

State of New York Executive Department
Office of General Services - Procurement Services Group
Corning Tower - 38th Floor
Empire State Plaza
Albany, NY 12242

REQUEST FOR PROPOSAL

**IMPORTANT: SEE "NOTICE TO BIDDERS" CLAUSES HEREIN
BIDS MAY BE SENT TO THE ABOVE ADDRESS ONLY
(E-Mail or Facsimile Bid Submissions Are NOT Acceptable)**

BID OPENING DATE: 10/15/08 and continuous TIME: 11:00 AM	TITLE: Group 71004 ELEVATOR, ESCALATOR & DUMBWAITER MAINTENANCE – STATEWIDE Classification Code: 72
REQUEST FOR PROPOSAL NUMBER: <p style="text-align: center;">21340</p>	SPECIFICATION REFERENCE: As Incorporated in the Request for Proposal
CONTRACT PERIOD: December 15, 2008 - December 14, 2013	
DESIGNATED CONTACTS: Team # 2	
PRIMARY CONTACT: Patricia Weidman, Purchasing Team Leader Telephone No. (518) 473-2045 E-mail address: pat.weidman@ogs.ny.gov	SECONDARY CONTACT: Bruce Hallenbeck, Assistant Director Telephone No. (518) 408-1705 E-mail address: bruce.hallenbeck@ogs.ny.gov

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 REQUEST FOR PROPOSAL, 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.ny.gov/aboutOgs/regulations/defaultAdvisoryCouncil.html>

Bidder's Federal Tax Identification Number: <i>(Do Not Use Social Security Number)</i>	NYS Vendor Identification Number: <i>(See "New York State Vendor File Registration" clause)</i>			
Legal Business Name of Company Bidding:				
D/B/A - Doing Business As (if applicable):				
Street	City	State	Zip	County
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 _____				
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:			

FOR PROCUREMENT SERVICES GROUP USE ONLY

P.R. #	LIT <input type="checkbox"/>	MEMO <input type="checkbox"/>	MISSING PAGES
	LET <input type="checkbox"/>	OTHER <input type="checkbox"/>	

GENERAL INFORMATION

IMPORTANT NOTICE TO POTENTIAL BIDDERS: Receipt of these bid documents does not indicate that the Office of General Services' Procurement Services Group has pre-determined your company's qualifications to receive a contract award. Such determination will be made after the bid opening and will be based on our evaluation of your bid submission compared to the specific requirements and qualifications contained in these bid documents.

NOTICE TO BIDDERS:

The Commissioner of General Services will receive bids pursuant to the provisions of Article XI of the State Finance Law or the provisions of the State Printing and Public Documents Law. The following procedures shall be used for bid submittals:

1. BID PREPARATION

Prepare your bid on this form using indelible ink. Print the name of your company on each page of the bid in the block provided. Two complete original bids are required, as specified in Section V.I herein.

2. BID DEVIATIONS

If your bid differs from the specifications explain such deviation(s) or qualification(s); and if necessary, attach a separate sheet. See "Extraneous Terms" in Appendix B, OGS General Specifications.

3. BID DELIVERY

Bidders assume all risks for timely, properly submitted deliveries. Bidders are strongly encouraged to arrange for delivery of bids to OGS **prior to** the date of the bid opening. **LATE BIDS may be rejected. E-mail bid submissions are not acceptable and will not be considered.**

- **Bid envelopes and packages**

An envelope and/or package containing a bid should be clearly marked "**BID ENCLOSED**" and should state the **Bid Number, Bid Opening Date, and Time**. Failure to complete all information on the bid envelope and/or packages may necessitate the premature opening of the bid and may compromise confidentiality. See "Bid Submission" in Appendix B, OGS General Specifications. Bids shall be delivered to:

**State of New York Executive Department
Office of General Services
Procurement Services Group
Corning Tower - 38th Floor Reception Desk
Empire State Plaza
Albany, New York 12242**

- **FAX transmittals**

No faxed bids are allowed.

- **Hand deliveries**

Bidders shall allow extra time to comply with the building access procedures in effect at the Empire State Plaza when hand delivering bids or using deliveries by independent courier services. **Bidders assume all risks for timely, properly submitted deliveries.**

4. IMPORTANT BUILDING ACCESS PROCEDURES

To access the Corning Tower, all visitors shall check in by presenting photo identification at the Information Desk.

Bidders attending bid openings are encouraged to pre-register for building access by contacting the Procurement Services Groups (PSG) receptionist at 518-474-6262 at least 24 hours prior to the bid opening.

Visitors who are registered can check in directly with the Information Desk. Visitors who are not pre-registered will be directed to a designated phone to call the PSG Receptionist. The Receptionist will register the visitor at that time but delays may occur. Vendors who intend to deliver bids or conduct PSG business should allow extra time to comply with these procedures. Building Access procedures may change or be modified at any time.

GENERAL INFORMATION (Cont'd)

NON-COLLUSIVE BIDDING CERTIFICATION:

(Reference: State Finance Law Section 139-d and Appendix A, Clause 7)

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 to the best of its knowledge and belief:

- (1) The prices in this bid have been arrived at independently without collusion, consultation, communication, or agreement, for the purpose 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 submit a bid for the purpose of restricting competition.

In the event that the bidder is unable to certify as stated above, the bidder shall provide a signed statement which sets forth in detail the reasons why the bidder is unable to furnish the certificate as required in accordance with State Finance law Section 139-d(1)(b).

PROCUREMENT LOBBYING TERMINATION:

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

SUMMARY OF POLICY AND PROHIBITIONS ON PROCUREMENT LOBBYING:

Pursuant to State Finance Law §§139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between OGS 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 OGS and, if applicable, the Office of the State Comptroller ("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. OGS 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>

DISPUTE RESOLUTION POLICY:

It is the policy of the Office of General Services' Procurement Services Group (PSG) to provide vendors with an opportunity to administratively resolve disputes, complaints or inquiries related to PSG bid solicitations or contract awards. PSG encourages vendors to seek resolution of disputes through consultation with PSG staff. All such matters will be accorded impartial and timely consideration. Interested parties may also file formal written disputes. A copy of PSG's Dispute Resolution Procedures for Vendors may be obtained by contacting the person shown on the front of this Request for Proposal or through the OGS website (www.ogs.ny.gov).

ELECTRONIC PAYMENTS:

The Office of the State Comptroller (OSC) offers an "electronic payment" option in lieu of issuing checks. To obtain an electronic payment authorization form visit the OSC website at www.osc.state.ny.us or contact them by e-mail at epunit@osc.state.ny.us or by phone at 518-474-4032.

GENERAL INFORMATION (Cont'd)

APPENDIX A:

Appendix A, Standard Clauses For New York State Contracts, dated December 2011, attached hereto, is hereby expressly made a part of this Bid Document as fully as if set forth at length herein. **Please retain this document for future reference and do not return to OGS as part of the Bid submission.**

APPENDIX B:

Appendix B, Office of General Services General Specifications, dated July 2006, attached hereto, is hereby expressly made a part of this Bid Document as fully as if set forth at length herein and shall govern any situations not covered by this Bid Document or Appendix A. **Please retain this document for future reference.**

CONFLICT OF TERMS AND CONDITIONS:

Conflicts between documents shall be resolved in the following order of precedence:

- a. Appendix A
- b. This Request for Proposal
- c. Appendix B
- d. Bidder's Bid

NEW YORK STATE VENDOR FILE REGISTRATION:

Prior to being awarded a contract pursuant to this Solicitation, the Bidder(s) and any designated authorized resellers who accept payment directly from the State, must be registered in the New York State Vendor File (Vendor File) administered by the Office of the State Comptroller (OSC). This is a central registry for all vendors who do business with New York State Agencies and the registration must be initiated by a State Agency. Following the initial registration, unique New York State ten-digit vendor identification numbers will be assigned to your company and to each of your authorized resellers (if any) for usage on all future transactions with New York State. Additionally, the Vendor File enables vendors to use the Vendor Self-Service application to manage all vendor information in one central location for all transactions related to the State of New York.

If Bidder is already registered in the New York State Vendor File, list the ten-digit vendor id number on the first page of this bid document. Authorized resellers already registered should list the ten-digit vendor id number along with the authorized reseller information.

If the Bidder is not currently registered in the Vendor File, complete the enclosed OSC Substitute W-9 Form and submit it with your bid. In addition, if authorized resellers are to be used, an OSC Substitute W-9 form should be completed by each of the designated authorized resellers and submitted to the Office of General Services. **The Office of General Services will initiate the vendor registration process** for all Bidders recommended for Contract Award and their authorized resellers. Once the process is initiated, registrants will receive an email from OSC that includes the unique ten-digit vendor identification number assigned to the company and instructions on how to enroll in the online Vendor Self-Service application. For more information on the vendor file please visit the following website: http://www.osc.state.ny.us/vendor_management/

NEW YORK STATE VENDOR RESPONSIBILITY QUESTIONNAIRE FOR-PROFIT BUSINESS ENTITY (hereinafter the "Questionnaire")

OGS 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.

OGS 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 the Office of the State Comptroller's (OSC) website, http://www.osc.state.ny.us/vendrep/vendor_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/portal/contactbuss.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.

GENERAL INFORMATION (Cont'd)

NEW YORK STATE VENDOR RESPONSIBILITY QUESTIONNAIRE FOR-PROFIT BUSINESS ENTITY (hereinafter the "Questionnaire") (Cont'd)

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 opening date. A Bidder's Questionnaire cannot be viewed by OGS 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, OGS 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.

TAX LAW 5-A AMENDED APRIL 26, 2006 (APPENDIX 2)

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 shall 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 the State Comptroller, 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 bid. Form No. ST-220-TD shall 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 No. ST-220-TD shall be filed with DTF.

