eight hours in any one calendar day or more than five calendar days in any one week except in cases of extraordinary emergency including fire, flood or danger to life or property. "Extraordinary emergency" shall be deemed to include situations in which sufficient laborers, workers and mechanics cannot be employed to carry on public work expeditiously as a result of such restrictions upon the number of hours and days of labor and the immediate commencement or prosecution or completion without undue delay of the public work is necessary in the judgment of the NYS Commissioner of Labor for the preservation of the Contract Site or for the protection of the life and limb of the persons using the Contract Site.

**d. ARTICLE 9 BUILDING SERVICES CONTRACTS** In compliance with Article 9, Section 230 of the New York State Labor Law:

**i. Payroll Records** Contractors and Subcontractors must keep original payrolls or transcripts subscribed and affirmed as true under the penalties of perjury as required by law. Where the Contractor or Subcontractor maintains no regular place of business in New York State, such records must be kept at the work Site while work is being performed.

**ii. Overtime** Employees of Contractors and Subcontractors who work in excess of eight hours in a day or forty hours in a week shall be paid at the overtime rate identified by the New York State Department of Labor.

#### **8. TAXES**

**a.** Unless otherwise specified in the Solicitation, Bid Specifications or Contract, the quoted Bid price includes all taxes applicable to the transaction.

**b.** Purchases made by the State of New York and certain non-State Authorized Users are exempt from New York State and local sales taxes and, with certain exceptions, federal excise taxes. To satisfy the requirements of the New York State sales tax exemption, either the Purchase Order issued by a State Agency or the invoice forwarded to authorize payment for such purchases will be sufficient evidence that the sale by the Contractor was made to the State, an exempt organization under Section 1116(a)(1) of the Tax Law. Non-State Authorized Users must offer their own proof of exemption upon request. No person, firm or corporation is, however, exempt from paying the State Truck Mileage and Unemployment Insurance or Federal Social Security taxes, which remain the sole responsibility of the Bidder/Contractor.

**c.** Purchases by Authorized Users other than the State of New York may be subject to certain taxes which were not included in the Bid price, and in those instances the tax should be computed based on the Contract price and added to the invoice submitted to such entity for payment.

**9. EXPENSES PRIOR TO CONTRACT EXECUTION** The Commissioner and any Authorized Users are not liable for any costs incurred by a Bidder or Contractor in the preparation and production of a Bid, Mini-Bid, cost proposal revision, or for any work performed prior to Contract execution.

#### **10. PRODUCT REFERENCES**

**a. "Or Equal"** In all Solicitations or Bid Specifications, the words "or equal" are understood to apply where a copyrighted, brand name, trade name, catalog reference, or patented Product is referenced.

References to such specific Product are intended as descriptive, not restrictive, unless otherwise stated. Comparable Product will be considered if proof of compatibility is provided, including appropriate catalog excerpts, descriptive literature, specifications and test data, etc. The Commissioner's decision as to acceptance of the Product as equal shall be final.

**b. Discrepancies in References** In the event of a discrepancy between the model number referenced in the Solicitation or Bid Specifications and the written description of the Products that cannot be reconciled, then the written description shall prevail.

**11. REMANUFACTURED, RECYCLED, RECYCLABLE, OR RECOVERED MATERIALS** Upon the conditions specified in the Solicitation and in accordance with the laws of the State of New York, Contractors are encouraged to use recycled, recyclable, or recovered materials in the manufacture of Products and packaging to the maximum extent practicable without jeopardizing the performance or intended end use of the Product or packaging unless such use is precluded due to health, welfare, safety requirements, or in the Solicitation. Contractors are further encouraged to offer remanufactured Products to the maximum extent practicable without jeopardizing the performance or intended end use of the Product unless such use is precluded due to health, welfare, safety requirements, or by the Solicitation. Where such use is not practical, suitable, or permitted by the Solicitation, Contractor shall deliver new materials in accordance with the "Warranties" set forth below.

Items with recycled, recyclable, recovered, refurbished, or remanufactured content must be identified in the Bid or Bidder will be deemed to be offering new Product.

#### **12. PRODUCTS MANUFACTURED IN PUBLIC INSTITUTIONS**

Bids offering Products that are manufactured or produced in public institutions will be rejected.

#### **13. PRICING**

**a. Unit Pricing** If required by the Solicitation, the Bidder should insert the price per unit specified and the price extensions in decimals, not to exceed four places, for each item unless otherwise specified in the Solicitation. In the event of a discrepancy between the unit price and the extension, the unit price shall govern unless, in the sole judgment of the Commissioner, such unit pricing is obviously erroneous.

**b. Net Pricing** Unless otherwise required by the Solicitation, prices shall be net, including transportation, customs, tariff, delivery and other charges fully prepaid by the Contractor to the destination indicated in the Solicitation or Purchase Order.

**c. "No Charge" Bid** When Bids are requested on a number of Products as a Group or lot, a Bidder desiring to Bid "no charge" on a Product in the Group or lot must clearly indicate such. Otherwise, such Bid may be considered incomplete and be rejected, in whole or in part, at the discretion of the Commissioner.

**d. Educational Pricing** All Products to be supplied for educational purposes that are subject to educational discounts shall be identified in the Bid and such discounts shall be made available to qualifying institutions.

**e. Third Party Financing** If Product acquisitions are financed through any third party financing, Contractor may be required as a condition of Contract award to agree to the terms and conditions of a

“Consent & Acknowledgment Agreement” in a form acceptable to the Commissioner.

**f. Specific price decreases:**

(i) **GSA Changes:** Where net pricing under the Contract is based on an approved GSA schedule, price decreases shall take effect automatically during the Contract term and apply to Purchase Orders submitted on or after the date the approved GSA schedule pricing decreases during the Contract term; or

(ii) **Commercial Price List Reductions:** Where net pricing under the Contract is based on a discount from Contractor’s list prices, price decreases shall take effect automatically during the Contract term and apply to Purchase Orders submitted on or after the date Contractor lowers its pricing on its commercial price lists during the Contract term; or

(iii) **Special Offers/Promotions Generally:** Where Contractor generally offers more advantageous special price promotions or special discount pricing to other customers during the Contract term for a similar quantity, and the maximum price or discount associated with such offer or promotion is better than the discount or net pricing otherwise available under this Contract, such better price or discount shall apply for similar quantity transactions under this Contract for the life of such general offer or promotion; and

(iv) **Special Offers/Promotions to Authorized Users:** Contractor may offer Authorized Users, under either this Contract or any other contracting vehicle, competitive pricing which is lower than the net pricing set forth herein at any time during the Contract term and such lower pricing shall not be applied as a global price reduction under the Contract pursuant to the foregoing paragraph (iii).

Unless otherwise specified in the Solicitation, Contractor may offer lower prices or better terms (see Modification of Contract Terms) on any specific Purchase Order from any Authorized User without being in conflict with, or having any obligation to comply on a global basis with, the terms of this clause.

**g. Cost Proposal Revisions** A Contractor may be solicited prior to Contract award to propose the best possible offer for the Product being bid on, in accordance with State Finance Law Section 163(9)(c). A cost proposal revision must be a lower price than the initial price.

**14. SITE INSPECTION** Where a Site inspection is required, Bidder shall be required to inspect the Site, including environmental or other conditions, for pre-existing deficiencies that may affect the installed Product or that may affect Bidder’s ability to properly deliver, install or otherwise provide the required Product. All inquiries regarding such conditions shall be made in writing. Bidder shall be deemed to have knowledge of any deficiencies or conditions that such inspection or inquiry might have disclosed. Bidder must provide a detailed explanation with its Bid if additional work is required under this clause in order to properly provide the required Product.

**15. PURCHASING CARD** The State’s Purchasing Card program is designed to be an efficient and cost effective way to expedite purchases. The Purchasing Card (also referred to as the Procurement Card) is a credit card that enables Authorized Users to make authorized purchases directly from a Contractor without processing formal Purchase Orders. Purchasing Cards are issued to selected employees who are authorized to make purchases for the Authorized

User. Cardholders can make purchases directly from any Contractor that accepts the Purchasing Card.

## **BID EVALUATION**

**16. BID EVALUATION** The Commissioner reserves the right to accept or reject any and all Bids, or separable portions of Bids, and waive technicalities, irregularities, and omissions if the Commissioner determines the best interests of the State will be served. The Commissioner, in his or her sole discretion, may accept or reject illegible, incomplete or vague Bids, and the Commissioner’s decision shall be final. A conditional or revocable Bid which clearly communicates the terms or limitations of acceptance may be considered, and Contract award may be made in compliance with the Bidder’s conditional or revocable terms in the Bid.

**17. TIE BIDS** In the event two Bids are found to be substantially equivalent, price shall be the basis for determining the award recipient. While prompt payment discounts will not be considered in determining the low Bid, the Commissioner may consider any prompt payment discount in resolving Bids which are otherwise tied. If two or more Bidders submit substantially equivalent Bids as to pricing or other factors, the decision of the Commissioner to award a Contract to one or more of such Bidders shall be final.

**18. QUANTITY CHANGES PRIOR TO AWARD** The Commissioner reserves the right, at any time prior to the award of a specific quantity Contract, to alter in good faith the quantities listed in the Solicitation. In the event such right is exercised, the lowest responsible Bidder meeting the Solicitation requirements will be advised of the revised quantities and afforded an opportunity to extend or reduce its Bid price in relation to the changed quantities. Refusal by the low Bidder to so extend or reduce its Bid price may result in the rejection of its Bid and the award of such Contract to the lowest responsible Bidder who accepts the revised qualifications.

**19. TIMEFRAME FOR OFFERS** The Commissioner reserves the right to make awards within 60 days after the date of the Bid opening or such other period of time as set forth in the Solicitation. The Bids must remain firm until a Contract is awarded, but if a Contract is not awarded within 60 days or other time period set forth in the Solicitation, the Bidder may withdraw its Bid any time thereafter by delivering to the Commissioner written notice of the withdrawal of its Bid.

**20. DEBRIEFINGS** Pursuant to Section 163(9)(c) of the State Finance Law, any unsuccessful Bidder may request a debriefing regarding the reasons that the Bid submitted by the Bidder was not selected for award. Requests for a debriefing must be made within 15 calendar days of notification by OGS that the Bid submitted by the Bidder was not selected for award. Requests should be submitted in writing to a designated contact identified in the Solicitation.

**21. CONTRACT PUBLICITY** Any Contractor press or media releases, advertisements, or promotional literature, regardless of the medium, referring to an awarded Contract must be reviewed and approved by the Commissioner prior to issuance. In addition, Contractor shall not use, for any purpose, the New York State of Opportunity registered trademark or the New York State coat of arms without prior written approval from the State.

## TERMS & CONDITIONS

**22. CONTRACT CREATION/EXECUTION** Except for contracts governed by Article 11-B of the State Finance Law, subject to and upon receipt of all required approvals as set forth in the Solicitation, a Contract shall be deemed executed and created with the successful Bidders upon the Commissioner's mailing or electronic communication to the address on the Bid/Contract of: (i) the final Contract Award Notice; (ii) a fully executed Contract; or (iii) a Purchase Order authorized by the Commissioner.

**23. CONTRACT TERM - EXTENSION** In addition to any stated extension periods in the Contract, any Contract or portion thereof awarded by the Commissioner may be extended by mutual agreement of the Commissioner and the Contractor for an additional period of up to one year. Such extension for up to an additional one-year period may be exercised on a month-to-month basis or in other stated periods of time.

**24. OFFICIAL USE ONLY/NO PERSONAL USE** The Contract is only for official use by Authorized Users. Use of the Contract for personal or private purposes is strictly prohibited.

**25. PARTICIPATION IN CENTRALIZED CONTRACTS**

**a. State Agencies** All State Agencies may utilize and purchase under any Centralized Contract let by the Commissioner, unless the Solicitation limits purchases to specific State Agencies.

**b. Non-State Agency Authorized Users** Authorized Users other than State Agencies are permitted to make purchases through Centralized Contracts where permitted by law, the Contract or the Commissioner.

**c. Voluntary Extension** Purchase Orders issued against a Centralized Contract by any Authorized User not provided for in the Contract shall be honored by the Contractor at its discretion and only with the approval of the OGS Commissioner and any other approvals required by law.

**d. Responsibility for Performance** Participation in Centralized Contracts by Authorized Users is permitted upon the following conditions: (i) the responsibility with regard to performance of any contractual obligation, covenant, condition or term thereunder by any Authorized User other than State Agencies shall be borne and is expressly assumed by such Authorized User and not by the State; (ii) a breach of the Contract by any particular Authorized User shall neither constitute nor be deemed a breach of the Contract as a whole which shall remain in full force and effect, and shall not affect the validity of the Contract nor the obligations of the Contractor thereunder respecting non-breaching Authorized Users, whether State or otherwise; (iii) for a breach by an Authorized User other than a State Agency, the State specifically and expressly disclaims any and all liability for such breach; and (iv) each non-State Agency Authorized User and Contractor guarantees to hold the State, its officers, agents and employees harmless from any liability that may be or is imposed by the non-State Agency Authorized User's or Contractor's failure to perform in accordance with its obligations under the Contract.

**e. Contract Migration** Authorized Users holding individual Contracts with a Contractor at the time that Contractor is awarded a Centralized Contract for the same Products shall be permitted to migrate to that Centralized Contract effective with its commencement date. Such migration shall not operate to diminish, alter or eliminate

any right that the Authorized User otherwise had under the terms and conditions of their individual Contract.

**26. MODIFICATION OF CONTRACT TERMS** The terms and conditions set forth in the Contract shall govern all transactions by Authorized Users under this Contract. The Contract may only be modified or amended upon mutual written agreement of the Commissioner and Contractor.

The Contractor may, however, offer any Authorized User more advantageous pricing, payment, or other terms and conditions than those set forth in the Contract. In such event, a copy of such terms shall be furnished to the Authorized User and Commissioner by the Contractor at the time of such offer.

Other than where such terms are more advantageous for the Authorized User than those set forth in the Contract, no alteration or modification of the terms of the Contract, including substitution of Product, shall be valid or binding against an Authorized User unless authorized by the Commissioner or specified in the Contract Award Notification. No such alteration or modification shall be made by unilaterally affixing such terms to Product upon delivery (including, but not limited to, attachment or inclusion of standard pre-printed order forms, product literature, "shrink wrap" terms accompanying software upon delivery, or other documents) or by incorporating such terms onto order forms, Purchase Orders or other documents forwarded by the Contractor for payment, notwithstanding Authorized User's subsequent acceptance of Product, or that Authorized User has subsequently processed such document for approval or payment.

**27. SCOPE CHANGES** The Commissioner reserves the right to require, by written order, changes to the scope of the Contract, provided that such changes do not materially alter the general scope of the Contract. If any such change causes an increase or decrease in the cost of, or the time required for, performance of any part of the work under the Contract, whether or not changed by the order, the Commissioner shall, upon notice from Contractor as hereafter stated, make an equitable adjustment in the Contract price, the delivery schedule or both and shall modify the Contract. The Contractor must assert its right to an adjustment under this clause within 30 days from the date of receipt of the written order. However, if the Commissioner decides that the facts justify it, the Commissioner may provide an adjustment without receipt of a notice from Contractor. In the event of a dispute between the Contractor and the Commissioner, such dispute shall be resolved in accordance with the OGS Dispute Resolution Procedures; provided, however, that nothing in this clause shall excuse the Contractor from proceeding with the Contract as changed.

**28. ESTIMATED/SPECIFIC QUANTITY CONTRACTS**

Estimated quantity contracts, also referred to as indefinite delivery/indefinite quantity contracts, are expressly agreed and understood to be made for only the quantities, if any, actually ordered during the Contract term. No guarantee of any quantity is implied or given.

With respect to any specific quantity stated in the Contract, the Commissioner reserves the right after award to order up to 20% more or less (rounded to the next highest whole number) than the specific quantities called for in the Contract. Notwithstanding the foregoing, the Commissioner may purchase greater or lesser percentages of Contract quantities should the Commissioner and Contractor so agree. Such agreement may include an equitable price adjustment.

**29. EMERGENCY CONTRACTS** In the event that a disaster emergency is declared by Executive Order under Section 28 of Article

2-B of the Executive Law, or the Commissioner determines pursuant to his or her authority under Section 163(10)(b) of the State Finance Law that an emergency exists requiring the prompt and immediate delivery of Product, the Commissioner reserves the right to obtain such Product from any source, including but not limited to this Contract, as the Commissioner in his or her sole discretion determines will meet the needs of such emergency. Contractor shall not be entitled to any claim for lost profits for Product procured from other sources pursuant to this clause. The reasons underlying the finding that an emergency exists shall be included in the procurement record.

**30. PURCHASE ORDERS** Unless otherwise authorized in writing by the Commissioner, no Product is to be delivered or furnished by Contractor until transmittal of an official Purchase Order from the Authorized User. Unless terminated or cancelled pursuant to the authority vested in the Commissioner, Purchase Orders shall be effective and binding upon the Contractor (i) in the case of formal written Purchase Orders, when placed in the mail prior to the termination of the Contract and addressed to the Contractor at the address for receipt of orders set forth in the Contract or in the Contract Award Notification or (ii) in the case of electronic Purchase Orders or Purchasing Card purchases, when electronically transmitted to the Contractor prior to the termination of the Contract.

All Purchase Orders issued pursuant to a Contract let by the Commissioner must be identified with the appropriate Contract number and, if necessary, required State approvals. As deemed necessary, the Authorized User may confirm pricing and other Product information with the Contractor prior to placement of the Purchase Order. The State reserves the right to require any other information from the Contractor which the State deems necessary in order to complete any Purchase Order placed under the Contract. Unless otherwise specified, all Purchase Orders against Centralized Contracts will be placed by Authorized Users directly with the Contractor and any discrepancy between the terms stated on the Contractor's order form, confirmation or acknowledgment, and the Contract terms shall be resolved in favor of the terms most favorable to the Authorized User. Should an Authorized User add written terms and conditions to the Purchase Order that conflict with the terms and conditions of the Contract, the Contractor has the option of rejecting the Purchase Order within five business days of its receipt but shall first attempt to negotiate the additional written terms and conditions in good faith with the Authorized User, or fulfill the Purchase Order. Notwithstanding the above, the Authorized User reserves the right to dispute any discrepancies arising from the presentation of additional terms and conditions with the Contractor.

If, with respect to an Agency Specific Contract let by the Commissioner, a Purchase Order is not received by the Contractor within two weeks after the issuance of a Contract Award Notification, it is the responsibility of the Contractor to request in writing that the appropriate Authorized User forward a Purchase Order. If, thereafter, a Purchase Order is not received within a reasonable period of time, the Contractor shall promptly notify in writing the appropriate purchasing officer in OGS. Failure to timely notify such officer may, in the discretion of the OGS Commissioner and without cost to the State, result in the cancellation of such requirement by the OGS Commissioner with a corresponding reduction in the Contract quantity and price.

**31. PRODUCT DELIVERY** Delivery must be made as ordered to the address specified on the Purchase Order and in accordance with the terms of the Contract. Delivery shall be made within 30 calendar days after receipt of a Purchase Order by the Contractor, unless otherwise agreed to by the Authorized User and the Contractor. The decision of

the Commissioner as to compliance with delivery terms shall be final. The burden of proof for delay in receipt of a Purchase Order shall rest with the Contractor. In all instances of a potential or actual delay in delivery, the Contractor shall immediately notify the Commissioner and the Authorized User, and confirm in writing the explanation of the delay, and take appropriate action to avoid any subsequent late deliveries. Any extension of time for delivery must be requested in writing by the Contractor and approved in writing by the Authorized User. If compliance with the delivery time schedule is a material term of the Contract, failure to meet such delivery time schedule may be grounds for cancellation of the order or, in the Commissioner's discretion, the Contract.

**32. WEEKEND AND HOLIDAY DELIVERIES** Unless otherwise specified in the Contract or by an Authorized User, deliveries will be scheduled for ordinary business hours, Monday through Friday (excluding legal holidays observed by the State of New York). Deliveries may be scheduled by mutual agreement for Saturdays, Sundays or legal holidays observed by the State of New York where the Product is for daily consumption, an emergency exists, the delivery is a replacement, delivery is late, or other reasonable circumstance in which event the convenience of the Authorized User shall govern.

### **33. SHIPPING/RECEIPT OF PRODUCT**

**a. Packaging** Product shall be securely and properly packed for shipment, storage and stocking in appropriate, clearly labeled shipping containers and according to accepted commercial practice, without any extra charges for packing materials, cases or other types of containers. The container shall become and remain the property of the Authorized User unless otherwise specified in the Contract documents.

**b. Shipping Charges** Unless otherwise stated in the Contract, all deliveries shall be deemed to be freight on board (F.O.B.) destination tailgate delivery at the dock of the Authorized User. Unless otherwise agreed, items purchased at a price F.O.B. shipping point plus transportation charges shall not relieve the Contractor from responsibility for safe and proper delivery notwithstanding the Authorized User's payment of transportation charges. Contractor shall be responsible for ensuring that the bill of lading states "charges prepaid" for all shipments.

**c. Receipt of Product** The Contractor shall be solely responsible for assuring that deliveries are made to the locations and/or personnel specified by the Authorized User in the Purchase Order. Any losses or delays resulting from the Contractor's failure to deliver Product to the specified locations or personnel shall be borne exclusively by the Contractor.

### **34. TITLE AND RISK OF LOSS FOR PRODUCTS OTHER THAN TECHNOLOGY PRODUCTS**

Notwithstanding the form of shipment, title or other property interest, risk of loss for Products other than technology Products shall not pass from the Contractor to the Authorized User until the Products have been received, inspected and accepted by the receiving entity. Acceptance shall occur within a reasonable time or in accordance with such other defined acceptance period as may be specified in the Contract or Purchase Order. Mere acknowledgment by Authorized User personnel of the delivery or receipt of goods (e.g., signed bill of lading) shall not be deemed or construed as acceptance of the Products received. Any delivery of Product that is substandard or does not comply with the Contract may be rejected or accepted on an adjusted price basis, as determined by the Commissioner. Title, risk of loss, and acceptance for technology Products shall be governed by the Product Acceptance clause.

**35. PRODUCT SUBSTITUTION** In the event a specified Product listed in the Contract becomes unavailable or cannot be supplied by the Contractor for any reason (except as provided for in the Savings/Force Majeure clause), a Product deemed in writing by the Commissioner to be equal to or better than the specified Product must be substituted by the Contractor at no additional cost or expense to the Authorized User. Unless otherwise specified, any substitution of Product prior to the Commissioner's written approval may be cause for termination of Contract.

**36. REJECTED PRODUCT** When Product is rejected, it must be removed by the Contractor from the premises of the Authorized User within ten calendar days of notification of rejection by the Authorized User. Upon notification of rejection, risk of loss of rejected or non-conforming Product shall remain with Contractor. Rejected items not removed by the Contractor within ten calendar days of notification shall be regarded as abandoned by the Contractor, and the Authorized User shall have the right to dispose of Product as its own property. The Contractor shall promptly reimburse the Authorized User for any and all costs and expenses incurred in storage or effecting removal or disposition after the ten-calendar-day period.

**37. INSTALLATION** Where installation is required, Contractor shall be responsible for placing and installing the Product in the required locations. All materials used in the installation shall be of good quality and shall be free from any and all defects that would mar the Product or render it unsound. Installation includes the furnishing of any equipment, rigging and materials required to install or place the Product in the proper location. The Contractor shall protect the Site from damage for all its work and shall repair damages or injury of any kind caused by the Contractor, its employees, officers or agents. If any alteration, dismantling or excavation, etc. is required to effect installation, the Contractor shall thereafter promptly restore the structure or Site. Work shall be performed to cause the least inconvenience to the Authorized User and with proper consideration for the rights of other Contractors or workers. The Contractor shall promptly perform its work and shall coordinate its activities with those of other Contractors. The Contractor shall clean up and remove all debris and rubbish from its work as required or directed. Upon completion of the work, the building and surrounding area of work shall be left clean and in a neat, unobstructed condition, and everything in satisfactory repair and order.

**38. REPAIRED OR REPLACED PRODUCTS, PARTS, OR COMPONENTS** Where the Contractor is required to repair, replace or substitute Product or parts or components of the Product under the Contract, the repaired, replaced or substituted Products shall be subject to all terms and conditions for new parts and components set forth in the Contract including warranties, as set forth in the Warranties clause herein. Replaced or repaired Product or parts and components of such Product shall be new and shall, if available, be replaced by the original manufacturer's component or part. Remanufactured parts or components meeting new Product standards may be permitted by the Commissioner or Authorized User. Before installation, all proposed substitutes for the original manufacturers' installed parts or components must be approved by the Authorized User. The part or component shall be equal to or of better quality than the original part or component being replaced.

**39. EMPLOYEES, SUBCONTRACTORS AND AGENTS** All employees, Subcontractors, or agents of the Contractor performing work under the Contract must be trained staff or technicians who meet or exceed the professional, technical, and training qualifications set forth in the Contract or the Purchase Order, and must comply with all security and administrative requirements of the Authorized User that are communicated to the Contractor. The Commissioner and the Authorized

User reserve the right to conduct a security background check or otherwise approve any employee, Subcontractor, or agent furnished by Contractor and to refuse access to or require replacement of any personnel for cause based on professional, technical or training qualifications, quality of work or change in security status or non-compliance with Authorized User's security or other requirements. Such approval shall not relieve the Contractor of the obligation to perform all work in compliance with the Contract or the Purchase Order. The Commissioner and the Authorized User reserve the right to reject and/or bar from any facility for cause any employee, Subcontractor, or agent of the Contractor.

**40. ASSIGNMENT** In accordance with Section 138 of the State Finance Law, the Contractor shall not assign, transfer, convey, sublet, or otherwise dispose of the Contract or its right, title or interest therein, or its power to execute such Contract to any other person, company, firm or corporation in performance of the Contract without the prior written consent of the Commissioner or Authorized User (as applicable); provided, however, any consent shall not be unreasonably withheld, conditioned, delayed or denied. The Commissioner may waive the requirement that such consent be obtained in advance where the Contractor verifies that the assignment, transfer, conveyance, sublease, or other disposition is due to, but not necessarily limited to, a reorganization, merger, or consolidation of the Contractor's business entity or enterprise.

Notwithstanding the foregoing, the State shall not hinder, prevent or affect assignment of money by a Contractor for the benefit of its creditors. Prior to a consent to assignment of monies becoming effective, the Contractor shall file a written notice of such monies assignments with the State Comptroller. Prior to a consent to assignment of a Contract, or portion thereof, becoming effective, the Contractor shall submit the request for assignment to the Commissioner and seek written agreement from the Commissioner which will be filed with the State Comptroller. Commissioner shall use reasonable efforts to promptly respond to any request by Contractor for an assignment, provided that Contractor supplies sufficient information about the party to whom the Contractor proposes to assign the Contract.

Upon notice to the Contractor, the Contract may be assigned without the consent of the Contractor to another State Agency or subdivision of the State pursuant to a governmental reorganization or assignment of functions under which the functions are transferred to a successor Agency or to another Agency that assumes OGS responsibilities for the Contract.

**41. SUBCONTRACTORS AND SUPPLIERS** The Commissioner reserves the right to reject any proposed Subcontractor or supplier for bona fide business reasons, including, but not limited to: the company failed to solicit New York State certified minority- and women-owned business enterprises as required in prior OGS Contracts; the fact that such Subcontractor or supplier is on the New York State Department of Labor's list of companies with which New York State cannot do business; the Commissioner's determination that the company is not qualified or is not responsible; or the fact that the company has previously provided unsatisfactory work or services.

**42. SUSPENSION OF WORK** The Commissioner, in his or her sole discretion, reserves the right to suspend any or all activities under the Contract, at any time, in the best interests of the Authorized User. In the event of such suspension, the Contractor will be given a formal written notice outlining the particulars of such suspension. Examples of the reason for such suspension include, but are not limited to, a budget freeze or reduction in State spending, declaration of emergency, contract compliance issues or other circumstances. Upon

issuance of such notice, the Contractor is not to accept any Purchase Orders, and shall comply with the suspension order. Activity may resume at such time as the Commissioner issues a formal written notice authorizing a resumption of performance under the Contract.

An Authorized User may issue a formal written notice for the suspension of work for which it has engaged the Contractor for reasons specified in the above paragraph. The written notice shall set forth the reason for such suspension and a copy of the written notice shall be provided to the Commissioner.

#### **43. TERMINATION**

**a. For Cause** For a material breach that remains uncured for more than 30 calendar days or other longer period as specified by written notice to the Contractor, the Contract or Purchase Order may be terminated by the Commissioner or Authorized User respectively. Neither the State nor an Authorized User shall be liable for any of Contractor's costs arising from the failure to perform or the termination, including without limitation costs incurred after the date of termination. Such termination shall be upon written notice to the Contractor. In such event, the Commissioner or Authorized User may complete the contractual requirements in any manner it may deem advisable and pursue available legal or equitable remedies for breach.