Form ST-220-CA shall 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 any and 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.nystax.gov>

MERCURY-ADDED CONSUMER PRODUCTS:

Offerers are advised that effective January 1, 2005, Article 27, Title 21 of the Environmental Conservation Law bans the sale or distribution free of charge of fever thermometers containing mercury except by prescription written by a physician and bans the sale or distribution free of charge of elemental mercury other than for medical pre-encapsulated dental amalgam, research, or manufacturing purposes due to the hazardous waste concerns of mercury. The law further states that effective July 12, 2005, manufacturers are required to label mercury-added consumer products that are sold or offered for sale in New York State by a distributor or retailer. The label is intended to inform consumers of the presence of mercury in such products and of the proper disposal or recycling of mercury-added consumer products. Offerers are encouraged to contact the Department of Environmental Conservation, Bureau of Solid Waste, Reduction & Recycling at (518) 402-8705 or the Bureau of Hazardous Waste Regulation at 1-800-462-6553 for questions relating to the law. Offerers may also visit the Department's web site for additional information: <http://www.dec.state.ny.us/website/dshh/redrecy/c145home.html>.

GENERAL INFORMATION (Cont'd)

CONTRACTOR REQUIREMENTS AND PROCEDURES FOR EQUAL EMPLOYMENT AND BUSINESS PARTICIPATION OPPORTUNITIES FOR MINORITY GROUP MEMBERS AND NEW YORK STATE CERTIFIED MINORITY/WOMEN-OWNED BUSINESSES

In accordance with Article 15-A of the New York State Executive Law (Participation by Minority Group Members and Women with Respect to State Contracts) and in conformance with the Regulations promulgated by the Minority and Women's Business Development Division of the New York State Department of Economic Development set forth at 5 NYCRR Parts 140-144, the Offerer/Contractor agrees to be bound by the following to promote equality of economic opportunities for minority group members and women, and the facilitation of minority and women-owned business enterprise participation on all covered OGS contracts.

a. Equal Employment Opportunity Requirements

By submission of a bid or proposal in response to this solicitation, the Offerer agrees with all of the terms and conditions of Appendix A including Clause 12 - Equal Employment Opportunities for Minorities and Women. The contractor is required to ensure that the provisions of Appendix A clause 12 – Equal Employment Opportunities for minorities and women, are included in every subcontract in such a manner that the requirements of these provisions will be binding upon each subcontractor as to work in connection with the State contract.

b. Participation Opportunities for New York State Certified Minorities and Women-Owned Businesses

Authorized Users are encouraged to make every good faith effort to promote and assist the participation of New York State Certified Minority and Women-owned Business Enterprises (M/WBE) as subcontractors and suppliers on this contract for the provision of services and materials. To locate New York State Certified M/WBEs, the directory of Certified Businesses can be viewed at: http://www.empire.state.ny.us/Small_and_Growing_Businesses/mwbe.asp

ELECTRONIC BID OPENING RESULTS

The Procurement Services Group (PSG) posts bid prices on the OGS/PSG web page. The web page makes available bid tabulations (i.e.: photocopies of price pages or spreadsheets) received by PSG for scheduled bid openings. Previously only available through Freedom of Information, such information is anticipated to be available online within two business days after the bid opening.

The Bid Opening Results Page is available at: <http://www.ogs.ny.gov/purchase/bidresults/bidresults.asp>

DEBRIEFING

Bidders will be accorded fair and equal treatment with respect to their opportunity for debriefing. Disclosure of the content of competing bids other than statistical tabulations of bids received in response to an IFB or RFP is prohibited prior to contract award. Prior to contract award, OGS shall, upon request, provide a debriefing which would be limited to review of that bidder's proposal or bid. After contract award, OGS shall, upon request, provide a debriefing to any bidder that responded to the IFB or RFP, regarding the reason that the proposal 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 posting of the contract award on the OGS website.

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SECTION I. INTRODUCTION

I.1 SCOPE

This document is a Request for Proposal (RFP) to obtain qualified contractors to perform Elevator, Escalator, and Dumbwaiter maintenance including the provision of all material and equipment usually furnished with elevator, escalator and dumbwaiter services, in accordance with the latest adopted editions of ASME A17.1, Safety Code for Elevators and Escalators, A17.2 Inspectors Guide for Elevator and Escalators and A17.3 Safety Code for Existing Elevators and Escalators (including supplements).

The issuing agency for this RFP is the Office of General Services (OGS). The services will be primarily for, but not limited to, New York State agencies. Additionally, upon approval by the Commissioner of OGS, local governments, school districts or other political subdivisions may utilize services. Accordingly, references to the state and its agencies as users under this proposal and specification and the ensuing contracts encompasses and includes other users such as local governments, school districts or other political subdivisions.

The intent of this specification is to request bids from contractors, qualify them and establish maximum hourly and per unit rates for each type of vertical transportation equipment in the performance of elevator, escalator and dumbwaiter maintenance service in various regions across the State. A list of the regions is attached as Attachment No. 1. Once the bids are evaluated, contracts will be awarded to all responsive and responsible bidders. At a later date, only those contractors who hold a contract from this RFP will be allowed to bid specific projects or facilities (through the use of a project definition). A sample project description format and an actual project description are attached to this document as Attachment No. 2 for informational purposes only.

Contractors shall offer full maintenance services, including all inspections, adjustments, tests, parts replacement, and repairs necessary to keep the elevators, escalators and dumbwaiters covered under this contract in continuous use at the established capacity and efficiency for their intended purpose. In light of the fact that this specification does not include repairs for vandalism, fire, acts of God, negligence by the State, or other unusual circumstances, the bidder is required to provide the State of New York a percent markup on the prevailing wage rate and a percent markup on materials to be charged to the State of New York for such repairs. These rates shall be included in the bid proposal on an evaluated basis as specified herein. If such work is needed, the State alone has the option to accomplish such repairs under this contract or through another qualified service provider. This work may either be done on a time and materials bases at the bid rates indicated herein or may be accomplished under a separate specification quote or contract.

Under the Continuous Recruitment of Contractors concept (once the initial bidding process is completed and the initial contracts are awarded) vendors who request a copy will be provided with an RFP and allowed to submit a proposal to be considered for a contract award. These proposals will be evaluated under the same terms and conditions as the original bids. If the contractor's bid is accepted, a contract will be awarded and they will be placed on the list of qualified vendors for the remaining term of the initial agreement. Once a contractor is placed on the qualified vendor list they shall remain there under the terms of their initial bid and will not be allowed to submit a new bid under the Continuous Recruitment of Contractors provision.

I.2 OBJECTIVES

There are several objectives that the State desires to accomplish in the bidding of this proposal. Some of these are:

1. Streamline bidding through the use of the mini-bid process (project definition) by user agencies resulting in a saving of administrative time and effort.
2. Ensure that only qualified firms perform the work with consistent performance standards applied throughout the State.
3. Achieve savings through the combined purchasing of multiple authorized users utilization of this RFP.

I.3 INQUIRIES/ISSUING OFFICE

All inquiries concerning this specification will be addressed to one of the following PSG Associates and issuing office:

Primary Contact:

Dewan Bristo
Purchasing Officer
NYS Office of General Services
Procurement Services Group
Corning Tower - 38th Floor
Empire State Plaza
Albany, New York 12242

Phone No.: (518) 486-2519
Fax No.: (518) 486-6867

Secondary Contact:

Patricia Weidman
Team Leader
NYS Office of General Services
Procurement Services Group
Corning Tower - 38th Floor
Empire State Plaza
Albany, New York 12242

Phone No.: (518) 473-2045
Fax No.: (518) 486-6867

All questions should be submitted in writing, citing the particular proposal section and paragraph number. Prospective Bidders should note that all clarifications and exceptions including those relating to the terms and conditions of the contract are to be resolved prior to the submission of a proposal. Answers to all questions of a substantive nature will be given to all Prospective Bidders in the form of a formal addendum, which will be annexed to and become part of the ensuing contract.

Any Contractor in doubt as to the true meaning of any part of the specification or the proposed contract documents shall submit to the Office of General Services, Procurement Services Group, 38th Floor, Corning Tower Building, Empire State Plaza, Albany, New York 12242, a written request for an interpretation thereof. If a material change is involved on which all bidders shall be informed, such will be made available via our On-line Bidder Notification Service, to all bidders, in classification code 72, by the date for the close of inquiries stated in section I.4. Any clarification of the proposed documents will be made only by a bid addendum duly issued.

Any addendum issued during the time of bidding shall be included in bids and in closing a contract, will become a part thereof.

Any verbal information obtained from or statements made by representatives of the Procurement Services Group will not be construed as in any way amending Contract Documents. Only such bid addenda as are issued in writing to all contractors shall become a part of the contract.

I.4 KEY EVENTS/DATES

<u>Event</u>	<u>Date</u>	<u>Time</u>
RFP/RFP Release	09/15/08	
Closing Date for Inquiries	09/25/08	
Submission of Proposal/Bid	10/15/08	11:00 A.M.
Estimated Contract Award	12/15/08	

I.5 DEFINITIONS

“**Authorized User**” shall mean any department, agency, board, commission, office or institution of the State of New York. If specifically authorized by the Commissioner of General Services in writing to utilize this RFP, the term “User Agency” shall also include public authorities, political subdivisions and not-for-profit organizations of the State of New York.

“**Agency Project Definition or Description**” shall mean a specific need for elevator, escalator or dumbwaiter maintenance services, which is detailed in writing by an Agency and used to solicit bids from successful bidders under this RFP and possibly as a basis of a contract formed thereunder. Only those contractors who submit a successful proposal and are awarded a contract from this RFP will be eligible to bid the individual project definitions. All terms and conditions of this RFP will apply to the project definition unless otherwise stated in the project definition itself.

“**Agency Representative**” shall mean the authorized representative of an Agency that is identified as such Agency Representative in an Agency Project Definition and/or in the contract entered into under this RFP.

“**Prevailing Wage Rate**” as part of the requirements of Article 8 (Sections 220-223) and Article 9 (Sections 230-239) of the New York State Labor Law, requires public work Contractors and subcontractors to pay laborers, workers or mechanics employed in the performance of a public work contract not less than the prevailing rate of wage and to provide supplements (fringe benefits) in accordance with prevailing practices in the locality where the work is performed. Prevailing wage requirements for this RFP are contained herein.

Please note, contractors that provide service to New York City (NYC) agencies shall pay their employees the greater of the two following wage rates: the NYC prevailing wage rate for the title of “A Elevator Repair/Modernization Mechanic”, as listed in the then most current prevailing wage schedule issued by the NYC Bureau of Labor Law or the NYC prevailing wage rate for the title of “Elevator Constructor - Modernization and Service”, as listed in the then most current prevailing wage schedule issued by the NYS Department of Labor. Additionally, other municipalities have enacted Living Wage rates which may be applicable to one or more Authorized Users utilizing this contract. **Contractors are required to be familiar with the applicable Living Wage rate requirements throughout the state and to pay its employees accordingly.**

“**Request for Proposal (RFP)**” shall refer to this proposal and the resultant submission of a contractor’s bid for performance and later, the awarded contracts.

“**Mini-bid**” shall refer to the bidding of each project definition since it is a smaller, simpler form of bidding and does not need to duplicate this RFP.

“**ANSI**” whenever reference is made to it, it shall be understood to mean the most current American National Standards Institute.

“**The Commissioner, Commissioner of General Services or Commissioner of Office of General Services**” shall mean The Commissioner of The New York State Office of General Services, or designated representative.

“**ASME**” whenever reference is made to it, it shall be understood to mean the most current version of the American Society of Mechanical Engineers provision that is cited.

I.6 QUALIFICATIONS OF PROSPECTIVE BIDDERS

a. Experience Requirements

1. Each bidder’s firm shall have been actively and normally engaged, for at least the past ten (10) years in maintenance, service, repair and replacement of materials and equipment for elevators, escalators and/or dumbwaiters. Please provide references that can verify this experience (please see Attachment No. 5 “Reference Form”). The bidder will also be resumed to further demonstrate it has the experience applicable to the scope of work as stated in the project definition during the Mini-bid process.
2. Bidders that bid on Mini-bid projects that involve supervisory control systems must meet the following requirements. The bidders shall have at least ten (10) years experience with group supervisory control systems for each category of elevators specified in the Cost Proposal Form; and shall provide with its bid a detailed statement of such experience. This should include the company or building serviced, representative responsible for supervising the contract for such company or building and complete elevator characteristics. Please provide references that can verify this experience (please see Attachment No. 5 “Reference Form”).

In light of the fact that not all Mini-bid projects will necessarily involve supervisory control systems, a bidder may be added to the Backdrop contract even if it does not have experience with these systems, however, only bidders who demonstrate that they have the required experience will be able to bid on Mini-bid projects that involve supervisory control systems.

3. The bidder shall have total responsibility for not less than ten elevators, escalators or dumbwaiters of the type bidding on, and has been maintaining them for a period of not less than five years. Each bidder shall list the subject contract, and identify the company or agency contact person’s name, title, address and phone number to enable OGS to confirm this information.

b. Personnel Requirements

1. The bidder shall show that it has available, under its direct employment and supervision, the necessary organization to properly fulfill all the services and conditions required under this specification.
2. The bidder shall demonstrate that it has maintained an organization, in continuous operation for at least the past ten (10) years that is capable of performing the work hereinafter described. This should include the following:
 - a. That the bidder shall use only skilled, competent, trained elevator personnel having a minimum experience of three (3) years in maintaining elevator systems similar to those in this specification. (It is not necessary for all the required experience to have been acquired with the bidders firm).
 - b. Each bidder shall list the names of employees in each region which would be responsible for this contract, their function in the company and their title and number of years of service with the bidder's firm.

c. Service Facility Requirements

1. The present address of the main operating facilities of the bidder, location of the engineering department and, if any, the location of the research and development department.
2. Identify the location of the bidder's facility intended to serve each region bid.
3. Each bidder shall have a local facility, which shall be located within a 50 mile radius of the equipment being served, if equipment is located within a major metropolitan area as defined by the New York State Labor Department. For equipment located in rural areas, the bidder shall have a facility, which shall be located within a 100-mile radius of the equipment being served.
4. List sources of major replacement parts such as worms and gears, commutator bars, field coils and gearless machines. Indicate which of the above parts are available at your facilities.

Prospective Contractors are advised that the State's intent in having these requirements is to ensure that only qualified and reliable Contractors perform the work of the contract. The State recognizes that there may be equally qualified and reliable Contractors who do not meet all of the above requirements specifically as stated above, but may in fact meet the objectives and criteria intended in some other manner. However, the Contractor shall have the burden of demonstrating to the State's satisfaction that it can in fact perform the work. This shall be in the form of written notarized statements as to the Contractor's experience, references, listing of contracts performed, financial statements, manpower, or ability to respond to the State, which will then be used to evaluate the Contractor's ability.

The Office of General Services' Procurement Services Group retains the right to request any additional information pertaining to the Prospective Bidder's ability, qualifications, and procedures used to accomplish all work under this contract as it deems necessary to ensure safe and satisfactory work.

Note: Any Prospective Bidder failing to submit in whole or in part, adequate justification attesting to its qualifications under section I.6, may result in a rejection of the bid of that Prospective Bidder.

SECTION II TECHNICAL REQUIREMENTS

II.1 EXAMINATION OF EXISTING BUILDING AND CONTRACT DOCUMENTS

1. Each Contractor is under an affirmative duty to inform itself by personal examination of the specifications and location of the proposed work (at the time of the project definition) 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.
2. Each Contractor shall examine specifications and all other data or instruction pertaining to the work (as contained within the project definition). 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 Authorized User as an excuse for any failure or omission on the part of the contractor to fulfill every detail of all the requirements of the documents governing the work. Contractor, if awarded a min-bid 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.

II.2 ELEVATORS TO BE SERVICED

The equipment to be serviced will be listed in the project definition by the User Agency at the time that a mini-bid takes place. **The Contractor shall be responsible for all components not specifically listed that are supplemental to and a part of the operation of the overall lift system for the facility. Prospective Contractors shall personally verify all equipment listed at the time of the mini-bid.**

II.3 GENERAL REQUIREMENTS

- a. The intent of these specifications, unless otherwise noted in Agency Project Definitions, is to ensure the provision of complete elevator maintenance services, in every respect. Details of service not explicitly stated in these specifications but necessarily attendant thereto, is deemed understood by the bidder and included herein. The contractor shall furnish all material and equipment usually furnished with elevator, escalator and dumbwaiter services, in accordance with the latest adopted editions of ASME A17.1, Safety Code for Elevators and Escalators, A17.2 Inspectors Guide for Elevator and Escalators and A17.3 Safety Code for Existing Elevators and Escalators (including supplements).
- b. All material and equipment furnished shall be new and in excellent working condition. All replacement parts shall be new as specified by the original manufacturer or new after market parts that are accepted by the elevator industry as equal or better (see II.4 Statement of Work).
- c. Prospective bidders should note that the Appendix A – Standard Clauses for New York State Contracts and Appendix B - General Specifications, apply to this RFP.
- d. The Contractor shall be completely responsible for their work, including any damages or breakdowns caused by their failure to take appropriate action.

- e. No illegal drug use of any type or alcoholic beverages by the Contractor or its personnel will be permitted on the premises.
- f. The Procurement Services Group' or user agency's interpretation of specifications shall be final and binding upon the Contractor.
- g. Should it appear that there is a real or apparent discrepancy between different sections of this RFP and/or the project definition specifications concerning the nature, quality, or extent of work to be furnished, it shall be assumed that the Contractor has based its bid on the more expensive manner. Final decision will rest with the Office of General Services and the Authorized User.
- h. INSPECTION - the quality of service will be subject to inspection by the State of New York and the Authorized User at any time. Should it be found that the quality of services being performed is not satisfactory, and that the requirements of the specifications are not being met, the Office of General Services acting on behalf of the user agency or on its own behalf, 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 and the Authorized User for costs incurred on account thereof.
- i. The Authorized User agency representative reserves the right to reject and bar from the facility any employee hired by the Contractor.
- j. LABOR AND MATERIAL – the contractor is to offer a percent mark-up (which shall be applied to the then existing applicable New York State prevailing wage rate or Living Wage rate, which ever is higher) and percent mark-up for materials in response to this solicitation. Labor and material rates may only be charged when correcting problems that are not included within the Minimum Preventive Maintenance Requirements, in accordance with the latest adopted editions of ASME A17.1, Safety Code for Elevators and Escalators, A17.2 Inspectors Guide for Elevator and Escalators and A17.3 Safety Code for Existing Elevators and Escalators (including supplements, e.g. something caused by an Act of God, Vandalism, Fire, negligence by the State or other unusual circumstances).

II.4 STATEMENT OF WORK

GENERAL

All references to elevators included herein shall be considered to include escalators and dumbwaiters where applicable.

All work under this contract shall be performed by skilled, competent, journeyman elevator mechanics directly employed and/or supervised by the Contractor. Elevator mechanic helpers and/or elevator mechanic apprentices may be used, provided they are under the direct supervision of a journeyman elevator mechanic on site at all times. Direct supervision means working under constant guidance or simultaneously with a journeyman elevator mechanic. All journeyman elevator mechanics shall have a minimum of three years of experience maintaining elevators and escalators. Sufficient personnel shall be assigned to complete maintenance in a timely manner. Within ten (10) days after award of a project definition through a Mini-bid, the Contractor shall furnish the Agency Representative a detailed schedule indicating how and when the Contractor plans to accomplish all required pre-maintenance repairs (if applicable) and within 30 calendar days after award, unless the Authorized User specifies sooner, the Contractor shall furnish a detailed schedule of the preventative maintenance for the first contract year. During the term of the contract, annual updates to the detailed schedule (if applicable) shall be provided to the Agency Representative by the Contractor. Cost for pre-maintenance repairs shall be included in the

Contractor's original bid. Pre-maintenance repairs will be completed under the Contractor's time and materials bid for the Agency Project Definition, however, contract users reserve the right to solicit offers from, and have corrections or repairs made by, other sources.