**b. For Convenience** This Contract may be terminated at any time by the Commissioner for convenience upon 60 calendar days or other longer period as specified by written notice, without penalty or other early termination charges due. Such termination of the Contract shall not affect any project or Purchase Order that has been issued under the Contract prior to the date of such termination. If the Contract is terminated pursuant to this subdivision, the Authorized User shall remain liable for all accrued but unpaid charges incurred through the date of the termination. Contractor shall use due diligence and fulfill any outstanding Purchase Orders.

**c. For Violation of Sections 139-j and 139-k of the State Finance Law** The Commissioner reserves the right to terminate the Contract in the event it is found that the certification filed by the Bidder in accordance with Section 139-k of the State Finance Law was intentionally false or intentionally incomplete. Upon such finding, the Commissioner may exercise his or her termination right by providing written notification to the Contractor in accordance with the written notification terms of the Contract.

**d. For Violation of Section 5-a of the New York State Tax Law** The Commissioner reserves the right to terminate the Contract in the event it is found that the certification filed by the Contractor in accordance with Section 5-a of the Tax Law is not timely filed during the term of the Contract or the certification furnished was intentionally false or intentionally incomplete. Upon such finding, the Commissioner may exercise his or her termination right by providing written notification to the Contractor in accordance with the written notification terms of the Contract.

**e. For Non-Responsibility** The Bidder agrees that if it is found by the State that the Bidder's responses to the Vendor Responsibility Questionnaire were intentionally false or intentionally incomplete, on such finding, the Commissioner may terminate the Contract.

Upon written notice to the Contractor, and a reasonable opportunity to be heard with appropriate OGS officials or staff, the Contract may be terminated by the Commissioner at the Contractor's expense where the Contractor is determined by the Commissioner to be non-responsible. In such event, the Commissioner may complete the contractual

requirements in any manner he or she may deem advisable and pursue available legal or equitable remedies for breach.

In no case shall such termination of the Contract by the State be deemed a breach thereof, nor shall the State be liable for any damages for lost profits or otherwise, which may be sustained by the Contractor as a result of such termination.

**f. Upon Conviction of Certain Crimes** The Commissioner reserves the right to terminate the Contract in the event it is found that a member, partner, director or officer of Contractor is convicted of one or more of the following: Bribery Involving Public Servants and Related Offenses as defined in Article 200 of the New York State Penal Law; Corrupting the Government as defined in Article 496 of the New York State Penal Law; or Defrauding the Government as defined in Section 195.20 of the New York State Penal Law.

**44. SAVINGS/FORCE MAJEURE** A force majeure occurrence is an event or effect that cannot be reasonably anticipated or controlled and is not due to the negligence or willful misconduct of the affected party. Force majeure includes, but is not limited to, acts of God, acts of war, acts of public enemies, terrorism, strikes, fires, explosions, actions of the elements, floods, or other similar causes beyond the control of the Contractor or the Commissioner in the performance of the Contract where non-performance, by exercise of reasonable diligence, cannot be prevented.

The affected party shall provide the other party with written notice of any force majeure occurrence as soon as the delay is known and provide the other party with a written contingency plan to address the force majeure occurrence, including, but not limited to, specificity on quantities of materials, tooling, people, and other resources that will need to be redirected to another facility and the process of redirecting them. Furthermore, the affected party shall use its commercially reasonable efforts to resume proper performance within an appropriate period of time. Notwithstanding the foregoing, if the force majeure condition continues beyond 30 days, the parties to the Contract shall jointly decide on an appropriate course of action that will permit fulfillment of the parties' objectives under the Contract.

The Contractor agrees that in the event of a delay or failure of performance by the Contractor under the Contract due to a force majeure occurrence:

- a. The Commissioner may purchase from other sources (without recourse to and by the Contractor for the costs and expenses thereof) to replace all or part of the Products which are the subject of the delay, which purchases may be deducted from the Contract quantities without penalty or liability to the State, or
- b. The Contractor will provide Authorized Users with access to Products first in order to fulfill orders placed before the force majeure event occurred. The Commissioner agrees that Authorized Users shall accept allocated performance or deliveries during the occurrence of the force majeure event.

Neither the Contractor nor the Commissioner shall be liable to the other for any delay in or failure of performance under the Contract due to a force majeure occurrence. Any such delay in or failure of performance shall not constitute default or give rise to any liability for damages. The existence of such causes of such delay or failure shall extend the period for performance to such extent as determined by the Contractor and the Commissioner to be necessary to enable complete performance by the Contractor if reasonable diligence is exercised after the cause of delay or failure has been removed.

Notwithstanding the above, at the discretion of the Commissioner where the delay or failure will significantly impair the value of the Contract to the State or to Authorized Users, the Commissioner may terminate the Contract or the portion thereof which is subject to delays, and thereby discharge any unexecuted portion of the Contract or the relative part thereof.

In addition, the Commissioner reserves the right, in his or her sole discretion, to make an equitable adjustment in the Contract terms and/or pricing should extreme and unforeseen volatility in the marketplace affect pricing or the availability of supply. "Extreme and unforeseen volatility in the marketplace" is defined as market circumstances which meet the following criteria: (i) the volatility is due to causes outside the control of Contractor; (ii) the volatility affects the marketplace or industry, not just the particular Contract source of supply; (iii) the effect on pricing or availability of supply is substantial; and (iv) the volatility so affects Contractor's performance that continued performance of the Contract would result in a substantial loss to the Contractor. In the event of a dispute between the Contractor and the Commissioner, such dispute shall be resolved in accordance with the OGS Dispute Resolution Procedures; provided, however, that nothing in this clause shall excuse the Contractor from performing in accordance with the Contract as changed.

#### **45. CONTRACT INVOICING**

**a. Invoicing** Contractor and the dealers/distributors/resellers designated by the Contractor, if any, shall provide complete and accurate billing invoices to each Authorized User in order to receive payment. Billing invoices submitted to an Authorized User must contain all information required by the Contract and the State Comptroller or other appropriate fiscal officer.

Contractor shall provide, upon request of the Commissioner, any and all information necessary to verify the accuracy of the billings. Such information shall be provided in a commercially reasonable manner as requested by the Commissioner. The Commissioner may direct the Contractor to provide the information to the State Comptroller or to any Authorized User of the Contract.

**b. Payment of Contract Purchases made by an Authorized User when the State Comptroller is responsible for issuing such payment** The Authorized User and Contractor agree that payments for invoices submitted by the Contractor shall only be rendered electronically unless payment by paper check is expressly authorized by the Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payments shall be made in accordance with ordinary State procedures and practices. The Contractor shall comply with the State Comptroller's procedures to authorize electronic payments. Authorization forms are available at the State Comptroller website at [www.osc.state.ny.us](http://www.osc.state.ny.us), by e-mail at [HelpDesk@sfs.ny.gov](mailto:HelpDesk@sfs.ny.gov), or by telephone at (518) 457-7737 or toll free (877) 737-4185. Contractor acknowledges that it will not receive payment on any invoices submitted under this Contract that are payable by the State Comptroller if it does not comply with the State Comptroller's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

**c. Payment of Contract Purchases made by an Authorized User when the State Comptroller is not responsible for issuing such payment** The Authorized User and Contractor agree that payments for such Contract purchases shall be billed directly by Contractor on invoices/vouchers, together with complete and accurate supporting documentation as required by the Authorized User. Such payments shall be as mandated by the appropriate governing law from the receipt

of a proper invoice. Such Authorized User and Contractor are strongly encouraged to establish electronic payments.

#### **46. DEFAULT – AUTHORIZED USER**

**a. Breach by Authorized User** An Authorized User's breach shall not be deemed a breach of the Centralized Contract; rather, it shall be deemed a breach of the Authorized User's performance under the terms and conditions of the Centralized Contract.

**b. Failure to Make Payment** In the event a participating Authorized User fails to make payment to the Contractor for Products delivered, accepted and properly invoiced, within 30 calendar days of such delivery and acceptance, the Contractor may, upon five business days advance written notice to both the Commissioner and the Authorized User's purchasing official, suspend additional provision of Products to such entity until such time as reasonable arrangements have been made and assurances given by such entity for current and future Contract payments.

**c. Notice of Breach** Notwithstanding the foregoing, the Contractor shall, at least 10 business days prior to declaring a breach of Contract by any Authorized User, by certified or registered mail, notify both the Commissioner and the purchasing official of the breaching Authorized User of the specific facts, circumstances and grounds upon which a breach will be declared.

**d. Insufficient basis** If the Contractor's basis for declaring a breach is insufficient, the Contractor's declaration of breach and failure to provide Products to an Authorized User may constitute a breach of the Contract, and the Authorized User may thereafter seek any remedy available at law or equity.

#### **47. PROMPT PAYMENTS**

**a. By State Agencies** Upon acceptance of Product or as otherwise provided by Contract, Contractor may invoice for payment. The required payment date shall be 30 calendar days, excluding legal holidays, from the receipt of a proper invoice, as determined in accordance with State Finance Law Section 179-f(2) and 2 NYCRR Part 18. The payment of interest on certain payments due and owed by the State Agency may be made in accordance with State Finance Law Sections 179-d et seq. and the implementing regulations (2 NYCRR § 18.1 et seq.).

**b. By Non-State Agencies** Upon acceptance of Product or as otherwise provided by Contract, Contractor may invoice for payment. The required payment date shall be 30 calendar days, excluding legal holidays, or as mandated by the appropriate governing law from the receipt of a proper invoice. The terms of Article 11-A of the State Finance Law apply only to procurements by and the consequent payment obligations of State Agencies. Neither expressly nor by any implication is the statute applicable to non-State agency Authorized Users. Neither OGS nor the State Comptroller is responsible for payments on any purchases made by a non-State agency Authorized User.

**c. By Contractor** Should the Contractor be liable for any payments to the State hereunder, interest, late payment charges and collection fee charges will be determined and assessed pursuant to Section 18 of the State Finance Law.

**48. REMEDIES FOR BREACH** Unless otherwise specified by the Authorized User in a Mini-Bid or Purchase Order, in the event that Contractor fails to observe or perform any term or condition of the Contract and such failure remains uncured after 15 calendar days following written notice by the Commissioner or an Authorized User,



the Commissioner or an Authorized User may exercise all rights and remedies available at law or in equity. Notwithstanding the foregoing, if such failure is of a nature that it cannot be cured completely within 15 calendar days and Contractor shall have commenced its cure of such failure within such period and shall thereafter diligently prosecute all steps necessary to cure such failure, such 15-day period may, in the sole discretion of the Commissioner or the Authorized User, be extended for a reasonable period in no event to exceed 60 calendar days. It is understood and agreed that the rights and remedies available to the Commissioner and Authorized Users in the event of breach shall include but not be limited to the following:

**a. Cover/Substitute Performance** In the event of Contractor's material, uncured breach, the Commissioner or Authorized User may, with or without issuing a formal Solicitation: (i) purchase from other sources; or (ii) if the Commissioner or Authorized User is unsuccessful after making reasonable attempts, under the circumstances then-existing, to timely obtain acceptable replacement Product of equal or comparable quality, the Commissioner or Authorized User may acquire acceptable replacement Product of lesser or greater quality. Such purchases may be deducted from the Contract quantity without penalty or liability to the State.

**b. Withhold Payment** In any case where a reasonable question of material, uncured non-performance by Contractor arises, payment may be withheld in whole or in part at the discretion of the Authorized User.

**c. Bankruptcy** In the event that the Contractor files, or there is filed against Contractor, a petition under the U.S. Bankruptcy Code during the term of this Centralized Contract, Authorized Users may, at their discretion, make application to exercise their right to set-off against monies due the debtor or, under the doctrine of recoupment, be credited the amounts owed by the Contractor arising out of the same transactions.

**d. Reimbursement of Costs Incurred** The Contractor agrees to reimburse the Authorized User promptly for any and all additional costs and expenses incurred for acquiring acceptable replacement Product. Should the cost of cover be less than the Contract price, the Contractor shall have no claim to the difference. The Contractor covenants and agrees that in the event suit is successfully prosecuted for any default on the part of the Contractor, all costs and expenses, including reasonable attorney's fees, shall be paid by the Contractor.

Where the Contractor fails to timely deliver pursuant to the guaranteed delivery terms of the Contract, the ordering Authorized User may obtain replacement Product temporarily and the cost of the replacement Product shall be deducted from the Contract quantity without penalty or liability to the State.

**e. Deduction/Credit** Sums due as a result of these remedies may be deducted or offset by the Authorized User from payments due, or to become due, the Contractor on the same or another transaction. If no deduction or only a partial deduction is made in such fashion the Contractor shall pay to the Authorized User the amount of such claim or portion of the claim still outstanding, on demand. The Commissioner reserves the right to determine the disposition of any rebates, settlements, restitution, damages, etc., that arise from the administration of the Contract.

**49. ASSIGNMENT OF CLAIM** Contractor hereby assigns to the State any and all claims for overcharges associated with this Contract that may arise under the antitrust laws of the United States, 15 USC

Section 1, et seq. and the antitrust laws of the State of New York, General Business Law Section 340, et seq.

**50. TOXIC SUBSTANCES** Each Contractor furnishing a toxic substance, as defined by Section 875 of the Labor Law, shall provide such Authorized User with not less than two copies of a Safety Data Sheet, which sheet shall include for each such substance the information outlined in Section 876 of the Labor Law.

Before any chemical product is used or applied on or in any building, a copy of the product label and Safety Data Sheet must be provided to and approved by the Authorized User.

**51. INDEPENDENT CONTRACTOR** It is understood and agreed that the legal status of the Contractor, its Subcontractors, agents, officers and employees under this Contract is that of an independent contractor, and in no manner shall they be deemed employees of the Authorized User, and therefore are not entitled to any of the benefits associated with such employment.

**52. SECURITY** Contractor warrants, covenants and represents that, in the performance of the Contract, Contractor, its agents, Subcontractors, officers, distributors, resellers and employees will comply fully with all security procedures of the Authorized User set forth in the Contract or Purchase Order or otherwise communicated in advance to the Contractor including but not limited to physical, facility, documentary and cyber security rules, procedures and protocols.

**53. COOPERATION WITH THIRD PARTIES** The Contractor shall be responsible for fully cooperating with any third party, including but not limited to other Contractors or Subcontractors of the Authorized User, as necessary to ensure delivery or performance of Product.

#### **54. WARRANTIES**

**a. Product Performance** Contractor hereby warrants and represents that the Products acquired by the Authorized User under this Contract conform to the manufacturer's specifications, performance standards and Documentation and that the Documentation fully describes the proper procedure for using the Products.