SCOPE

The Contractor shall furnish all material, labor, supervision, tools, supplies and equipment necessary to provide full maintenance services, including all inspections, adjustments, tests, parts replacement, and repairs necessary to keep the elevators identified in each Project Definition in continuous use at their initial performance ability (same speed, safety, and efficiency) as originally specified by the equipment manufacturer or most recent upgrade specifications. All maintenance, adjustments, and repairs shall be in compliance with the latest adopted editions of ASME A17.1, Safety Code for Elevators and Escalators, A17.2, Inspector's Guide for Elevators and Escalators, and A17.3 Safety Code for Existing Elevators and Escalators (including supplements) hereinafter referred to as ASME A17.1. The safety practice and procedures in the "Elevator Industry Field Employees Safety Handbook" shall also be followed when performing maintenance and repairs.

The Contractor shall give immediate notice to the Agency Representative of any apparent damage to the equipment covered under this contract. The Contractor shall notify the Agency Representative, verbally on the day of discovery, and shall follow-up in writing no later than three (3) days thereof, informing of the existence or development of any defects in, or repairs required to, the elevator equipment which the Contractor does not consider to be its responsibility under the terms of the contract. Failure to do so will render the Contractor responsible for those repairs at no additional cost to the Authorized User. The Contractor shall furnish the Agency Representative with a written estimate of the cost to correct the defects or make the required repairs. The Contractor's estimate shall be itemized into labor and material costs not to exceed the labor and material rates as bid in the Project Definition. The Agency Representative reserves the right to make final decision concerning the responsibility for such corrections or repairs. In those instances when the Authorized User determines that the Authorized User is responsible for such corrections or repairs, the State may enter into negotiations with the Contractor to affect the repairs. If the Authorized User and Contractor reach agreement over the price and conduct of the repair, the Authorized User will issue an Authorization Letter that will fund the repair and serve as the Contractor's notice to proceed. However, the Authorized User reserves the right to solicit offers from, and have corrections or repairs made by, other sources.

WORK NOT INCLUDED IN CONTRACT

The following items of work are specifically not included as work which the Contractor is responsible to perform:

1. Refinishing of the elevator car interior walls, elevator car interior ceiling, elevator car floor covering, and escalator balustrades, trim and moldings
2. Elevator equipment room lighting ballasts and light fixtures (except bulb replacement is included).
3. Hoist way enclosure walls, and hoist way door frames and sills.
4. Telephone Company lines (except elevator telephone or intercommunication systems are included).
5. Main line power switches.
6. Emergency power plants and associated supplies.

WORK SCHEDULING

The Contractor shall instruct his/her personnel that anytime work is to be performed under this contract, that they shall coordinate all activities with the Agency Representative prior to arriving at the Facility, to ensure the equipment is available and access to the Facility can be granted. Also, when arriving at the Facility, all Contract personnel shall report to the Agency Representative in such a manner as pre-determined by the Agency Representative, and when exiting the facility, Contractor shall again notify the Agency Representative.

Overtime

During the term of the contract, the Authorized Representative may authorize the Contractor to use overtime in order to expedite major repairs. This authorization will be granted only in those instances where the Authorized User has made a determination that such action is in the overall best interest of the Authorized User. When this authority is granted, the Contractor shall pay its employees at a minimum, the overtime-hourly rate required by the NY State prevailing wage rate schedules or applicable Living Wage rate, and the Authorized User will reimburse Contractor for the difference between the regular hourly rate and the overtime-hourly rate.

EQUIPMENT, WIRING, AND CIRCUIT CHANGES

The Contractor shall not make changes or alterations to the existing mechanical equipment, circuits, circuit wiring, or sequencing, and may not alter the original circuit or wiring design of the elevators unless authorized in writing by the Agency Representative. The Contractor shall submit any such proposed change to the Agency Representative for approval, and shall include complete legible drawings and wiring diagrams, as well as a complete description of the proposed change. Prior to submitting the proposed change, the Contractor shall, at its own cost and expense, obtain comments from the original equipment manufacturer concerning the overall effect of such changes on the system. If changes are made, the Contractor shall provide the Agency Representative with three exact copies of as-built drawings of the modifications including a complete description of the changes.

SCHEMATIC WIRING DIAGRAMS

The Contractor shall maintain a complete set of current, legible schematic wiring diagrams in each elevator machine room for each elevator machine contained therein. If schematic wiring diagrams are present during the initial survey of the jobsite, but are missing during the effective contract start date, the Authorized User will assist in retrieving the schematic wiring diagrams from the previous contractor. To the extent that any of the required schematic wiring diagrams are not available at the time of the award of the Mini-bid contract, or cannot be retrieved from the previous contractor, it will be the responsibility of the Contractor to provide replacement diagrams at a cost to the Authorized User. The cost to provide replacement schematic wiring diagrams shall be considered a pre-maintenance cost. At the end of the contract term, any schematic diagrams provided by the Contractor will become the property of the State or other Authorized User.

CALLBACK SERVICE

The Contractor shall provide 24-hour-a-day, 7 days-a-week, callback service, as part of the monthly maintenance fee and at no added cost to the Authorized User. The Contractor may only bill for callback service if the work performed is not the responsibility of the Contractor (e.g. repairs for vandalism, fire, acts of God, negligence by the State, or other unusual circumstances). In the event of callback service, a journeyman elevator mechanic will report to the site of the call when requested by the Agency Representative or those persons designated by the Agency Representative, in accordance with the following schedule:

1. Within one (1) hour after receipt of request for any stalled elevator(s) containing trapped passenger or any elevator designated in the Mini-bid contract as being essential. An attachment titled, "Elevators To Be Serviced", will be attached to each project definition to designate if an elevator is classified as essential or non-essential.
2. Within the first two (2) regular work hours of the next regular working day for any of the other elevator(s) covered by the Mini-bid contract.
3. For each service call, the Contractor shall provide to the Agency Representative, a copy of the work ticket(s) along with supporting documentation that contains the following minimum information:
 - (a) Name and address of the Contractor
 - (b) Name of the Contractor's employee in charge of the work
 - (c) Name of the Contractor's employee(s) performing the work.
 - (d) Date(s) work performed and work hours expended
 - (e) Brief description of work performed/corrective action including equipment identification
 - (f) Signature and name of the Contractor's employee authorized to sign for the Contractor and attest to the necessity and completeness of the work, and the accuracy of the invoice.

The format and medium (hard copy or electronic) of such work ticket and supporting documentation must be approved by the Agency Representative in advance of the first submittal.

In the event of emergency callbacks for elevators not designated as essential in the attachment to the project definition titled "Elevators To Be Serviced", during other than normal working hours (i.e. in the event of a passenger being trapped) necessitating the payment by the Contractor of premium or overtime wages, the Contractor shall pay its employees at a minimum, the overtime-hourly rate required by the NY State prevailing wage rate schedules or applicable Living Wage Rate, and the Authorized Use, upon receipt of properly documented bills. This emergency callback service is limited to adjustments or repairs required to restore an elevator to safe and reliable service. The Agency Representative will provide the Contractor with a list of individuals who are authorized to call for emergency services. This list will be updated as required. The Contractor shall provide the Agency Representative the names and telephone numbers (home, cellular, and office) of the persons to be contacted for emergency services. In the event of a passenger being trapped in a stalled elevator, the procedures specified in the ASME A17.4, Guide for Emergency Evacuation of Passengers from Elevators, shall be followed.

MINIMUM PREVENTIVE MAINTENANCE REQUIREMENTS

1. The Contractor shall prepare and submit a Preventative Maintenance Schedule supported by written manufacturer's documentation and ASME A17.1 (see Section II.4 – Statement of Work, under "General"). The Contractor shall perform the necessary preventive maintenance required for a safe, reliable operation, as specified by the manufacturer and ASME A17.1. The preventive maintenance shall be performed timely and scheduled according to timeframes set by the manufacture's recommendations and ASME A17.1. If specific equipment covered by this contract requires additional preventive maintenance, the Contractor shall perform the required preventive maintenance without additional cost to the Authorized User. Preventive Maintenance is defined as regularly scheduled work on the elevators that the Contractor shall complete, to accomplish the following:
 - (a) Ensure their safe, reliable, and continued operations
 - (b) Prevent breakdowns due to worn part

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- (c) Maintain elevators/escalators above the point where deterioration begins
2. Subject to the capability of the equipment, and as documented by the Contractor and such documentation approved by the Agency Representative, the Contractor shall ensure that the following original operating criteria is maintained at all times for each elevator:
 - (a) Maximum capacity in pounds
 - (b) Rated speed in feet per minute
 - (c) Door operation
 - (d) Traffic handling capabilities
 - (e) Response times
 - (f) Ride quality
 3. Acceptable performance will be based on Items 2(a) through (f) above, plus the following criteria:
 - (a) Completion of the scheduled preventative maintenance as specified by the manufacture's recommendations and ASME A17.1.
 - (b) Completion of work check charts for each elevator/escalator.
 - (c) All work required as a result of maintenance deficiencies noted as a result of Authorized User testing/inspections shall be complete within 30 working days of testing/inspection date. Within 3 working days of said test/inspection, Contractor shall provide the Agency Representative a schedule which includes but is not limited to; outlining the required scope of work and start and completion dates for the work.
 - (d) Down-time of not more than 72 Facility business operating hours per year per elevator/escalator. Down-time means the length of time that an elevator is out-of-service. The length of time that an elevator is out-of-service shall be measured by the Agency Representative; beginning at such time the Agency Representative Authorized User notifies the Contractor that the elevator is out-of-service or that an unsafe condition exists and ending at such time the elevator is safely placed back into service. In the event that Contractor is delayed beyond Contractor's control in being able to place the elevator back into service, Contractor shall provide the Agency Representative two forms of documentation proving that such delay is beyond Contractor's control. An example of acceptable documentation may be written statements from two independent suppliers of a particular part(s) that are not readily available, and accompanied by a shipping date of such availability. Upon verification, Agency Representative may interrupt the total "down-time" duration. The "down-time" is exclusive of acts of god and vandalism.
 - (e) A level or decreasing trend in service calls/trouble calls. An increased frequency in service calls/trouble calls is not considered acceptable performance unless they occur by no fault of the Contractor such as acts of god or vandalism. A service call/trouble call is defined as

a report of an elevator malfunction made by the Agency Representative or designee and the Contractor's subsequent response to, and correction of, the problem. In addition, performance shall be unacceptable if the Contractor fails to repair or correct deficiencies reported to the Contractor and for which the Contractor is responsible under the terms of the resultant contract.

4. Prior to removing an elevator from service, the elevator mechanic shall coordinate the removal with the Agency Representative.

NON- STANDARD REQUIREMENTS

The Contractor shall be responsible for maintaining the lighting fixtures installed in the car, hoist way, pit, car top, and car emergency lighting. This will include all lighting fixture components such as ballasts, bulbs, lamps, and tubes. The Contractor is not responsible for the elevator equipment room lighting ballasts and lighting fixtures. The Contractor shall be responsible for maintaining the car telephone or intercommunication systems from elevator to elevator controller.

REPORTING REQUIREMENTS

1. **Facility/Machine Room(s) Record:** Contractor shall keep and maintain a hard copy service record for each elevator showing all preventative maintenance, repairs and all callback service performed. The service record(s) shall be kept in the appropriate machine room at the Facility and shall indicate:
 - (a) Site location,
 - (b) Date and time (in work hours) required to perform the work,
 - (c) List all repairs and replacements performed.

The service record format and information provided shall be pre-approved by the Agency Representative.

2. **Monthly Report(s):** Contractor will submit to the Agency Representative an electronic report, once per month, for each elevator which outlines the following;
 - (a) Site location,
 - (b) Date and time (in work hours) required to perform the work including arrival and departure times,
 - (c) Type of work performed (preventative maintenance, repair, callback service, other),
 - (d) Description of work performed,
 - (e) In the case of callback service; provide a description of the callback and corrective action taken,
 - (f) List of all materials used,
 - (g) List of all work scheduled to be performed, but that was not completed during the specified time frame.

The monthly report format and information provided shall be pre-approved by the Agency Representative. In addition, upon request the Contractor shall provide for review, written manufacturer recommendations for elevators/escalators preventive maintenance and the latest adopted editions of ASME A17.1.

SAFETY INSPECTIONS AND TESTS

All service and repair work shall be performed in compliance with the ASME A17.1, Safety Code for Elevators and Escalators and subject to inspections by the State. Periodic inspection of the elevators, as required by ASME A17.1 (current adopted edition) shall be performed by State approved Elevator Inspectors, in accordance with existing State policy. All elevators shall be appropriately inspected every six (6) months, annually, and every five years. All escalators shall be appropriately inspected every six (6) months and annually. The Contractor shall provide any needed equipment to perform the tests at no additional cost to the Authorized User. The Contractor shall provide an adequate quantity of qualified journeyman elevator mechanics familiar with the equipment to perform tests and assist the inspector at no additional cost to the Authorized User. The Contractor shall periodically examine and test all safety devices, governors, oil buffers, etc. The Contractor shall make formal safety tests and inspections as required and outlined in the current adopted edition of ASME A17.1. These tests shall be conducted in the presence of the State Elevator Inspector. Tests performed on 1 and 5-year intervals will be scheduled to comply with the 1 and 5-year intervals specified in ASME A17.1 Appendix. The Contractor shall furnish test and condition reports after each test. After tests have been performed, all load weighing devices, etc. shall be checked and adjusted as required to meet manufacturer's recommendations. ***Cars shall not be placed in service until all tests, checks and adjustments are completed and the elevators are in proper working condition.*** The Contractor will not be held responsible for any damage to the building and equipment (excluding elevator and related elevator equipment) caused by these tests, unless such damage is a result of negligence by the Contractor. Failure to follow correct procedures to prevent damages and failure to perform pretest examination shall be considered negligence by the Contractor. The Contractor shall furnish and install, at no additional cost to the Authorized User, any missing code data plates as required by ASME A17.1. If necessary, the Authorized User will assist the Contractor in obtaining the data for the replacement code data plates. If during the inspection/testing of a particular elevator/escalator, such elevator/escalator fails, Contractor shall continue the inspection/testing procedure with other elevators/escalators so as not to delay the overall inspection/testing process. Contractor shall provide a separate crew to repair deficiencies.

MAINTENANCE SERVICES FOR ELEVATORS AND ESCALATORS

Except for callback service, the Contractor shall perform all work during regular work hours of regular working days or as approved by the Agency Representative. The time of day each elevator is to be shut down for routine maintenance will be scheduled with the Agency Representative to minimize disruption. When an elevator is shut down, a sign shall be placed at each opening stating: "This elevator is being serviced". When an escalator is shut down, barriers shall be placed at each end with a sign stating: "This escalator is being serviced". The Contractor shall record, in a log maintained by the Agency Representative, the actual arrival and departure times each day they are in the building. The Agency Representative will maintain a list of any non-emergency maintenance items and provide this list to the Contractor for corrective action.

LUBRICANTS

The Contractor shall furnish all lubricants and hydraulic fluids that comply with the equipment manufacturer's specifications and ASME A17.1 for the particular device

SPARE PARTS

The Contractor shall provide all replacement parts of every description. All replacement parts shall be new as specified by the original manufacturer or new after-market parts that are accepted by the elevator industry as equal or better. In any instance where replacement parts specified by the original equipment

manufacturer or after-market part of equal or better quality are no longer available, an "equal" item may be acceptable, provided advance written approval of an item is obtained from the Agency Representative. The Contractor shall evaluate each specific installation to determine the spare parts inventory needed to be maintained on site in order to prevent downtime for spare parts procurement. At a minimum, the Contractor shall maintain on site for each elevator, five (5) fuses of each size, type and current rating and an adequate supply of replacement lamps. The Contractor shall have and maintain on hand locally, a supply of spare parts sufficient for the full maintenance and expedient emergency repair of the elevator or escalator. Extenuating circumstances shall be documented by at least two vendors for unavailability of parts. At the Facility, the Contractor shall provide sufficient metal storage cabinet space for spare parts storage and metal containers for storage of waste and other flammable materials. An adequate supply of tools to make repairs without any undue delay shall also be maintained. The Contractor shall provide a lock to keep the contents of the metal storage cabinet secure and a key for the lock shall be provided to the Agency Representative.

HOUSEKEEPING

1. All elevator machine rooms, hoist ways, pits, and elevator equipment will be kept free of dust, dirt, grease, oil, and foreign debris to the extent possible as to not pose a safety or operational hazard.
2. The Contractor shall keep all Material Safety Data Sheets (MSDS) on file with the Agency Representative, or designee, for all commonly used products and shall provide the 1-800 telephone numbers for all products.
3. The Contractor will use reasonable care to minimize the generation of waste, and will properly dispose of all waste it does generate.
4. The Contractor will use reasonable care to minimize risk its work poses to the environment, the customers, the general public and the contract employees.
5. The Contractor shall immediately notify the Agency Representative in writing of any indication of underground oil seepage which may be attributed to a leaky underground hydraulic cylinder.

LIQUIDATED DAMAGES

If the Contractor fails to complete services in accordance with specifications or within the times specified herein or in the applicable Project Definition it is understood, and the Contractor hereby agrees that, because of the immeasurability of the damages the State would suffer because of such a breach the below provisions will determine the Contractor's liability therefore, not as a penalty, but as liquidated damages.

LIQUIDATED DAMAGES FOR FAILURE TO RESPOND TO CALLBACKS SERVICE

If the Contractor fails to timely respond to callback service as required in this RFP, the resultant contract, or any Project Definitions issued there under, deductions will be made, from the next monthly invoice(s), at a rate of \$100.00, per incident, to compensate the State for the loss of use of the elevator(s) and the inconvenience created thereby. Any additional costs incurred by the Authorized User as a result of contacting and acquiring the services of an alternate elevator maintenance company, due to the failure of the Contractor to timely respond to callback service, will also be deducted from the monthly invoice. The Agency Representative will notify the Contractor of failure to respond to a request for callback service and will deduct the appropriate withholding amount from the next monthly invoice(s).

LIQUIDATED DAMAGES FOR FAILURE TO MAINTAIN AND/OR PROVIDE SPARE PARTS

If the Contractor fails to provide any of the parts covered in this RFP, the resultant contract, or any Project Definitions issued there under within 24 hours of establishment of need for such parts, the Authorized User will deduct the daily rate from the monthly invoice for every day until the parts are received, to compensate the State for the loss of use of the elevator(s)/escalator(s) and the inconvenience created thereby. The daily rate shall be calculated by dividing the number of working days in the respective month into the monthly price and multiplying the result by a fraction, the numerator of which shall be the number of elevators, escalators or other equipment subject to diminution of use at the premises and the denominator of which shall be the number of elevators, escalators or other equipment at the premises covered by the contract. The Agency Representative will notify the Contractor of any failure to provide parts and will deduct the appropriate withholding amount from the next monthly invoice(s). For this purpose, parts shall be considered those parts needed for “normal wear and tear” or “small” parts. The Agency Representative shall make the final determination.

LIQUIDATED DAMAGES FOR FAILURE TO PROVIDE REQUIRED PREVENTATIVE MAINTENANCE

If the Contractor fails to timely complete required preventative maintenance, in accordance with this RFP, the resultant contract, the Contractor’s proposal and the applicable manufacturer’s preventative maintenance recommendations, the Authorized User will deduct two (2) times the daily rate from the monthly invoice, to compensate the State for the diminution of services, for each and every day until such time that the work is complete and accepted by the Agency Representative. The daily rate shall be calculated by dividing the number of working days in the respective month into the monthly price and multiplying the result by a fraction, the numerator of which shall be the number of elevators, escalators or other equipment subject to diminution of services at the premises and the denominator of which shall be the number of elevators, escalators or other equipment at the premises covered by the contract. The Agency Representative will notify the Contractor of any failure to provide required preventative maintenance and will deduct the appropriate withholding amount from the next monthly invoice(s).

LIQUIDATED DAMAGES FOR FAILURE TO COMPLETE MAINTENANCE DEFICIENCIES AS CITED BY THE STATE APPROVED ELEVATOR INSPECTOR.