**b. Title and Ownership** Contractor warrants and represents that it has (i) full ownership, clear title free of all liens, or (ii) the right to transfer or deliver specified license rights to any Products acquired by Authorized User under this Contract. Contractor shall be solely liable for any costs of acquisition associated therewith. Contractor shall indemnify Authorized Users and hold Authorized Users harmless from any damages and liabilities (including reasonable attorneys' fees and costs) arising from any breach of Contractor's warranties as set forth herein.

**c. Product Warranty** Contractor further warrants and represents that Products, components or parts specified and furnished by or through Contractor, whether specified and furnished individually or as a system, shall be substantially free from defects in material and workmanship and will conform to all requirements of the Contract for the manufacturer's standard commercial warranty period, if applicable, or for a minimum of one year from the date of acceptance, whichever is longer (the "Product warranty period").

During the Product warranty period, defects in the materials or workmanship of Products, components, or parts specified and furnished by or through Contractor, whether specified and furnished

individually or as a system, shall be repaired or replaced by Contractor at no cost or expense to the Authorized User. Contractor shall extend the Product warranty period for individual Products, or for the system as a whole, as applicable, by the cumulative periods of time, after notification, during which an individual Product, or the system as a whole, requires repairs or replacement resulting in down time or is in the possession of the Contractor, its agents, officers, Subcontractors, distributors, resellers or employees (“extended warranty”).

Any component or part replaced by the Contractor under the Contract warranties shall be guaranteed for the greater of: (i) the Product warranty period set forth herein; or (ii) the manufacturer’s standard commercial warranty period offered for the component or part, if applicable.

All costs for materials, labor, and transportation incurred to repair or replace Products, parts, components, or systems as a whole during the warranty period shall be borne solely by the Contractor, and the State or Authorized User shall in no event be liable or responsible therefor.

Where Contractor, the Third-Party Software vendor, or other third-party manufacturer markets any Product delivered by or through Contractor with a standard commercial warranty, such standard warranty shall be in addition to, and not relieve the Contractor from, Contractor’s warranty obligations during the Product warranty and extended warranty periods. Where such standard commercial warranty covers all or some of the Product warranty or extended warranty periods, Contractor shall be responsible for the coordination during the Product warranty or extended warranty periods with Third-Party Software vendor or other third-party manufacturers for warranty repair or replacement of Third-Party Software vendor or other third-party manufacturer’s Product.

Where Contractor, Third-Party Software vendor, or other third-party manufacturer markets any Product with a standard commercial warranty that goes beyond the Product warranty or extended warranty periods, Contractor shall notify the Authorized User and pass through the standard commercial warranty to Authorized User at no additional charge; provided, however, that Contractor shall not be responsible for coordinating services under the standard commercial warranty after expiration of the Product warranty and extended warranty periods.

Unless recycled, recyclable, or recovered materials are available in accordance with the Remanufactured, Recycled, Recyclable, or Recovered Materials clause, Product offered shall be standard new equipment, current model or most recent release of regular stock product with all parts regularly used with the type of equipment offered. Contractor further warrants and represents that no component or part has been substituted or applied contrary to the manufacturer’s recommendations and standard practice.

Contractor shall not be responsible for any modification of the Products made by an Authorized User without Contractor’s approval.

**d. Virus Warranty** The Contractor represents and warrants that any Product acquired under the Contract by the Authorized User does not contain any known Viruses. Contractor is not responsible for Viruses introduced at an Authorized User’s Site.

**e. Date/Time Warranty** Contractor warrants that Product furnished pursuant to this Contract shall, when used in accordance with the Product Documentation, be able to accurately process date/time data (including, but not limited to, calculating, comparing, and sequencing) transitions, including leap year calculations. Where a Contractor proposes or an

acquisition requires that specific Products must perform as a package or system, this warranty shall apply to the Products as a system.

Where Contractor is providing ongoing services, including but not limited to: (i) consulting, integration, code or data conversion, (ii) maintenance or support services, (iii) data entry or processing, or (iv) contract administration services (e.g., billing, invoicing, claim processing), Contractor warrants that services shall be provided in an accurate and timely manner without interruption, failure or error due to the inaccuracy of Contractor’s business operations in processing date/time data (including, but not limited to, calculating, comparing, and sequencing) various date/time transitions, including leap year calculations. Contractor shall be responsible for damages resulting from any delays, errors or untimely performance resulting therefrom, including but not limited to the failure or untimely performance of such services.

**f. Workmanship Warranty** Contractor warrants that the services acquired under this Contract will be provided in a professional and workmanlike manner in accordance with the applicable industry standards, if any. The Authorized User must notify Contractor of any services warranty deficiencies within 90 calendar days from performance of the services that gave rise to the warranty claim.

**g. Survival of Warranties** All warranties contained in this Contract shall survive the termination of this Contract.

**h. Prompt Notice of Breach** The Authorized User shall promptly notify the Contractor and the Commissioner in writing of any claim of breach of any warranty provided herein.

**i. Additional Warranties** Where Contractor, Product manufacturer or service provider generally offers additional or more advantageous warranties than those set forth herein, Contractor shall offer or pass through any such warranties to Authorized Users.

**j. No Limitation of Rights** The rights and remedies of the State and the Authorized Users provided in this clause are in addition to and do not limit any rights afforded to the State and the Authorized Users by any other clause of the Contract.

**55. LEGAL COMPLIANCE** Contractor represents and warrants that it shall secure all notices and comply with all applicable laws, ordinances, rules and regulations of any governmental entity in conjunction with the performance of obligations under the Contract. Prior to award and during the Contract term and any extensions thereof, Contractor must establish to the satisfaction of the Commissioner that it meets or exceeds all requirements of the Solicitation and Contract and any applicable laws, including but not limited to, permits, licensing, and shall provide such proof as required by the Commissioner. Failure to comply or failure to provide proof may constitute grounds for the Commissioner to terminate or suspend the Contract, in whole or in part, or to take any other action deemed necessary by the Commissioner. Contractor also agrees to disclose information and provide affirmations and certifications to comply with Sections 139-j and 139-k of the State Finance Law.

**56. INDEMNIFICATION** Contractor shall be fully liable for the actions of its agents, employees, partners or Subcontractors and shall fully defend, indemnify and hold the Authorized Users harmless from suits, actions, proceedings, claims, losses, damages, and costs (including reasonable attorney fees) of every name and description relating to personal injury and damage to real or personal tangible property caused by any intentional act or negligence of Contractor, its agents, employees, partners or Subcontractors, which shall arise from or result directly or indirectly from this Contract, without limitation;

provided, however, that the Contractor shall not be obligated to indemnify an Authorized User for any claim, loss or damage arising hereunder to the extent caused by the negligent act, failure to act, gross negligence or willful misconduct of the Authorized User.

The Authorized User shall give Contractor: (i) prompt written notice of any action, claim or threat of suit, or other suit for which Contractor is required to fully indemnify an Authorized User, (ii) the opportunity to take over, settle or defend such action, claim or suit at Contractor's sole expense, and (iii) assistance in the defense of any such action, claim or suit at the expense of Contractor. Notwithstanding the foregoing, the State reserves the right to join such action, at its sole expense, if it determines there is an issue involving a significant public interest.

In the event that an action or proceeding at law or in equity is commenced against the Authorized User arising out of a claim for death, personal injury or damage to real or personal tangible property caused by any intentional or willful act, gross negligence, or negligence of Contractor, its agents, employees, partners or Subcontractors, which shall arise from or result directly or indirectly from the Products supplied under this Contract, and Contractor is of the opinion that the allegations in such action or proceeding in whole or in part are not covered by the indemnification and defense provisions set forth in the Contract, Contractor shall immediately notify the Authorized User and the New York State Office of the Attorney General in writing and shall specify to what extent Contractor believes it is obligated to defend and indemnify under the terms and conditions of the Contract and to what extent it is not so obligated to defend and indemnify. Contractor shall in such event protect the interests of the Authorized User and attempt to secure a continuance to permit the State and the Authorized User to appear and defend their interests in cooperation with Contractor, as is appropriate, including any jurisdictional defenses the State and Authorized User may have. In the event of a dispute regarding the defense, the Contractor and the Attorney General shall try to reach an amicable resolution, but the Attorney General shall have the final determination on such matters.

#### **57. INDEMNIFICATION RELATING TO INFRINGEMENT**

The Contractor shall also defend, indemnify and hold the Authorized Users harmless from all suits, actions, proceedings, claims, losses, damages, and costs of every name and description (including reasonable attorney fees), relating to a claim of infringement of a patent, copyright, trademark, trade secret or other proprietary right provided such claim arises solely out of the Products as supplied by the Contractor, and not out of any modification to the Products made by the Authorized User or by someone other than Contractor at the direction of the Authorized User without Contractor's approval; provided, however, that the Contractor shall not be obligated to indemnify an Authorized User for any claim, loss or damage arising hereunder to the extent caused by the negligent act, failure to act, gross negligence or willful misconduct of the Authorized User.

The Authorized User shall give Contractor: (i) prompt written notice of any action, claim or threat of suit alleging infringement, (ii) the opportunity to take over, settle or defend such action, claim or suit at Contractor's sole expense, and (iii) assistance in the defense of any such action, claim or suit at the expense of Contractor. Notwithstanding the foregoing, the State reserves the right to join such action, at its sole expense, if it determines there is an issue involving a significant public interest.

If usage of a Product shall be enjoined for any reason or if Contractor believes that it may be enjoined, Contractor shall have the right, at its

own expense and sole discretion to take action in the following order of precedence: (i) to procure for the Authorized User the right to continue usage (ii) to modify the service or Product so that usage becomes non-infringing, and is of at least equal quality and performance; or (iii) to replace such Product or parts thereof, as applicable, with non-infringing Product of at least equal quality and performance. If the above remedies are not available, the parties shall terminate the Contract, in whole or in part as necessary and applicable, provided that the Authorized User is given a refund for any amounts paid for the period during which usage was not feasible.

In the event that an action or proceeding at law or in equity is commenced against the Authorized User arising out of a claim that the Authorized User's use of the Product under the Contract infringes any patent, copyright, trademark, trade secret or proprietary right, and Contractor is of the opinion that the allegations in such action or proceeding in whole or in part are not covered by the indemnification and defense provisions set forth in the Contract, Contractor shall immediately notify the Authorized User and the New York State Office of the Attorney General in writing and shall specify to what extent Contractor believes it is obligated to defend and indemnify under the terms and conditions of the Contract and to what extent it is not so obligated to defend and indemnify. Contractor shall in such event protect the interests of the Authorized User and attempt to secure a continuance to permit the State and the Authorized User to appear and defend their interests in cooperation with Contractor, as is appropriate, including any jurisdictional defenses the State and Authorized User may have. In the event of a dispute regarding the defense, the Contractor and the Attorney General shall try to reach an amicable resolution, but the Attorney General shall have the final determination on such matters. This constitutes the Authorized User's sole and exclusive remedy for infringement of a patent, copyright, trademark, trade secret, or other proprietary right.

**58. LIMITATION OF LIABILITY** Except as otherwise set forth in the Indemnification clause and the Indemnification Relating to Infringement clause, the limit of liability shall be as follows:

**a.** Contractor's liability for any claim, loss or liability arising out of, or connected with the Products provided, and whether based upon default, or other liability such as breach of contract, warranty, negligence, misrepresentation or otherwise, shall in no case exceed direct damages in: (i) an amount equal to two (2) times the charges specified in the Purchase Order for the Products forming the basis of the Authorized User's claim or (ii) five hundred thousand dollars (\$500,000), whichever is greater.

**b.** The Authorized User may retain such monies from any amount due Contractor as may be necessary to satisfy any claim for damages, costs and the like asserted against the Authorized User unless Contractor at the time of the presentation of claim shall demonstrate to the Authorized User's satisfaction that sufficient monies are set aside by the Contractor in the form of a bond or through insurance coverage to cover associated damages and other costs.

**c.** Notwithstanding the above, neither the Contractor nor the Authorized User shall be liable for any consequential, indirect or special damages of any kind which may result directly or indirectly from such performance, including, without limitation, damages resulting from loss of use or loss of profit by the Authorized User, the Contractor, or by others.

#### **59. DISPUTE RESOLUTION PROCEDURES**

It is the policy of OGS to provide interested parties, as defined in the OGS Dispute Resolution Procedures, with an opportunity to

administratively resolve disputes, complaints or inquiries related to Solicitations, contract awards and contract administration. OGS encourages interested parties to seek resolution of disputes through consultation with OGS staff. All such matters shall be accorded impartial and timely consideration. Interested parties may also file formal written disputes. A copy of the OGS Dispute Resolution Procedures may be obtained by contacting the designated contact for the Solicitation, the Contract manager, or at the OGS website. OGS reserves the right to change the procedures set forth in the Dispute Resolution Procedures without seeking a Contract amendment.

*To the extent the scope of the Solicitation or Contract includes the sale, development, maintenance, or use of information technology Products such as software, computer components, systems, or networks for the processing, and distribution, or storage, or storage of data, the following clauses shall govern, as applicable.*

**60. SOFTWARE LICENSE GRANT** Where Product is acquired on a licensed basis the following shall constitute the license grant:

**a. License Scope** Licensee is granted a non-exclusive, perpetual license to use, execute, reproduce, display, perform, or merge the Product within its business enterprise in the United States up to the maximum licensed capacity stated on the Purchase Order. Product may be accessed, used, executed, reproduced, displayed or performed up to the capacity measured by the applicable licensing unit stated on the Purchase Order (e.g., payroll size, number of employees, CPU, MIPS, MSU, concurrent user, workstation, virtual partition). Licensee shall have the right to use those modifications or customizations of the Product that have been purchased by Licensee and to distribute such modifications or customizations for use by any Authorized Users otherwise licensed to use the Product, provided that any modifications or customizations, however extensive, shall not diminish Licensor's proprietary title or interest. No license, right or interest in any trademark, trade name, or service mark is granted hereunder.

Licensee and Contractor may agree to alternative licensing rights (e.g., subscription, term, virtual) for specific Products used by the Contractor in performing the services, provided such agreement is reached prior to Bid, Mini-Bid, RFQ, or Contract award, as applicable. Such licensing rights will be specified in an applicable Purchase Order or other document approved by Licensee and Contractor.

**b. License Term** The license term shall commence upon the License Effective Date, provided, however, that where an acceptance or trial period applies to the Product, the license term shall be extended by the time period for testing, acceptance or trial.

**c. Product Documentation** Contractor shall provide Product Documentation electronically to Licensee at no charge. If Product Documentation is made available to customers in hard copy, Contractor shall provide at no charge one hard copy.

Contractor hereby grants to Licensee a non-exclusive, fully paid-up, royalty-free perpetual license in the Product Documentation to make, reproduce, and distribute, either electronically or otherwise, copies of the Product Documentation as necessary to enjoy full use of the Product in accordance with the Contract.