If the Contractor fails to timely correct maintenance deficiencies as defined by the Authorized User’s Elevator Inspector/Inspection Report, by the sooner of the time periods set forth in the Authorized User’s Elevator Inspector/Inspection Report or 30 days from inspection, the Authorized User will deduct two (2) times the daily rate from the monthly invoice, to compensate the State for the diminution of services, for each and every day until such time that the work is complete and accepted by the Agency Representative. The daily rate shall be calculated by dividing the number of working days in the respective month into the monthly price and multiplying the result by a fraction, the numerator of which shall be the number of elevators, escalators or other equipment subject to diminution of services at the premises and the denominator of which shall be the number of elevators, escalators or other equipment at the premises covered by the contract. The Agency Representative will notify the Contractor of any failure to complete maintenance deficiencies and will deduct the appropriate withholding amount from the next monthly invoice(s).

LIQUIDATED DAMAGES FOR UNSCHEDULED ELEVATOR DOWN-TIME

Elevators/escalators can not experience unscheduled down-time of more than 72 Facility business operating hours per contract year per elevator/escalator unless the Contractor’s failure to place elevators/escalators back into service arises out of causes beyond the Contractor’s control and without the fault or negligence of the Contractor (i.e. acts of God, the public enemy, fires, floods, freight embargoes,

regulated utilities delays, etc.). If elevators/escalators are down longer than the acceptable amount of time specified above, the below formula will determine the Contractor's liability therefore, not as a penalty, but as liquidated damages.

The Contractor's liability for such liquidated damages shall be the product of three factors: (i) the yearly contract costs; times (ii) a fraction, the numerator of which shall be the number of elevators, escalators or other equipment subject to diminution of use at the premises and the denominator of which shall be the number of elevators, escalators or other equipment at the premises covered by the contract; times (iii) a fraction, the numerator of which shall be the number of days of unscheduled down time and the denominator of which shall be the number of days in the year excluding weekends, and New York state designated holidays. Down time of less than four hours shall not be charged against the Contractor; and down time of four hours or more shall be counted as a full day. "Yearly contract cost" as used shall mean the fixed maintenance cost payable by the Agency for the year in which said damages are sustained, including any escalations from prior years, but shall not include extra charges properly billed by the Contractor under this Agreement. If such damages occur in a period that is partly in one contract year and partly in another, the damages assessable in each such year shall be separately computed using the appropriate yearly contract cost for such each portion.

This liquidated damages clause shall be in addition to all other liquidated damages clauses in this Request for Proposal once elevators/escalators experience unscheduled down-time of more than 72 Facility business operating hours per year per elevator/escalator. Unscheduled down-time means the length of time that an elevator/escalator is out-of-service for reasons other than the down-time previously scheduled by the Contractor and agreed to by the Authorized User (e.g. time for tests or inspections). The length of time that an elevator/escalator is out-of-service shall be measured by the Authorized User; beginning at such time the Authorized User notifies the Contractor that the elevator is out-of-service or that an unsafe condition exists and ending at such time the elevator is safely placed back into service.

CONTRACTOR CLOSE-OUT INSPECTION (IF REQUIRED)

Sixty (60) days prior to the expiration of the Mini-bid contract, the Contractor and the Agency Representative, or designee, will make a complete examination of the elevators covered under the Mini-bid contract. The Contractor shall coordinate and schedule the examination with the Agency Representative. The Agency Representative shall determine if such an examination is warranted. The Agency Representative is advised to contact an independent Elevator Inspector if such an examination is warranted. The Agency Representative or designee, with the assistance of the State Elevator Inspector, will prepare an Existing Deficiency Report listing all deficiencies noted during the examination. The Contractor shall correct all deficiencies, as required by this contract, prior to the expiration of the Mini-bid contract.

SECTION III SPECIAL TERMS AND CONDITIONS

III.1 TERM OF CONTRACT

1. Contract awards made as a result of this RFP shall commence after approval by the New York State Comptroller, effective upon mailing by OGS (see Appendix B, Clause 38) and shall be in effect for five years. The Contract prospective commencement date is December 15, 2008.

2. Project definitions, which are developed during the term of this Backdrop Contract, may have their term extended over a period of time not to exceed three (3) years beyond the end date of the Backdrop Contract. This will allow any Authorized User utilizing this contract the ability to maximize the service offered by the Backdrop Contract.

III.2 PRICE ADJUSTMENTS

On each anniversary date of the awarded Backdrop Contract or the awarded Mini-bid, the Contractor or Authorized User may request a rate change (increase or decrease) in the maintenance contract price, which will consist of a combination of two price adjustments, one for Labor Cost and one for Material Cost. These price adjustments will be based upon fluctuations in the latest published copies of the Consumer Price Index for all urban consumers, and the index for Commodity Prices for Metals and Metal Products as published by the U.S. Department of Labor, Bureau of Labor Statistics, Washington, D.C. 20212. The indexes are also available through the Internet at the Bureau of Labor Statistics web site at <http://stats.bls.gov/>. **To find the Consumer Price Index for all urban consumers**, go to "Inflation and Prices" then click "Consumer Price Index" and then click on "CPI Tables" then click on "Table Containing History of CPI-U U.S. All Items Indexes and Annual % Changes 1913 to Present." **To find the index for Commodity Prices for Metals and Metal Products**, go to "Inflation and Pricing" then click "Producer Price Indexes" and then click on "PPI Tables" and then under "PPI Detailed Report Tables" click on "Table 6. Producer price indexes and percent changes for commodity groupings and individual items" and then find the index for Metals and Metal Products.

Labor Cost Adjustment

Eighty percent (80%) of the contract maintenance price will be deemed to constitute the cost of field labor and will be adjusted using the Consumer Price Index (CPI). Price adjustments using the CPI involve changing eighty percent (80%) of the contract maintenance price by the percent change in the level of the CPI between the reference period and a subsequent time period. This is calculated by first determining the index point change between the two periods and then the percent change. The price adjustment shall be calculated as follows. Take the CPI for the 3rd month prior to the month of the previous anniversary date of the Backdrop Contract or awarded Mini-bid and subtract this figure from the CPI value for the 3rd month prior to the month of the current anniversary date of the Backdrop Contract or awarded Mini-bid. (e.g.: If start date begins in December, use the September CPI) That sum is then divided by the CPI value for the 3rd month prior to the month of the previous anniversary date and this result is then multiplied by 100 to equal the percent change that is the price adjustment value. This percentage of increase or decrease shall be applied to eighty percent (80%) of the contract maintenance price and will be applied to the next Mini-bid contract year or Backdrop Contract, effective on the latter of the anniversary date or upon notification by OGS/PSG or the Authorized User (within 30 days after contractor request provided proper documentation is received). The following example illustrates the computation of the percent change and Labor Cost adjustment:

CPI for current period	136.0
Less CPI for previous period	129.9
Equals index point change	6.1
Divided by previous period CPI	129.9
Equals	0.047
Result multiplied by 100	0.047 x 100
Equals percent change	4.7

Eighty percent (80%) of the contract maintenance price is multiplied by the percent change in order to compute the change in the labor cost.

Material Cost Adjustment

Twenty percent (20%) of the contract price will be deemed to constitute the cost of materials and will be adjusted using the index for Commodity Prices for Metals and Metal Products. Price adjustments using the index for Commodity Prices for Metals and Metal Products involve changing twenty percent (20%) of the contract maintenance price by the percent change in the level of the index between the reference period and a subsequent time period. This is calculated by first determining the index point change between the two periods and then the percent change. The price adjustment shall be calculated as follows. Take the index for the 3rd month prior to the month of the previous anniversary date of the Backdrop Contract or awarded Mini-bid and subtract this figure from the index for the 3rd month prior to the month of the current anniversary date of the Backdrop Contract or awarded Mini-bid. That sum is then divided by the index for the 3rd month prior to the month of the previous anniversary date and this result is then multiplied by 100 to equal the percent change that is the price adjustment value. This percentage of increase or decrease shall be applied to twenty percent (20%) of the contract maintenance price and will be applied to the next Mini-bid contract year or Backdrop Contract, effective on the latter of the anniversary date or upon notification by OGS/PSG or the Authorized User (within 30 days after contractor request provided proper documentation is received). The following example illustrates the computation of the percent change and Material Cost adjustment:

Index for current period	136.0
Less index for previous period	129.9
Equals index point change	6.1
Divided by previous period index	129.9
Equals	0.047
Result multiplied by 100	0.047 x 100
Equals percent change	4.7

Twenty percent (20%) of the contract maintenance price is multiplied by the percent change in order to compute the change in the material cost.

The Contractor has the sole responsibility to submit invoices at the adjusted rate on the applicable anniversary date of the Mini-bid contract and shall provide a copy of the indexes and other supporting documentation necessary to support the increase or decrease to the Authorized User, as appropriate. Should the Contractor fail to submit adjusted invoices and supporting documentation to the Authorized User with respect to the Mini-bid contract or to submit supporting documentation to OGS/PSG with

respect to the Backdrop contract within three months after the applicable anniversary date, the Contractor shall be deemed to have waived its right to any increase in price for that year, 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. Adjustments take effect upon notification by OGS/PSG or the Authorized User.

NOTE: All awarded Mini-bids shall be entered into at prices not exceeding the then current maximum not to exceed prices in the Backdrop Contract, and may be adjusted on the anniversary date of the awarded Mini-bid in like manner as shown above.

III.3 NYS Department of Labor Prevailing Wage Rates

Prevailing wage rate as part of the requirements of Article 8 and Article 9 of the New York State Labor Law, requires public work Contractors and subcontractors to pay laborers, workers or mechanics employed in the performance of a public work contract not less than the prevailing rate of wage and to provide supplements (fringe benefits) in accordance with prevailing practices in the locality where the work is performed.

Work being bid is subject to the prevailing wage rate provisions of New York State Labor Law Article 8. See "Prevailing Wage Rates - Public Works and Building Services Contracts" in Appendix B, OGS General Specifications. Any federal or State determination of a violation of any public works law or regulation, or 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.

Please note, contractors that provide service to New York City (NYC) agencies shall pay their employees the greater of the two following wage rates: the NYC prevailing wage rate for the title of "A Elevator Repair/Modernization Mechanic", as listed in the then most current prevailing wage schedule issued by the NYC Bureau of Labor Law or the NYC prevailing wage rate for the title of "Elevator Constructor - Modernization and Service", as listed in the then most current prevailing wage schedule issued by the NYS Department of Labor. Additionally, other municipalities have enacted Living Wage rates which may be applicable to one or more Authorized Users utilizing this contract. **Contractors are required to be familiar with the applicable Living Wage rate requirements throughout the state and to pay its employees accordingly.**

III.4 ADMINISTRATIVE AND REPORTING REQUIREMENTS

A. Contract Meetings:

1. The Contractor will be responsible for the completion of a variety of administrative and reporting requirements, and the cost of same will be included in the base bid price.
2. Upon award of a Mini-bid contract and prior to the start of any work, the Contractor shall be available for an initial job meeting with the user agency representative. This meeting shall include:
 - a. The Contractor's submission of a schedule of work to be reviewed and approved by the user agency.
 - b. A review of all agency facility use rules.
 - c. An introduction for each respective agency organization, chain of command, etc.
3. Unless otherwise directed by the Authorized User, there shall be monthly job meetings for the following purposes:

- a. Review job progress, quality of work, and approval and delivery of materials.
- b. Identify and resolve problems that impede planned progress.
- c. Coordinate the efforts of all concerned so that the contract progresses on schedule to on-time completion.
- d. Maintain a sound working relationship between the Contractor and the user agency, and a mutual understanding of the contract.
- e. Maintain sound working procedures.

B. Reporting Requirements:

1. Contractor shall furnish semi-annual reports of User Agency Usage on forms provided as an attachment to this document (Attachment No. 3). They should be submitted to the Office of General Services, Procurement Services Group, Corning Tower, 38th Floor, Empire State Plaza, Albany, NY 12242, no later than the 15th of the month following the close of each six-month period. Failure to submit the required reports may be cause for disqualification of a bidder for future contracts.

III.5 APPENDICES

The bidder's attention is directed to the appendices document attached hereto and hereby incorporated by reference and made part hereof as fully as if it were set forth at length herein. The appendices are a part of the contract and the bidder is responsible for adhering to all requirements of the appendices.

III.6 PERFORMANCE SURVEYS

Contractors shall be required to attach performance surveys to Authorized User invoices every six months, or as requested by the Office of General Services. The form for the Performance Survey is attached herein. Surveys completed and returned by the Authorized User to the Office of General Services, shall be used to assess and evaluate the contractor's performance in accordance with the terms and conditions of the Contractor's award. Performance concerns, if any, shall be addressed by the Authorized User and/or the Procurement Services Group and survey results may be considered in determining Contractor responsibility and continuation of Contractor's award.

III.7 PRICE STABILITY

If for any reason, during the term of the contract, the vendor reduces the pricing for similar services to a similarly situated entity, the State shall receive an equivalent reduction in pricing for the services or products delivered to the State.

III.8 EXTRANEOUS TERMS

Any deviation from the terms and conditions of this RFP will not be considered unless specifically referred to in a separate letter submitted with the bid and titled "Extraneous Terms".

All extraneous terms submitted will be reviewed and negotiated with OGS Counsel's Office as appropriate.

SECTION IV USE OF CONTRACT BY STATE AGENCIES, POLITICAL SUBDIVISIONS AND OTHER AUTHORIZED USERS

The intent of this section is to acquaint prospective Contractors with the procedures and methods User Agencies will follow in order to utilize the service of this contract.

IV.1 GENERAL DESCRIPTION CONTRACTS

The OGS Services and Technology Group develops four (4) types of contracts for use by State agencies, Local Governments, and other authorized users. They are designated by the prefixes "PS", "PT", "CMS" or "CMU". The "CMU" contract type was chosen for this service and is described below:

"CMU": is a contract for services where there is a generally fixed rate paid each month and the service is required on a continual basis. User Agencies encumber funds for the contract for the term desired. User Agencies may issue a purchase order or other written document to the contractor to utilize service. Examples include elevator maintenance, pest control, janitorial, and other types of preventive maintenance contracts.

IV.2 USE OF CONTRACT BY OTHERS

With the written authorization of the Commissioner of General Services, political subdivisions and others authorized by law may participate in contracts resulting from this bid opening.

Upon request, all eligible non-State agencies shall furnish Contractors with the proper tax exemption certificates.

Section 163(4)(e) of the Procurement Act of 1995 effective as of July 20, 1995 authorizes the use of centralized contracts for services (including technology) by political subdivisions as defined in section one hundred of the general municipal law or a district therein, and by any public authority or public benefit corporation including the Port Authority of New York and New Jersey. Contractors are encouraged to voluntarily extend service contracts to those additional entities authorized to utilize commodity contracts under Section 163(3)(iv) of the Procurement Act of 1995, which would comprise all entities authorized under prior laws. A technical amendment to the law is being considered to remedy this situation. Upon legislative approval of the technical amendment, Contractors will be obligated to extend service contracts to these other entities.

IV.3 PROCUREMENT INSTRUCTIONS

- A. Agencies will review the list of locations to determine what region is applicable for the required service.
- B. Agencies will review the list of rates and services available in the applicable region from the Contract Award Notification. If a multiple award contract and unless otherwise specified, the user agencies are required to utilize the services of the lowest bidder first whenever possible by use of the mini-bid. **Mini-bid** shall refer to the bidding of each project definition since it is a smaller, simpler form of bidding and does not need to duplicate this RFP.
- C. Agencies will fax or mail the eligible contractors in their region a copy of the project definition. **Contractors who wish to bid on the project definition shall meet the mandatory site visit requirement.**
- D. Contractor shall develop a bid and submit it to the User Agency by the appropriate date.

- E. Agencies will issue encumbrance documents or other written orders that are effective and binding on the Contractor when placed in the mail addressed to the Contractor at the address shown on the signature page.

M/WBE UTILIZATION GOAL REQUIREMENTS IN THE MINI-BID

In accordance with Article 15-A of the New York State Executive Law and regulations adopted pursuant thereto, a State Agency [as defined in New York State Executive Law §310(11)] may establish separate goals for participation of New York State Certified minority and women-owned business enterprises, at the time of the Mini-bid, if the Mini-bid will result in a State contract (1) in excess of \$25,000 for labor, services, equipment, materials, or any combination of the foregoing or (2) in excess of \$100,000 for real property renovations and construction. As a condition of Award of the Back-drop Contract, the contractor agrees to be bound by the State Agency's implementation of the provisions of Article 15-A of the New York State Executive Law. For further guidance, please refer to the Mini-Bid Template documents contained herein.

IV.4 METHOD OF PAYMENT

Invoices for payment shall be submitted to the user Agency at the end of each month on a New York State Standard Voucher or company invoice for services satisfactorily completed during that month.

This invoice will contain the Contract ID number (*i.e.*: *CMU00XX*); the name of the User Agency; the location where service was performed; and, either in its body or as an attachment, will contain a copy of the report (in accordance with **the reporting requirements specified on page 20**) itemizing work completed during that month.

Payment of purchases made by authorized entities other than State Agencies under this agreement shall be the sole responsibility of such entities and the Contractor shall bill such entities directly on vouchers authorized by the said entities.

In the event a participating non-State Agency fails to make payment to the Contractor for services rendered and accepted, within 60 days of such delivery and acceptance, the Contractor may, upon 10 days advance written notice to both the Procurement Services Group and the non-State Agency representative, suspend additional delivery of service to the particular non-State Agency whose payment is late, until such time as reasonable arrangements have been made and assurances given by the said non-State Agency for current and future contract payments.

SECTION V ADMINISTRATIVE

V.1 PROPOSALS

All proposals will be received with the understanding that the acceptance in writing by OGS with the approval of the Office of the State Comptroller with communication to the contractor as per section 38 of Appendix B will constitute a contract between the Bidder and the State. All proposals and accompanying documentation will become the property of the State of New York and will not be returned. The successful bidder's proposal and a copy of the specification will be made part of the contract. Therefore, an official authorized to commit the company to a contract shall sign the proposal.

FACSIMILE AND ELECTRONIC PROPOSALS OR BID RESPONSES WILL NOT BE ACCEPTED FOR THIS BID OPENING.

Detailed information on content of proposals is found in Section **II, TECHNICAL REQUIREMENTS**. The specific guidelines for the format are contained in Section **VI, PROPOSAL CONTENT AND FORMAT**.

V.2 SUBMISSION OF SEALED PROPOSALS

Complete proposals are to be packaged, sealed and submitted to OGS Procurement Services Group (PSG) at the site stated in Section I.3. The date and time are shown in Section I.4. A list of the vendors that submitted proposals is available on request.

If you have been provided with a return envelope as part of the RFP package, use the envelope or tape it onto the outside of the sealed box or package with your bid inside.

If a return envelope was not provided, all bids shall have a label on the outside of the box or package itemizing the following information:

- BID ENCLOSED** (preferably bold, large print, all capital letters)
- Bid number
- Bid submission date and time

If using a commercial delivery company (i.e., Airborne Express, Federal Express, etc.), which requires that you use their shipping package or envelope, your bid should be placed within a second sealed envelope labeled as detailed above. This will ensure that your bid/proposal is not prematurely opened.

Vendors using commercial delivery companies are encouraged to ship early. If one of these companies is late delivering a bid, the bid will be considered late. There will be no exceptions.

SECTION VI. PROPOSAL FORMAT AND CONTENT

FORMAT AND CONTENT OF BID SUBMITTAL

Bidder **SHALL** supply **TWO COMPLETE ORIGINAL** bid packages and include all items listed below and use the following format for their bid submission. Bids are to be submitted in binders with each item listed below as a separate section marked with index tabs as section dividers.

PLEASE USE BLACK INK OR TYPEWRITER WHEN PREPARING YOUR BID. BIDS SUBMITTED HAND WRITTEN IN PENCIL WILL BE DISQUALIFIED

VI.1. OVERVIEW

The rules established for proposal content and format will be rigidly enforced. Variations from the rules prescribed herein may subject the bidder to outright disqualification. It is in the best interests of the bidder to become familiar with the constraints imposed on its proposal so that the evaluation process can proceed in a timely manner.