**d. Product Technical Support & Maintenance** Licensee shall have the option of electing the Product technical support and maintenance ("maintenance") set forth in the Contract by giving written notice to Contractor any time during the Centralized Contract term. Contractor shall fully disclose all terms and conditions of maintenance available to Licensee, including the extent to which updates, upgrades, revisions, and new releases are included in maintenance. Maintenance terms and any renewals thereof are independent of the expiration of the Centralized Contract term and shall not automatically renew.

Unless otherwise provided by written agreement between the Contractor and Licensee, maintenance offered shall include, at a minimum, (i) the provision of Error Corrections, updates, enhancements, revisions, Patches, and upgrades to Licensee, and (ii) help desk assistance at no additional cost, either by toll-free telephone

or on-line functionality. Contractor shall maintain the Product so as to provide Licensee with the ability to utilize the Product in accordance with the Product Documentation without significant functional downtime to its ongoing business operations during the maintenance term.

Licensee shall not be required to purchase maintenance for use of Product, and may discontinue maintenance at the end of any current maintenance term upon notice to Contractor. In the event that Licensee does not initially acquire or discontinues maintenance of licensed Product, it may, at any time thereafter, reinstate maintenance for Product without any additional penalties or other charges, by paying Contractor the amount that would have been due under the Contract for the period of time that such maintenance had lapsed, at then current NYS net maintenance rates. Contractor shall submit written notification to Licensees of the upcoming maintenance end date no later than 60 calendar days prior to such maintenance end date.

**e. Permitted License Transfers** As Licensee's business operations may be altered, expanded or diminished, licenses granted hereunder may be transferred or combined for use at an alternative or consolidated Site not originally specified in the license, including transfers within Agencies, between Agencies, and pursuant to governmental restructuring or reorganization ("permitted license transfers"). Licensees do not have to obtain the approval of Contractor for permitted license transfers, but must give 30 days prior written notice to Contractor of such moves and certify in writing that the Product is not in use at the prior Site. There shall be no additional license or other transfer fees due Contractor, provided that: (i) the maximum capacity of the consolidated machine is equal to the combined individual license capacity of all licenses running at the consolidated or transferred Site (e.g., named users, seats, or MIPS); or (ii) if the maximum capacity of the consolidated machine is greater than the individual license capacity being transferred, a logical or physical partition or other means of restricting access will be maintained within the computer system so as to restrict use and access to the Product to that unit of licensed capacity solely dedicated to beneficial use for Licensee. In the event that the maximum capacity of the consolidated machine is greater than the combined individual license capacity of all licenses running at the consolidated or transferred Site, and a logical or physical partition or other means of restricting use is not available, the fees due Contractor shall not exceed the fees otherwise payable for a single license for the upgrade capacity.

**f. Restricted Use By Third Parties** Third parties retained by Licensee shall have the right to use the Product to maintain Licensee's business operations, including data processing, for the time period that they are engaged in such activities, provided that: (i) Licensee gives notice to Contractor of such third party, Site of intended use of the Product, and means of access; and (ii) such third party has executed, or agrees to execute, the Product manufacturer's standard nondisclosure or restricted use agreement, which executed agreement shall be accepted by the Contractor ("Non-Disclosure Agreement"); and (iii) such third party maintains a logical or physical partition within its computer system so as to restrict use and access to the program to that portion solely dedicated to beneficial use for Licensee. In no event shall Licensee assume any liability for third party's compliance with the terms of the Non-Disclosure Agreement, nor shall the Non-Disclosure Agreement create or impose any liabilities on the State or Licensee.

**g. Archival Back-Up and Disaster Recovery** Licensee may use and copy the Product and related Documentation in connection with: (i) reproducing a reasonable number of copies of the Product for

archival backup and disaster recovery procedures; (ii) reproducing a reasonable number of copies of the Product and related Documentation for cold site storage; (iii) reproducing a back-up copy of the Product to run for a reasonable period of time in conjunction with a documented consolidation or transfer otherwise allowed herein. The phrase "cold site storage" means a restorable back-up copy of the Product not to be installed until the need for disaster recovery arises. The phrase "disaster recovery" means the installation and storage of Product in ready-to-execute, back-up computer systems prior to disaster or breakdown which is not used for active production or development. Contractor shall fully disclose all archival back-up and disaster recovery options available to Licensee (e.g., cold, warm, and hot back-up), including all terms and conditions, additional charges, or use authorizations associated with such options.

**h. Confidentiality Restrictions** If any portion of the Product or Product Documentation contains confidential, proprietary, or trade secret information, the Contractor shall identify such information in writing to the Licensee. The terms of Licensee's use and disclosure of such information shall be governed by a written agreement between the Contractor and the Licensee, which, in the case of Licensees that are State or local governmental entities, recognizes that they are subject to the New York Freedom of Information Law.

**i. Restricted Use by Licensee** Except as expressly authorized by the Terms of License, Licensee shall not: (i) copy the Product; (ii) cause or permit reverse compilation or reverse assembly of all or any portion of the Product; or (iii) export the Licensed Software in violation of the Export Administration Regulations (EAR) or the International Traffic in Arms Regulations (ITAR).

**61. PRODUCT ACCEPTANCE** Unless otherwise provided by mutual agreement of the Authorized User and the Contractor, an Authorized User shall have 30 days from the date of delivery to accept hardware Products and 60 days from the date of delivery to accept all other Product. Where the Contractor is responsible for installation, acceptance shall be from completion of installation. Title or other property interest and risk of loss shall not pass from Contractor to the Authorized User until the Products have been accepted. Failure to provide notice of acceptance or rejection or a deficiency statement to the Contractor by the end of the period provided for under this clause constitutes acceptance by the Authorized User as of the expiration of that period. The license term shall be extended by the time periods allowed for trial use, testing and acceptance.

Unless otherwise provided by mutual agreement of the Authorized User and the Contractor, Authorized User shall have the option to run testing on the Product prior to acceptance, such tests and data to be specified by Authorized User. Where using its own data or tests, Authorized User must have the tests or data available upon delivery. This demonstration will take the form of a documented installation test, capable of observation by the Authorized User, which shall be made part of the Contractor's standard documentation and shall be covered by the Product warranty. The test data shall remain accessible to the Authorized User after completion of the test.

In the event that the documented installation test cannot be completed successfully within the specified acceptance period, and the Contractor or Product is responsible for the delay, Authorized User shall have the option to cancel the order in whole or in part, or to extend the testing period for an additional 30 day increment. Authorized User shall notify Contractor of acceptance upon successful completion of the documented installation test. Such cancellation shall not give rise to any cause of action against the Authorized User for damages, loss of profits, expenses, or other remuneration of any kind.

Unless otherwise provided by mutual agreement of the Authorized User and the Contractor, if the Authorized User elects to provide a deficiency statement specifying how the Product fails to meet the specifications within the testing period, Contractor shall have 30 days to correct the deficiency, and the Authorized User shall have an additional 60 days to evaluate the Product as provided herein.

If the Product does not meet the specifications at the end of the extended testing period, Authorized User, upon prior written notice to Contractor, may then reject the Product and return all defective Product to Contractor, and Contractor shall refund any monies paid by the Authorized User to Contractor therefor. Costs and liabilities associated with a failure of the Product to perform in accordance with the functionality tests or product specifications during the acceptance period shall be borne fully by Contractor to the extent that said costs or liabilities shall not have been caused by negligent or willful acts or omissions of the Authorized User's agents or employees. Said costs shall be limited to the amounts set forth in the Limitation of Liability clause for any liability for costs incurred at the direction or recommendation of Contractor. When Product is not accepted, it must be removed by the Contractor from the premises of the Authorized User within ten calendar days of notification of non-acceptance by the Authorized User. Rejected items not removed by the Contractor within the ten calendar day period shall be regarded as abandoned by the Contractor and the Authorized User shall have the right to dispose of Product as its own property. The Contractor shall promptly reimburse the Authorized User for any costs incurred in storage or effecting removal or disposition after the ten calendar day period.

**62. AUDIT OF LICENSED PRODUCT USAGE** Contractor shall have the right to periodically audit, no more than annually, at Contractor's expense, use of licensed Product at any Site where a copy of the Product resides. Contractor may conduct such audits remotely or on Site. If conducted remotely and if Contractor makes a license management program available, the Licensee agrees to install such program and use it within a reasonable period of time, provided such program meets Licensee's security or other requirements. If conducted on Site: (i) Contractor shall give Licensee at least 30 days advance written notice, (ii) such audit shall be conducted during Licensee's normal business hours, (iii) the audit shall be conducted by an independent auditor chosen on mutual agreement of the parties. Contractor shall recommend a minimum of three auditing/accounting firms from which the Licensee will select one; and (iv) Contractor and Licensee are each entitled to designate a representative who shall be entitled to participate, and who shall mutually agree on audit format, and simultaneously review all information obtained by the audit. Such representatives also shall be entitled to copies of all reports, data or information obtained from the audit. If the audit shows that such party is not in compliance, Licensee shall be required to purchase additional licenses or capacities necessary to bring it into compliance and shall pay for the unlicensed capacity at the net pricing in effect under the Contract at time of audit, or if none, then at the Contractor's U.S. commercial list price. Once such additional licenses or capacities are purchased, Licensee shall be deemed to have been in compliance retroactively, and Licensee shall have no further liability of any kind for the unauthorized use of the software.

In the event of an on-Site audit, the Software Alliance, Software Publishers Association (SPA), Software and Industry Information Association (SIIA) or Federation Against Software Theft (FAST) may not be used directly or indirectly to conduct such audit, nor may such entities be recommended by Contractor.

### **63. NO HARDSTOP OR PASSIVE LICENSE MONITORING**

Unless otherwise expressly agreed to by the Licensee, the Product and all upgrades shall not contain any computer code that would disable the Product or upgrades or impair in any way its operation based on the elapsing of a period of time, exceeding an authorized number of copies, advancement to a particular date or other numeral, or other similar self-destruct mechanisms (sometimes referred to as "time bombs," "time locks," or "drop dead" devices) or that would permit Contractor to access the Product to cause such disablement or impairment (sometimes referred to as a "trap door" device). Any Contractor access to the Product agreed to by Licensee as provided above shall be in accordance with Licensee's security or other requirements. Contractor agrees that in the event of a breach of this provision that Licensee shall not have an adequate remedy at law, including monetary damages, and that Licensee shall consequently be entitled to seek a temporary restraining order, injunction, or other form of equitable relief against the continuance of such breach, in addition to any and all remedies to which Licensee shall be entitled.

### **64. OWNERSHIP/TITLE TO PROJECT DELIVERABLES**

This clause shall apply where Contractor is commissioned by the Authorized User to furnish project deliverables as detailed in the Purchase Order.

#### **a. Definitions**

(i) For purposes of this clause, "Products" means deliverables furnished under this Contract by or through Contractor, including existing and custom Products, including, but not limited to: a) components of the hardware environment, b) printed materials (including but not limited to training manuals, system and user documentation, reports, drawings), whether printed in hard copy or maintained on electronic media c) Third-Party Software, d) modifications, customizations, custom programs, program listings, programming tools, data, modules, components, and e) any properties embodied therein, whether in tangible or intangible form (including but not limited to utilities, interfaces, templates, subroutines, algorithms, formulas, Source Code, object code).

(ii) For purposes of this clause, "Existing Products" means tangible Products and intangible licensed Products that exist prior to the commencement of work under the Contract. Contractor bears the burden of proving that a particular product was in existence prior to the commencement of the project.

(iii) For purposes of this clause, "Custom Products" means Products, preliminary, final, or otherwise, that are created or developed by Contractor, its Subcontractors, partners, employees, or agents for Authorized User under the Contract.

**b. Title to Project Deliverables** Unless otherwise specified in writing in the Purchase Order, the Authorized User shall have ownership and license rights as follows:

#### **(i) Existing Products:**

**1. Hardware** - Title and ownership of Existing hardware Products shall pass to Authorized User upon acceptance.

**2. Software** - Title and ownership to Existing software Products delivered by Contractor under the Contract that is normally commercially distributed on a license basis by the Contractor or other Third-Party Software vendor ("Existing Licensed Product"), whether or not embedded in, delivered or operating in conjunction with hardware or Custom Products, shall remain with Contractor or the Third-Party Software vendor. Effective upon acceptance, such Product shall be licensed to Authorized User in accordance with the Contractor or Third-Party Software vendor's standard license

agreement; provided, however, that such standard license, must, at a minimum: (a) grant Authorized User a non-exclusive, perpetual license to use, execute, reproduce, display, perform, adapt (unless Contractor advises Authorized User as part of Contractor's proposal that adaptation will violate existing agreements or statutes and Contractor demonstrates such to the Authorized User's satisfaction) and distribute Existing Licensed Product to the Authorized User up to the license capacity stated in the Purchase Order or work order with all license rights necessary to fully effect the general business purposes stated in the Solicitation or Authorized User's Purchase Order or work order, including the financing assignment rights set forth in paragraph (c) below; and (b) recognize the State of New York as the Licensee where the Authorized User is a State Agency, department, board, commission, office or institution. Where these rights are not otherwise covered by the Third-Party Software vendor's standard license agreement, the Contractor shall be responsible for obtaining these rights at its sole cost and expense. The Authorized User shall reproduce all copyright notices and any other legend of ownership on any copies authorized under this clause.

**(ii) Custom Products:** Effective upon creation of Custom Products, Contractor hereby conveys, assigns and transfers to Authorized User the sole and exclusive rights, title and interest in Custom Products, whether preliminary, final or otherwise, including all trademark and copyrights. Contractor hereby agrees to take all necessary and appropriate steps to ensure that the Custom Products are protected against unauthorized copying, reproduction and marketing by or through Contractor, its agents, employees, or Subcontractors. Nothing herein shall preclude the Contractor from otherwise using the related or underlying general knowledge, skills, ideas, concepts, techniques and experience developed under a Purchase Order, project definition or work order in the course of Contractor's business. Authorized User may, by providing written notice thereof to the Contractor, elect in the alternative to take a non-exclusive perpetual license to Custom Products in lieu of Authorized User taking exclusive ownership and title to such Products. In such case, Licensee on behalf of all Authorized Users shall be granted a non-exclusive perpetual license to use, execute, reproduce, display, perform, adapt and distribute Custom Product as necessary to fully effect the general business purposes as stated in paragraph (b)(i)(2), above.

**c. Transfers or Assignments to a Third-Party Financing Agent** It is understood and agreed by the parties that a condition precedent to the consummation of the purchases under the Contract may be the obtaining of acceptable third-party financing by the Authorized User. The Authorized User shall make the sole determination of the acceptability of any financing proposal. The Authorized User will make all reasonable efforts to obtain such financing, but makes no representation that such financing has been obtained as of the date of Bid receipt. Where financing is used, Authorized User may assign or transfer its rights in Licensed Products (existing or custom) to a third-party financing entity or trustee ("Trustee") as collateral where required by the terms of the financing agreement. Trustee's sole rights with respect to transferability or use of Licensed Products shall be to exclusively sublicense to Authorized User all of its Licensee's rights under the terms and conditions of the License Agreement; provided, further, however, in the event of any termination or expiration of such sublicense by reason of payment in full, all of Trustee's rights in such Licensed Product shall terminate immediately and Authorized User's prior rights to such Existing Licensed Product shall be revived.

**d. Sale or License of Custom Products Involving Tax-Exempt Financing (i.e., Certificates of Participation - COPS)** The Authorized User's sale or other transfer of Custom Products which were acquired by the Authorized User using third-party, tax-exempt financing may not

occur until such Custom Products are, or become, useable. In the event that the Contractor wishes to obtain ownership rights to Custom Products, the sale or other transfer shall be at fair market value determined at the time of such sale or other transfer, and must be pursuant to a separate written agreement in a form acceptable to the Authorized User which complies with the terms of this clause.

**e. Contractor's Obligation with Regard to Third-Party Software**

Where Contractor furnishes Existing Licensed Products as a project deliverable, and sufficient rights necessary to effect the purposes of this section are not otherwise provided in the Contractor or the Third-Party Software vendor's standard license agreement, Contractor shall be responsible for obtaining from the Third-Party Software proprietary owner/developer the rights set forth herein to the benefit of the Authorized User at Contractor's sole cost and expense.

**65. PROOF OF LICENSE** The Contractor must provide to each Licensee who places a Purchase Order either: (i) the Product developer's certified license confirmation certificates in the name of such Licensee; (ii) a written confirmation from the proprietary owner accepting Product invoice as proof of license; or (iii) other similar proof of license. All proofs of license must be in a form acceptable to the Licensee.

**66. CHANGES TO PRODUCT OR SERVICE OFFERINGS**

**a. Product or Service Discontinuance** Where Contractor is the Product manufacturer/developer, and Contractor publicly announces to all U.S. customers ("date of notice") that a Product is being withdrawn from the U.S. market or that maintenance service or technical support provided by Contractor ("withdrawn support") is no longer going to be offered, Contractor shall be required to: (i) notify the Commissioner and each Licensee then under contract for maintenance or technical support in writing of the intended discontinuance; and (ii) continue to offer Product or withdrawn support upon the Contract terms previously offered for the greater of: (a) the best terms offered by Contractor to any other similarly situated, supported customer, or (b) not less than 12 months from the date of notice; and (iii) at Licensee's option, and in order to enable Licensee to continue the use and maintenance of the Product, provide Licensee with a Product replacement or migration path with at least equivalent functionality at no additional charge, provided that Licensee is under contract for maintenance on the date of notice and Contractor is offering such replacement or migration path to all of its similarly situated, supported customers without additional charge.

In the event that the Contractor is not the Product manufacturer, Contractor shall be required to: (i) provide the notice required under the paragraph above, to the entities described within five business days of Contractor receiving notice from the Product manufacturer, and (ii) include in such notice the period of time from the date of notice that the Product manufacturer will continue to provide Product or withdraw support.

The provisions of this subdivision (a) shall not apply or eliminate Contractor's obligations where withdrawn support is being provided by an independent Subcontractor. In the event that such Subcontractor ceases to provide service, Contractor shall be responsible for subcontracting such service, subject to State approval, to an alternate Subcontractor.

**b. Product or Service Re-Bundling** In the event that Contractor is the Product manufacturer and publicly announces to all U.S. customers ("date of notice") that a Product or maintenance or technical support offering is being re-bundled in a different manner from the structure or licensing model of the prior U.S. commercial offering, Contractor shall

be required to: (i) notify the Commissioner and each Licensee in writing of the intended change; (ii) continue to provide Product or withdrawn support upon the same terms and conditions as previously offered on the then-current NYS Contract for the greater of: (a) the best terms offered by Contractor to any other similarly situated, supported customer, or (b) not less than 12 months from the date of notice; and (iii) shall submit the proposed rebundling change to the Commissioner for approval prior to its becoming effective for the remainder of the Contract term. The provisions of this section do not apply if the Contractor is not the Product manufacturer.



# INDEX

	<u>Clause</u>		<u>Clause</u>
<u>A</u>	<u>No.</u>	<u>P</u>	<u>No.</u>
Assignment	40	Participation in Centralized Contracts	25
Assignment of Claim	49	Prevailing Wage Rates - Public Works and Building Services Contracts	7
Audit of Licensed Product Usage	62	Pricing	13
<u>B</u>		Product Acceptance	61
Bid Evaluation	16	Product Delivery	31
Bid Opening	4	Product References	10
<u>C</u>		Product Substitution	35
Changes to Product or Service Offerings	66	Products Manufactured in Public Institutions	12
Confidential/Trade Secret Materials	6	Prompt Payments	47
Contract Invoicing	45	Proof of License	65
Contract Creation/Execution	22	Purchase Orders	30
Contract Publicity	21	Purchasing Card	15
Contract Term - Extension	23	<u>Q</u>	
Cooperation with Third Parties	53	Quantity Changes Prior to Award	18
<u>D</u>		<u>R</u>	
Debriefings	20	Rejected Product	36
Default - Authorized User	46	Remanufactured, Recycled, Recyclable, or Recovered Materials	11
Definitions	2	Remedies for Breach	48
Dispute Resolution Procedures	59	Repaired or Replaced Products, Parts, or Components	38
<u>E</u>		<u>S</u>	
Emergency Contracts	29	Savings/Force Majeure	44
Employees, Subcontractors and Agents	39	Scope Changes	27
Estimated/Specific Quantity Contracts	28	Security	52
Ethics Compliance	1	Site Inspection	14
Expenses Prior to Contract Execution	9	Shipping/Receipt of Product	33
<u>I</u>		Software License Grant	60
Indemnification	56	Subcontractors and Suppliers	41
Indemnification Relating to Infringement	57	Suspension of Work	42
Independent Contractor	51	<u>T</u>	
Installation	37	Taxes	8
International Bidding	3	Termination	43
<u>L</u>		Tie Bids	17
Late Bids	5	Timeframe for Offers	19
Legal Compliance	55	Title and Risk of Loss for Products Other than Technology Products	34
Limitation of Liability	58	Toxic Substances	50
<u>M</u>		<u>W</u>	
Modification of Contract Terms	26	Warranties	54
<u>N</u>		Weekend and Holiday Deliveries	32
No Hardstop or Passive License Monitoring	63		
<u>O</u>			
Official Use Only/No Personal Use	24		
Ownership/Title to Project Deliverables	64		

## **APPENDIX C**

### **• REQUIRED FORMS**

- **MANDATORY SITE VISIT REGISTRATION**
- **NON-COLLUSIVE BIDDING CERTIFICATION**
- **VENDOR RESPONSIBILITY DISCLOSURE**
- **VENDOR RESPONSIBILITY QUESTIONNAIRE**
- **MACBRIDE FAIR EMPLOYMENT PRINCIPLES**
- **PROOF OF INSURANCE – WORKERS COMP/DISABILITY OR CE-200 EXEMPTION**
- **SEXUAL HARASSMENT PREVENTION CERTIFICATION**
- **COPY OF BIDDERS DEPARTMENT OF LABOR REGISTRATION CERTIFICATE**  
(Effective December 30, 2024, all contractors submitting new bids or commencing new work covered by Article 8 of the New York State Labor Law must be registered with the New York State Department of Labor (DOL). Contractors register with DOL through DOL's Contractor Registry portal. If approved, a Certificate of Registration will be issued)

**MANDATORY SITE VISIT  
PRE-REGISTRATION FORM**

IFB #24-88  
Camp Smith Training Site  
11 Bear Mountain Bridge Road  
Cortlandt Manor, New York 10567

**SITE VISIT: 10:00AM – THURSDAY, MARCH 6, 2025**

**Late arrivals will not be permitted on site  
Plan on 15 minutes to clear the front security gate  
Driver's License or Picture ID must be brought to site visit.**

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NAME OF COMPANY

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INDIVIDUAL ATTENDING – FULL NAME W/ MIDDLE INITIAL (PRINT)

---

SIGNATURE

---

TELEPHONE NUMBER / EMAIL ADDRESS

---

DRIVER'S LICENSE NUMBER WITH ISSUING STATE

---

DATE OF BIRTH / PASSPORT # IF APPLICABLE / CITIZENSHIP

**PRE-REGISTRATION FORM SHALL BE EMAILED TO DIVISION OF MILITARY AND NAVAL  
AFFAIRS BY**

**Tuesday, March 4, 2025 by 3:00PM**

**Email to: [fnu.jasvinder.nfg@army.mil](mailto:fnu.jasvinder.nfg@army.mil) and [subhash.d.sukhram.nfg@army.mil](mailto:subhash.d.sukhram.nfg@army.mil)**

**NON-COLLUSIVE BIDDING CERTIFICATION**  
**REQUIRED BY SECTION 139-D OF THE STATE FINANCE LAW**

SECTION 139-D, Statement of Non-Collusion in bids to the State:

By submission of this bid, bidder and each person signing on behalf of bidder certifies, and in the case of joint bid, each party thereto certifies as to its own organization, under penalty of perjury, that to the best of his/her knowledge and belief:

[1] The prices of this bid have been arrived at independently, without collusion, consultation, communication, or agreement, for the purposes of restricting competition, as to any matter relating to such prices with any other Bidder or with any competitor.

[2] Unless otherwise required by law, the prices which have been quoted in this bid have not been knowingly disclosed by the Bidder and will not knowingly be disclosed by the Bidder prior to opening, directly or indirectly, to any other Bidder or to any competitor; and

[3] No attempt has been made or will be made by the Bidder to induce any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition.

**A BID SHALL NOT BE CONSIDERED FOR AWARD NOR SHALL ANY AWARD**

**BE MADE WHERE [1], [2], [3] ABOVE HAVE NOT BEEN COMPLIED WITH;**

**PROVIDED HOWEVER, THAT IF IN ANY CASE THE BIDDER(S) CANNOT**

**MAKE THE FORGOING CERTIFICATION, THE BIDDER SHALL SO STATE**

**AND SHALL FURNISH BELOW A SIGNED STATEMENT WHICH SETS FORTH**

**IN DETAIL THE REASONS THEREFORE:**

[AFFIX ADDENDUM TO THIS PAGE IF SPACE IS REQUIRED FOR STATEMENT.]

Subscribed to under penalty of perjury under the laws of the State of New York,  
this \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_ as the act and deed of said corporation or partnership.

**IF BIDDER(S) (ARE) A PARTNERSHIP, COMPLETE THE FOLLOWING:****NAMES OF PARTNERS OR PRINCIPALS****LEGAL RESIDENCE**

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**IF BIDDER(S) (ARE) A CORPORATION, COMPLETE THE FOLLOWING:****NAMES****LEGAL RESIDENCE**

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President

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---

Secretary

---

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Treasurer

---

---

President

---

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Secretary

---

---

Treasurer

**Identifying Data:**

Potential Contractor: \_\_\_\_\_

Street Address:

\_\_\_\_\_

City, Town, etc.

\_\_\_\_\_

Telephone: \_\_\_\_\_ Title: \_\_\_\_\_

If applicable, Responsible Corporate Officer Name

\_\_\_\_\_  
Title\_\_\_\_\_  
Signature**Joint or combined bids by companies or firms must be certified on behalf of each participant:**\_\_\_\_\_  
Legal name of person, firm or corporationBy \_\_\_\_\_  
(Name)\_\_\_\_\_  
Title\_\_\_\_\_  
Street Address\_\_\_\_\_  
City and State\_\_\_\_\_  
Legal name of person, firm or corporationBy \_\_\_\_\_  
(Name)\_\_\_\_\_  
Title\_\_\_\_\_  
Street Address\_\_\_\_\_  
City and State

## **Agency Policy and Prohibitions Regarding Permissible Contacts Between Vendors and Division of Military and Naval Affairs**

The New State Finance Law (SFL) 139-j restricts “**contacts**” by **offerers** with any **governmental entity** regarding **procurement contracts**. Subject to certain exceptions set forth in SFL 139-j(3), contacts between offerers and State agency/authority personnel, other than the official agency/authority designated contact person or persons, are prohibited during the **restricted period** of the procurement.

State Finance Law (SFL) 139-j(1)(c) defines “**contacts**” as “any oral, written or electronic communication with a governmental entity under circumstances where a reasonable person would infer that the communication was intended to influence the governmental procurement.”

State Finance Law (SFL) 139-j(1)(h) defines “**offerer**” as “the individual or entity, or any employee, agent or consultant or person acting on behalf of such individual or entity, that contacts a governmental entity about a governmental procurement during the restricted period of such governmental procurement.”

State Finance Law (SFL) 139-j(1)(a) defines “**governmental entity**” as “(1) any department, board, bureau, commission, division, office, council, committee or officer of the state, whether permanent or temporary; (2) each house of the state legislature; (3) the unified court system; (4) any public authority, public benefit corporation or commission created by or existing pursuant to the public authorities law; (5) any public authority or public benefit corporation, at least one of whose members is appointed by the governor or who serves as a member by virtue of holding a civil office of the state; (6) a municipal agency, as that term is defined in paragraph (ii) of subdivision (s) of section one-c of the legislative law; or (7) a subsidiary or affiliate of such a public authority.”

State Finance Law (SFL) 139-j(1)(f) defines “**restricted period**” as “the period of time commencing with the earliest written notice, advertisement or solicitation of a request for proposal, invitation for bids, or solicitation of proposals, or any other method for soliciting a response from offerers intending to result in a procurement contract with a governmental entity (and terminating) with the final contract award and approval by the governmental entity and, where applicable, the state comptroller.”

I have been made aware of the Division of Military and Naval Affairs policy on “Permissible Contacts and affirm that I understand and agree to comply with the procedures relating to permissible contacts during this procurement.

Offerer affirms that it understands and agrees to comply with the procedures of the Government Entity relative to permissible Contacts as required by State Finance Law §139-j (3) and §139-j (6) (b).

By: \_\_\_\_\_ Date: \_\_\_\_\_  
(Signature)

Name: \_\_\_\_\_ Title: \_\_\_\_\_

Contractor Name: \_\_\_\_\_

Contractor Address: \_\_\_\_\_

**Offerer's Certification of Compliance with State Finance Law §139-k(5)****Offerer Certification:**

I certify that all information provided to the Governmental Entity with respect to State Finance Law §139-k is complete, true and accurate.

By: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Contractor Name: \_\_\_\_\_

Contractor Address: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_***Termination Provision***

The Governmental Entity reserves the right to terminate this contract in the event it is found that the certification filed by the Offerer in accordance with New York State Finance Law §139-k was intentionally false or intentionally incomplete. Upon such finding, the Governmental Entity may exercise its termination right by providing written notification to the Offerer in accordance with the written notification terms of this contract.



## Offerer Disclosure of Prior Non-Responsibility Determinations

Name of Individual or Entity Seeking to Enter into the Procurement Contract:

\_\_\_\_\_

Address: \_\_\_\_\_

Name and Title of Person Submitting this Form: \_\_\_\_\_

Contract Procurement Number: \_\_\_\_\_ Date: \_\_\_\_\_

1. Has any Governmental Entity made a finding of non-responsibility regarding the individual or entity seeking to enter into the Procurement Contract in the previous four years? (Please circle):

No

Yes

If yes, please answer the next questions:

2. Was the basis for the finding of non-responsibility due to a violation of State Finance Law §139-j (Please circle):

No

Yes

3. Was the basis for the finding of non-responsibility due to the intentional provision of false or incomplete information to a Governmental Entity? (Please circle):

No

Yes

4. If you answered yes to any of the above questions, please provide details regarding the finding of non-responsibility below.

Governmental Entity:

\_\_\_\_\_

Date of Finding of Non-responsibility:

\_\_\_\_\_

Basis of Finding of Non-Responsibility:

\_\_\_\_\_

—

—

(Add additional pages as necessary)

- Has any Governmental Entity or other governmental agency terminated or withheld a Procurement Contract with the above-named individual or entity due to the intentional provision of false or incomplete information? (Please circle):

No

Yes

6. If yes, please provide details below.

Governmental Entity: \_\_\_\_\_

Date of Termination or Withholding of Contract: \_\_\_\_\_

Basis of Termination or Withholding:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

(Add additional pages as necessary)

Offerer certifies that all information provided to the Governmental Entity with respect to State Finance Law §139-k is complete, true and accurate.

By: \_\_\_\_\_ Date: \_\_\_\_\_

Signature

Name: \_\_\_\_\_ Title: \_\_\_\_\_

## NONDISCRIMINATION IN EMPLOYMENT IN NORTHERN IRELAND: MACBRIDE FAIR EMPLOYMENT PRINCIPLES

In accordance with section 165 of the State Finance Law, the bidder, by submission of this bid certifies that it or any individual or legal entity in which the bidder holds a 10% or greater ownership interest, or any individual or legal entity that holds a 10% greater ownership in the bidder, either: (answer yes or no to one or both of the following, as applicable),

(1) has business operations in Northern Ireland;

Yes\_\_\_\_\_ or No\_\_\_\_\_

If Yes:

(2) shall take unlawful steps in good faith to conduct any business operations

that it has in Northern Ireland in accordance with the MacBride Fair

Employment Principles relating to nondiscrimination in employment and

freedom of workplace opportunity regarding such operations in Northern

Ireland, and shall permit independent monitoring of their compliance with

such Principles.

Yes\_\_\_\_\_ or No\_\_\_\_\_

---

Signature

**NEW YORK STATE  
VENDOR RESPONSIBILITY QUESTIONNAIRE  
FOR-PROFIT BUSINESS ENTITY**

You have selected the For-Profit Non-Construction questionnaire which may be printed and completed in this format or, for your convenience, may be completed online using the New York State VendRep System.

**COMPLETION & CERTIFICATION**

The person(s) completing the questionnaire must be knowledgeable about the vendor's business and operations. An owner or owner's official representative authorized to legally bind the Reporting Entity must certify the truth of the questionnaire answers.

**NEW YORK STATE VENDOR IDENTIFICATION NUMBER (VENDOR ID)**

The Vendor ID is a ten-digit identifier issued by New York State when the vendor is registered on the Statewide Vendor File. This number must now be included on the questionnaire. If the business entity has not obtained a Vendor ID, contact the IT Service Desk at [ITServiceDesk@osc.state.ny.us](mailto:ITServiceDesk@osc.state.ny.us) or call 866-370-4672.

**DEFINITIONS**

All underlined terms are defined in the "New York State Vendor Responsibility Definitions List," found at <https://www.osc.state.ny.us/files/vendors/2017-11/vendor-questionnaire-definitions.pdf>. These terms may not have their ordinary, common or traditional meanings. Each vendor must read the respective definitions for any and all underlined terms. By submitting this questionnaire, the vendor agrees to be bound by the terms as defined in the "New York State Vendor Responsibility Definitions List" existing at the time of certification.

**RESPONSES**

Every question must be answered fully. Each response must provide all relevant information to appropriately explain the answer. If you have concerns as to the legal requirements behind your answers, please seek clarification from your counsel. However, information regarding a determination or finding made in error which was subsequently corrected or overturned, and/or was withdrawn by the issuing government entity is not required to be identified. Individuals and Sole Proprietors may use a Social Security Number but are encouraged to obtain and use a federal Employer Identification Number (EIN).

**REPORTING ENTITY**

Each vendor must indicate if the questionnaire is filed on behalf of the entire Legal Business Entity or an Organizational Unit within or operating under the authority of the Legal Business Entity and having the same EIN. Generally, the Organizational Unit option may be appropriate for a vendor that meets the definition of "Reporting Entity" but due to the size and complexity of the Legal Business Entity, is best able to provide the required information for the Organizational Unit, while providing more limited information for other parts of the Legal Business Entity and Associated Entities.

**ASSOCIATED ENTITY**

An Associated Entity is one that owns or controls the Reporting Entity, or any entity owned or controlled by the Reporting Entity. However, the term Associated Entity does **not** include "sibling organizations" (i.e., entities owned or controlled by a parent company that owns or controls the Reporting Entity), unless such sibling entity has a direct relationship with or impact on the Reporting Entity. Please refer to the Definitions List for the complete definition.

**STRUCTURE OF THE QUESTIONNAIRE**

The questionnaire is organized into eleven sections. Section I is to be completed for the Legal Business Entity. Section II requires the vendor to specify the Reporting Entity for the questionnaire. Section III refers to the individuals of the Reporting Entity, while Sections IV-VIII require information about the Reporting Entity. Section IX pertains to any Associated Entities, with one question about their Officials/Owners. Section X relates to disclosure under the Freedom of Information Law (FOIL). Section XI requires an authorized contact for the questionnaire information.

**NEW YORK STATE  
VENDOR RESPONSIBILITY QUESTIONNAIRE  
FOR-PROFIT BUSINESS ENTITY**

<b>I. LEGAL BUSINESS ENTITY INFORMATION</b>			
<u>Legal Business Entity Name*</u>		<u>EIN</u>	
Address of the <u>Principal Place of Business</u> (street, city, state, zip code)		<u>New York State Vendor Identification Number</u>	
		Telephone Ext.	Fax
Email		Website	
Additional <u>Legal Business Entity</u> Identities: If applicable, list any other <u>DBA</u> , <u>Trade Name</u> , <u>Former Name</u> , Other Identity, or <u>EIN</u> used in the last five (5) years and the status (active or inactive).			
Type	Name	EIN	Status
1.0 <u>Legal Business Entity</u> Type – Check appropriate box and provide additional information:			
<input type="checkbox"/> <u>Corporation</u> (including <u>PC</u> )		Date of Incorporation	
<input type="checkbox"/> <u>Limited Liability Company</u> (LLC or PLLC)		Date of Organization	
<input type="checkbox"/> <u>Partnership</u> (including <u>LLP</u> , <u>LP</u> or <u>General</u> )		Date of Registration or Establishment	
<input type="checkbox"/> <u>Sole Proprietor</u>		How many years in business?	
<input type="checkbox"/> Other		Date Established	
If Other, explain:			
1.1 Was the <u>Legal Business Entity</u> formed or incorporated in New York State?			<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'No,' indicate jurisdiction where <u>Legal Business Entity</u> was formed or incorporated and attach a <u>Certificate of Good Standing</u> from the applicable jurisdiction or provide an explanation if a <u>Certificate of Good Standing</u> is not available.			
<input type="checkbox"/> United States   State   _____			
<input type="checkbox"/> Other   Country   _____			
Explain, if not available:			
1.2 Is the <u>Legal Business Entity</u> publicly traded?			<input type="checkbox"/> Yes <input type="checkbox"/> No
If "Yes," provide <u>CIK Code</u> or Ticker Symbol			
1.3 Does the <u>Legal Business Entity</u> have a <u>DUNS</u> Number?			<input type="checkbox"/> Yes <input type="checkbox"/> No
If "Yes," Enter <u>DUNS</u> Number			

\*All underlined terms are defined in the "New York State Vendor Responsibility Definitions List," which can be found at <https://www.osc.state.ny.us/files/vendors/2017-11/vendor-questionnaire-definitions.pdf>

**NEW YORK STATE  
VENDOR RESPONSIBILITY QUESTIONNAIRE  
FOR-PROFIT BUSINESS ENTITY**

**I. LEGAL BUSINESS ENTITY INFORMATION**

1.4 If the Legal Business Entity's Principal Place of Business is not in New York State, does the Legal Business Entity maintain an office in New York State?  
(Select "N/A," if Principal Place of Business is in New York State.)

☐ Yes   ☐ No  
☐ N/A

If "Yes," provide the address and telephone number for one office located in New York State.

1.5 Is the Legal Business Entity a New York State certified Minority-Owned Business Enterprise (MBE), Women-Owned Business Enterprise (WBE), Service-Disabled Veteran-Owned Business (SDVOB), New York State Small Business (SB) or a federally certified Disadvantaged Business Enterprise (DBE)?

☐ Yes   ☐ No

If "Yes," check all that apply:

- ☐ New York State certified Minority-Owned Business Enterprise (MBE)  
☐ New York State certified Women-Owned Business Enterprise (WBE)  
☐ New York State certified Service-Disabled Veteran-Owned Business (SDVOB)  
☐ New York State Small Business (SB)  
☐ Federally certified Disadvantaged Business Enterprise (DBE)

1.6 Identify Officials and Principal Owners of the Reporting Entity, if applicable. For each person, include name, title, date of birth, and percentage of ownership. For each Business Entity that is a Principal Owner, include name, address, EIN, and percentage ownership. Identify all Business Entities owning 25% or more of the Reporting Entity and include name, address, EIN and percentage of ownership. Attach additional pages if necessary. If applicable, reference to relevant SEC filing(s) containing the required information is optional. Each Business Entity identified as a Principal Owner must also submit a vendor responsibility questionnaire.

If there is no person or Business Entity that owns 25% or more of the Reporting Entity (or 10% or more if the Reporting Entity is publicly traded), check here. ☐

Name of Officials and Principal Owners (for each person, please include a middle initial)	Title	Date of Birth	Percentage Ownership (Enter 0% if not applicable)
Name of each Business Entity owning 25% or more of Reporting Entity	Address	EIN	Percentage Ownership

**NEW YORK STATE  
VENDOR RESPONSIBILITY QUESTIONNAIRE  
FOR-PROFIT BUSINESS ENTITY**

**II. REPORTING ENTITY INFORMATION**

2.0 The Reporting Entity for this questionnaire is:

Note: Select only one.

☐ Legal Business Entity

*Note: If selecting this option, “Reporting Entity” refers to the entire Legal Business Entity for the remainder of the questionnaire. (SKIP THE REMAINDER OF SECTION II AND PROCEED WITH SECTION III.)*

☐ Organizational Unit within and operating under the authority of the Legal Business Entity

SEE DEFINITIONS OF “REPORTING ENTITY” AND “ORGANIZATIONAL UNIT” FOR ADDITIONAL INFORMATION ON CRITERIA TO QUALIFY FOR THIS SELECTION.

*Note: If selecting this option, “Reporting Entity” refers to the Organizational Unit within the Legal Business Entity for the remainder of the questionnaire. (COMPLETE THE REMAINDER OF SECTION II AND ALL REMAINING SECTIONS OF THIS QUESTIONNAIRE.)*

**IDENTIFYING INFORMATION**

a) Reporting Entity Name

Address of the Primary Place of Business (street, city, state, zip code)

Telephone

ext.

b) Describe the relationship of the Reporting Entity to the Legal Business Entity

c) Attach an organizational chart

d) Does the Reporting Entity have a DUNS Number?

☐ Yes ☐ No

If “Yes,” enter DUNS Number

e) Identify the designated manager(s) responsible for the business of the Reporting Entity.  
*For each person, include name and title. Attach additional pages if necessary.*

Name

Title

**NEW YORK STATE  
VENDOR RESPONSIBILITY QUESTIONNAIRE  
FOR-PROFIT BUSINESS ENTITY**

**INSTRUCTIONS FOR SECTIONS III THROUGH VII**

For each “Yes,” provide an explanation of the issue(s), relevant dates, the government entity involved, any remedial or corrective action(s) taken and the current status of the issue(s). For each “Other,” provide an explanation which provides the basis for not definitively responding “Yes” or “No.” Provide the explanation at the end of the section or attach additional sheets with numbered responses, including the Reporting Entity name at the top of any attached pages.

**III. LEADERSHIP INTEGRITY**

*Within the past five (5) years, has any current or former reporting entity official or any individual currently or formerly having the authority to sign, execute or approve bids, proposals, contracts or supporting documentation on behalf of the reporting entity with any government entity been:*

3.0 <u>Sanctioned</u> relative to any business or professional permit and/or license?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Other
3.1 <u>Suspended, debarred, or disqualified</u> from any <u>government contracting process</u> ?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Other
3.2 The subject of an <u>investigation</u> , whether open or closed, by any <u>government entity</u> for a civil or criminal violation for any business-related conduct?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Other
3.3 Charged with a misdemeanor or felony, indicted, granted immunity, convicted of a crime or subject to a <u>judgment</u> for: a) Any business-related activity; or b) Any crime, whether or not business-related, the underlying conduct of which was related to truthfulness?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Other

For each “Yes” or “Other” provide an explanation for the response and attach additional sheets with numbered responses if necessary:

**IV. INTEGRITY – CONTRACT BIDDING**

*Within the past five (5) years, has the reporting entity:*

4.0 Been <u>suspended or debarred</u> from any <u>government contracting process</u> or been <u>disqualified</u> on any government procurement, permit, license, concession, franchise or lease, including, but not limited to, <u>debarment</u> for a violation of New York State Workers’ Compensation or Prevailing Wage laws or New York State Procurement Lobbying Law?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.1 Been subject to a denial or revocation of a government prequalification?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.2 Been denied a contract award or had a bid rejected based upon a <u>non-responsibility finding</u> by a <u>government entity</u> ?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.3 Had a bid rejected on a <u>government contract</u> for failure to <u>make good faith efforts</u> on any <u>Minority-Owned Business Enterprise, Women-Owned Business Enterprise, Service-Disabled Veteran-Owned Business or Disadvantaged Business Enterprise</u> goal or <u>statutory affirmative action requirements</u> on a previously held contract?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.4 Agreed to a voluntary exclusion from bidding/contracting with a <u>government entity</u> ?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.5 Initiated a request to withdraw a bid submitted to a <u>government entity</u> in lieu of responding to an information request or subsequent to a formal request to appear before the <u>government entity</u> ?	<input type="checkbox"/> Yes <input type="checkbox"/> No

For each “Yes,” provide an explanation for the response and attach additional sheets with numbered responses if necessary:



**NEW YORK STATE  
VENDOR RESPONSIBILITY QUESTIONNAIRE  
FOR-PROFIT BUSINESS ENTITY**

**V. INTEGRITY – CONTRACT AWARD**

*Within the past five (5) years, has the reporting entity:*

- |   |  |
|---|--|
| 5.0 Been <u>suspended</u> , cancelled or <u>terminated for cause</u> on any <u>government contract</u> including, but not limited to, a <u>non-responsibility finding</u> ? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 5.1 Been subject to an <u>administrative proceeding</u> or civil action seeking specific performance or restitution in connection with any <u>government contract</u> ?     | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 5.2 Entered into a formal monitoring agreement as a condition of a contract award from a <u>government entity</u> ?   | <input type="checkbox"/> Yes <input type="checkbox"/> No |

For each “Yes,” provide an explanation for the response and attach additional sheets with numbered responses if necessary:

**VI. CERTIFICATIONS/LICENSES**

*Within the past five (5) years, has the reporting entity:*

- |  |  |
|--|--|
| 6.0 Had a revocation, <u>suspension</u> or <u>disbarment</u> of any business or professional permit and/or license?  | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 6.1 Had a denial, decertification, revocation or forfeiture of New York State certification of <u>Minority-Owned Business Enterprise</u> , <u>Women-Owned Business Enterprise</u> , <u>Service-Disabled Veteran-Owned Business</u> or federal certification of <u>Disadvantaged Business Enterprise</u> status for other than a change of ownership? | <input type="checkbox"/> Yes <input type="checkbox"/> No |

For each “Yes,” provide an explanation for the response and attach additional sheets with numbered responses if necessary:

**VII. LEGAL PROCEEDINGS**

*Within the past five (5) years, has the reporting entity:*

- |  |  |
|--|--|
| 7.0 Been the subject of an <u>investigation</u> , whether open or closed, by any <u>government entity</u> for a civil or criminal violation?   | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 7.1 Been the subject of an indictment, grant of immunity, <u>judgment</u> or conviction (including entering into a plea bargain) for conduct constituting a crime?   | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 7.2 Received any OSHA citation and Notification of Penalty containing a violation classified as <u>serious or willful</u> ?  | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 7.3 Had a <u>government entity</u> find a willful prevailing wage or supplemental payment violation or any other willful violation of New York State Labor Law?  | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 7.4 Entered into a consent order with the New York State Department of Environmental Conservation, or received an enforcement determination by any <u>government entity</u> involving a violation of federal, state or local environmental laws?   | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 7.5 Other than previously disclosed:<br>a) Been subject to fines or penalties imposed by <u>government entities</u> which in the aggregate total \$25,000 or more; or<br>b) Been convicted of a criminal offense pursuant to any administrative and/or regulatory action taken by any <u>government entity</u> ? | <input type="checkbox"/> Yes <input type="checkbox"/> No |

For each “Yes,” provide an explanation for the response and attach additional sheets with numbered response if necessary:

**NEW YORK STATE**  
**VENDOR RESPONSIBILITY QUESTIONNAIRE**  
**FOR-PROFIT BUSINESS ENTITY**

**VIII. FINANCIAL AND ORGANIZATIONAL CAPACITY**

8.0 Within the past five (5) years, has the Reporting Entity received any formal unsatisfactory performance assessment(s) from any government entity on any contract? ☐ Yes ☐ No

If "Yes," provide an explanation of the issue(s), relevant dates, the government entity involved, any remedial or corrective action(s) taken and the current status of the issue(s). Provide answer below or attach additional sheets with numbered responses.

8.1 Within the past five (5) years, has the Reporting Entity had any liquidated damages assessed over \$25,000 for any reason, including failure to meet Minority-Owned Business Enterprise, Women-Owned Business Enterprise, Service-Disabled Veteran-Owned Business, or Disadvantaged Business Enterprise goals? ☐ Yes ☐ No

If "Yes," provide an explanation of the issue(s), relevant dates, contracting party involved, the amount assessed and the current status of the issue(s). Provide answer below or attach additional sheets with numbered responses.

8.2 Within the past five (5) years, have any liens, claims or judgments (not including UCC filings) over \$25,000 been filed against the Reporting Entity which remain undischarged? ☐ Yes ☐ No

If "Yes," provide an explanation of the issue(s), relevant dates, the Lien holder or Claimant's name(s), the amount of the lien(s), the current status of the issue(s), and the balance of the lien or judgment not yet paid. Provide answer below or attach additional sheets with numbered responses.

8.3 In the last seven (7) years, has the Reporting Entity initiated or been the subject of any bankruptcy proceedings, whether or not closed, or is any bankruptcy proceeding pending? ☐ Yes ☐ No

If "Yes," provide the bankruptcy chapter number, the court name and the docket number. Indicate the current status of the proceedings as "Initiated," "Pending" or "Closed." Provide answer below or attach additional sheets with numbered responses.

8.4 During the past three (3) years, has the Reporting Entity failed to file or pay any tax returns required by federal, state or local tax laws? ☐ Yes ☐ No

If "Yes," provide the taxing jurisdiction, the type of tax, the liability year(s), the tax liability amount the Reporting Entity failed to file/pay and the current status of the tax liability. Provide answer below or attach additional sheets with numbered responses.

8.5 During the past three (3) years, has the Reporting Entity failed to file or pay any New York State unemployment insurance returns? ☐ Yes ☐ No

If "Yes," provide the years the Reporting Entity failed to file/pay the insurance, explain the situation and any remedial or corrective action(s) taken and the current status of the issue(s). Provide answer below or attach additional sheets with numbered responses.

8.6 During the past three (3) years, has the Reporting Entity had any government audit(s) completed? ☐ Yes ☐ No

a) If "Yes," did any audit of the Reporting Entity identify any reported significant deficiencies in internal control, fraud, illegal acts, significant violations of provisions of contract or grant agreements, significant abuse or any material disallowance? ☐ Yes ☐ No

If "Yes" to 8.6 a), provide an explanation of the issue(s), relevant dates, the government entity involved, any remedial or corrective action(s) taken and the current status of the issue(s). Provide answer below or attach additional sheets with numbered responses.

**NEW YORK STATE  
VENDOR RESPONSIBILITY QUESTIONNAIRE  
FOR-PROFIT BUSINESS ENTITY**

**IX. ASSOCIATED ENTITIES**

*This section pertains to any entity(ies) that either controls or is controlled by the reporting entity.  
(See definition of “associated entity” for additional information to complete this section.)*

<p>9.0 Does the <u>Reporting Entity</u> have any <u>Associated Entities</u>?</p> <p>Note: All questions in this section must be answered if the <u>Reporting Entity</u> is either:</p> <ul style="list-style-type: none"> <li>– An <u>Organizational Unit</u>; or</li> <li>– The entire <u>Legal Business Entity</u> which controls, or is controlled by, any other entity(ies).</li> </ul> <p>If “No,” SKIP THE REMAINDER OF SECTION IX AND PROCEED WITH SECTION X.</p> <p>If “Yes,” provide the name, address and EIN of each <u>Associated Entity</u> and its relationship to the <u>Reporting Entity</u>.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>9.1 Within the past five (5) years, has any <u>Associated Entity Official</u> or <u>Principal Owner</u> been charged with a misdemeanor or felony, indicted, granted immunity, convicted of a crime or subject to a <u>judgment</u> for:</p> <p>a) Any business-related activity; or</p> <p>b) Any crime, whether or not business-related, the underlying conduct of which was related to truthfulness?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>If “Yes,” provide an explanation of the issue(s), the individual involved, their title and role in the <u>Associated Entity</u>, identify the <u>Associated Entity</u>’s name(s), <u>EIN</u>(s), primary business activity, the individual’s relationship to the <u>Reporting Entity</u>, relevant dates, the <u>government entity</u> involved, any remedial or corrective action(s) taken and the current status of the issue(s).</p>	
<p>9.2 Does any <u>Associated Entity</u> have any currently undischarged <u>federal</u>, New York State, New York City or New York local government <u>liens</u> or <u>judgments</u> (not including UCC filings) over \$50,000?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>If “Yes,” provide an explanation of the issue(s), identify the <u>Associated Entity</u>’s name(s), <u>EIN</u>(s), primary business activity, relationship to the <u>Reporting Entity</u>, relevant dates, the Lien holder or Claimant’s name(s), the amount of the <u>lien</u>(s) and the current status of the issue(s). Provide answer below or attach additional sheets with numbered responses.</p>	
<p>9.3 Within the past five (5) years, has any <u>Associated Entity</u>:</p>	
<p>a) Been <u>disqualified</u>, <u>suspended</u> or <u>debarred</u> from any <u>federal</u>, New York State, New York City or other New York local <u>government contracting process</u>?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>b) Been denied a contract award or had a bid rejected based upon a <u>non-responsibility finding</u> by any <u>federal</u>, New York State, New York City, or New York local <u>government entity</u>?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>c) Been <u>suspended</u>, <u>cancelled</u> or <u>terminated for cause</u> (including for <u>non-responsibility</u>) on any <u>federal</u>, New York State, New York City or New York local <u>government contract</u>?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>d) Been the subject of an <u>investigation</u>, whether open or closed, by any <u>federal</u>, New York State, New York City, or New York local <u>government entity</u> for a civil or criminal violation with a penalty in excess of \$500,000?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>e) Been the subject of an indictment, grant of immunity, <u>judgment</u>, or conviction (including entering into a plea bargain) for conduct constituting a crime?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>f) Been convicted of a criminal offense pursuant to any administrative and/or regulatory action taken by any <u>federal</u>, New York State, New York City, or New York local <u>government entity</u>?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<p>g) Initiated or been the subject of any bankruptcy proceedings, whether or not closed, or is any bankruptcy proceeding pending?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No

**NEW YORK STATE  
VENDOR RESPONSIBILITY QUESTIONNAIRE  
FOR-PROFIT BUSINESS ENTITY**

**IX. ASSOCIATED ENTITIES**

*This section pertains to any entity(ies) that either controls or is controlled by the reporting entity.*

*(See definition of “associated entity” for additional information to complete this section.)*

For each “Yes,” provide an explanation of the issue(s), identify the Associated Entity’s name(s), EIN(s), primary business activity, relationship to the Reporting Entity, relevant dates, the government entity involved, any remedial or corrective action(s) taken and the current status of the issue(s). Provide answer below or attach additional sheets with numbered responses.

**X. FREEDOM OF INFORMATION LAW (FOIL)**

10. Indicate whether any information supplied herein is believed to be exempt from disclosure under the Freedom of Information Law (FOIL).

☐ Yes ☐ No

Note: A determination of whether such information is exempt from FOIL will be made at the time of any request for disclosure under FOIL.

If “Yes,” indicate the question number(s) and explain the basis for the claim.

**XI. AUTHORIZED CONTACT FOR THIS QUESTIONNAIRE**

Name	Telephone ext.	Fax
Title	Email	

**NEW YORK STATE  
VENDOR RESPONSIBILITY QUESTIONNAIRE  
FOR-PROFIT BUSINESS ENTITY**

**Certification**

The undersigned: (1) recognizes that this questionnaire is submitted for the express purpose of assisting New York State government entities (including the Office of the State Comptroller (OSC)) in making responsibility determinations regarding award or approval of a contract or subcontract and that such government entities will rely on information disclosed in the questionnaire in making responsibility determinations; (2) acknowledges that the New York State government entities and OSC may, in their discretion, by means which they may choose, verify the truth and accuracy of all statements made herein; and (3) acknowledges that intentional submission of false or misleading information may result in criminal penalties under State and/or federal law, as well as a finding of non-responsibility, contract suspension or contract termination.

It being acknowledged and agreed that all responses included in this questionnaire are to the knowledge, information and belief of the Business Entity, the undersigned certifies under penalties of perjury that they:

**The undersigned certifies that he/she:**

- are knowledgeable about the submitting Business Entity's business and operations;
- have legal authority to bind the Business Entity;
- have read and understand all of the questions contained in the questionnaire, including all definitions;
- have not altered the content of the questionnaire in any manner;
- have reviewed and/or supplied full and complete responses to each question;
- have provided true, accurate and complete responses, including all attachments, if applicable;
- understand that New York State government entities will rely on the information disclosed in the questionnaire when entering into a contract with the Business Entity; and
- are under an obligation to update the information provided herein to include any material changes to the Business Entity's responses at the time of bid/proposal submission through the contract award notification, and may be required to update the information at the request of the New York State government entities or OSC prior to the award and/or approval of a contract, or during the term of the contract.

Signature of Owner/Official \_\_\_\_\_

Printed Name of Signatory \_\_\_\_\_

Title \_\_\_\_\_

Name of Business \_\_\_\_\_

Address \_\_\_\_\_

City, State, Zip \_\_\_\_\_

**SEXUAL HARASSMENT PREVENTION CERTIFICATION**  
**REQUIRED BY SECTION 139-L OF THE STATE FINANCE LAW**

State Finance Law §139-L requires bidders on state procurements to certify that they have a written policy addressing sexual harassment prevention in the workplace and provide annual sexual harassment training (that meets the Department of Labor's model policy and training standards) to all its employees.

**By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that the bidder has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees. Such policy shall, at a minimum, meet the requirements of section two hundred one-g of the labor law.**

If the bidder cannot make the foregoing certification, such bidder shall so state and shall furnish with the bid a signed statement that sets forth in detail the reasons that the bidder cannot make the certification

**By signing, you certify your express authority to sign on behalf of yourself, your company, or other entity, and full knowledge and acceptance of this attachment and that all information provided is complete, true and accurate.**

**Legal Business Name of Company Bidding:**

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**D/B/A - Doing Business As (if applicable):**

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**Bidder's Signature:**

**Printed or Typed Name:**

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**Title:**

**Date:**

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