The Issuing Office prefers that the bids not be hand written, but this is not mandatory as long as the bidder uses ink or an indelible pen.

VI.2 SUBMISSION OF SEALED PROPOSALS

Proposals shall be in sealed packages and submitted so as to be received at the time and date specified in the Key Events/Dates Section I.4.

VI.3 GENERAL PROPOSAL APPEARANCE

1. **BINDING OF THE PROPOSALS**

Bidders will submit proposals so that update pages can be easily incorporated into the originals (a loose leaf, three ring binder works well). The official name of the firm submitting the proposal shall appear on the outside front cover of each binder.

2. **TABLE OF CONTENTS**

Each proposal shall incorporate a Table of Contents that shall follow the outline in paragraph VI.4 below. It is through this Table of Contents that PSG will evaluate conformance to uniform proposal content and format.

3. INDEX TABS

Each proposal shall have each major section (Section I, Section II, etc.) of the proposal identified with index tabs to identify the major sections of the proposal as they are named in the Table of Contents.

4. PAGE NUMBERING

Each proposal shall be numbered consecutively from the beginning of the proposal, Executive Summary, through all appended material.

VI.4 GENERAL PROPOSAL CONTENT

The RFP submitted by the contractor shall include, but is not necessarily limited to the items of information requested below. Prospective contractors are advised, since the bid is judged on its technical merit, as well as price, that it is in the contractor's own interest to provide a complete and detailed proposal. Each proposal shall follow the format outlined in Sections **[VI.3.1 through VI.3.4]**. Each item numbered below shall form a separate section as outlined in Section **[VI.3.3]** and shall be referenced in the Table of Contents for easy reference.

The Contractor shall submit with its bid:

1. **Title Page**

It should include the name, address and phone number of the Contractor, including contact person and name(s) of the person(s) who prepared the proposal.

2. **Table of Contents**

3. **Executive Summary**

Requires a brief description and history of the company and a history of the company's involvement with maintenance of elevators, escalator and/or dumbwaiters.

4. **Qualifications Description**

Describe how the company meets the qualifications outlined in section **[I.6]** of this proposal. Include resumes of technicians where appropriate.

5. **Organization and Staffing**

- a. Provide a profile of the Contractor's firm including information on whether the company is local, regional or national in coverage. Identify each office location within the state maintained by Contractor. This section shall indicate the length of time in business. Include an organizational chart utilized.

- b. Include resumes of all key personnel (including sub-contractors or sub-consultants). Identify the project manager who will be responsible for communicating with the User Agency. If more than one, identify all project managers.
- c. Provide a management plan that identifies and describes the following items:
 1. How will the effort be planned, directed and controlled.
 2. Arrangements for, and coordination of, any sub-Contractors, consultants, team arrangements or joint ventures.
 3. How personnel will be phased into the effort.
 4. The anticipated relationship of User Agency management and staff to the Contractor including an explanation of what User Agency staff may be utilized to do and how overall coordination between the user agency and the Contractor will occur.

6. **Experience**

Describe company's experience with elevator maintenance.

7. **Miscellaneous**

Under this section, the proposal should include:

Completed Cost Proposal Form, Signature Page (with address, Fed. ID No., etc.).

Acknowledgment Form which is notarized.

Completed MacBride Fair Employment Principles form.

Vendor's Questionnaire.

8. **References:**

Submit at least five (5) references where similar work was performed indicating reference contact name, title, address, email and phone number (please see Attachment No. 5 "Reference Form").

VI.5 COST PROPOSAL CONTENT

FULL SERVICE MAINTENANCE AND REPAIRS

The contractor shall provide a price for the performance of elevator maintenance at a typical office building. This price will be used as a benchmark price against which all Agency project definitions bid will be compared to ensure that the benchmark price is not exceeded. This price will be evaluated in this RFP only on the basis of reasonableness. Later, when the project definitions are bid, a contract will be awarded to the lowest bidder provided that the lowest bid does not exceed the benchmark price in this RFP.

NOTE: Prospective contractors should note that the price is for informational purposes to assist in evaluating the quality of the bid proposal. This is not a competitive bid price! It is a ceiling price for the base contract. Later, project descriptions will request specific figures for a detailed project. However, such detailed project definition bids cannot exceed the ceiling prices bid on a prorated basis.

TIME AND MATERIALS (FOR REPAIRS NOT COVERED UNDER CONTRACT)

The Contractor shall provide a percent markup rate, offered, over the then-current prevailing wage rates, including supplemental benefits, for Mechanics and Helpers. The rate bid shall be equal to or exceed the current New York State prevailing wage rate or the Living Wage rate for the applicable county, whichever is higher. The prevailing wage rates will be the current rates listed for the date the work is performed in the county the work is completed. In addition, the contractor shall provide a percent markup rate, offered, over the cost of materials.

VI.6 COST AND CONTRACT SUBMITTAL

The contractor shall submit all cost information requested on the BID PROPOSAL FORM along with any conditions or clarifications supplied by the contractor.

SECTION VII. PROPOSAL EVALUATION CRITERIA /METHOD OF AWARD

VII.1 General

There are two Method of Award criteria that apply. One is for this RFP which seeks to qualify and award Backdrop contracts, on a per Region basis, to all qualified vendors. The other is the award of the Agency project definitions at the time of the mini-bids. The primary difference between the two is the emphasis on cost. The RFP Backdrop contract award emphasizes a bidder's qualifications and establishes not to exceed prices. The Agency project definition assumes all contractors are qualified and the lowest bid in the mini-bid is paramount. Prospective contractors should pay special attention to this section.

Bids for this RFP will be evaluated based on the technical criteria described below. Technical considerations are of greater importance than cost considerations in the evaluation of this RFP. The approach will generally be to evaluate all bids based upon the Technical Submittal first. Then, among those that are acceptable, contracts will be awarded to all qualified vendors. Later, during the mini-bid of a project definition, cost will become the sole criteria since competition is limited to only those firms that are qualified by this proposal. Where technical and cost factors are equally competitive, programmatic considerations will then impact the final determination. Technical submittals will be pass/fail based on the information required under section [VI.D&E] in accordance with the criteria set forth below.

VII.2 Technical Submittal

The technical proposal will be evaluated on a pass/fail basis. The major evaluation criteria are listed below. Any contractor whose proposal is deemed not acceptable may obtain a written explanation by contacting the issuing office (refer to Section I.3).

1. **Qualifications and Experience:**
 - a. Quality, extent and relevance of contractor's experience with contracts of a similar scope to that of this RFP, (including any sub-contractors) involving maintenance, service, repair and replacement of materials and equipment for elevators, escalators and/or dumbwaiters.
 - b. Quality, extent and relevance of experience, education and training of key personnel (including sub-contractors) in elevator, escalator and dumbwaiter maintenance. .
2. **Organization, Staffing and Management Plan:**
 - a. Quality of project organization and management plan; extent to which they will provide for successful, timely and fully compliant program implementation as evidenced by the general plan and quality of reporting forms, record keeping and methodologies.
 - b. Completeness of information regarding organization and extent to which it complies with desired objectives and qualifications stated in the RFP.

VII.3 Cost Evaluation for the RFP

The cost proposal of this RFP will not be scored as Bidder's submitted prices shall solely be used to establish not to exceed rates.

VII.4 Cost Evaluation for the Agency Project Definition

This section applies after the initial RFP has been completed and contracts awarded to all qualified firms. These award criteria will apply to the Agency project definitions during the mini-bid. In this section, contract refers to the contract resulting from the mini-bid.

A Contract will be awarded to the **responsible low bidder** for all of the work specified herein on an evaluated basis. The Contractor is to provide a fixed price for full service maintenance work on the elevators to include all per diem expenses, testing, adjustments, repairs, lubrication, etc. In addition, the Contractor will provide the State a "time and materials" cost for any repairs not covered by Section - II.4 Statement of Work, under "Minimum Preventive Maintenance Requirements". Since this is a full service contract as specified herein, such repairs would be limited to vandalism, fire, acts of God, negligence by the State, or other unusual circumstances. The time and materials portion of the bid shall be computed as follows: for the time charge, multiply the percent markup over the current prevailing wage rate at the time of the bid by the estimated number of hours that will be required; and, for the materials charge, multiply the percent markup over the Contractors cost for parts and materials by the estimated total dollar value of materials and parts that may be required. **These are estimated figures only and the Contractor will be paid only for the actual time or materials that are utilized, whether more or less than the estimated amounts.** Please note, whenever possible, Contract Users should estimate the number of labor hours used and the dollar amounts for materials spent on repairs that are not covered by the contract. These estimates should be based on repair expenditures from prior years for vandalism, fire, acts of God, negligence by the State, or other unusual circumstances. If these figures can not be estimated, then the estimates in the below example should be used (i.e. 50 hours for labor and \$1,000.00 for material).

An example of bid evaluation follows:

Contractor "A"

a) Annual cost for maintenance	\$80,000.00
b) Prevailing wage is \$54.60/hour x mark up 50% x estimated 50 hours	\$4,095.00
c) Material markup 25% x estimated \$1,000.00	\$1,250.00
TOTAL BID	\$85,345.00

Contractor "B"

a) Annual cost for maintenance	\$84,000.00
b) Prevailing wage is \$54.60/hour x mark up 40% x estimated 50 hours	\$3,822.00
c) Material markup 20% x estimate \$1,000.00	\$1,200.00
TOTAL BID	\$89,022.00

Therefore, on the basis of the computations used, Contractor "A" is the low bidder even though the prevailing wage markup and material markup were higher than that of Contractor "B".

Please note that the actual prevailing wage paid will be the then current wage at the time the work is performed. At the time a bid or any subsequent price quote for work is submitted by Contractors, Contractors must submit to Authorized Users, a prevailing wage Schedule for the County the work is to be performed in.

The labor cost quotes will be considered straight time costs for work accomplished during a single shift of not more than eight (8) hours, Mondays through Fridays, excluding all State holidays. Any work performed for more than eight (8) hours in a single shift or at times other than Mondays through Fridays is considered to be overtime and would be allowed only when approved by the Agency Representative. The rates paid to the Contractor would be 1.5 times the rate bid for Saturday's or time over an eight (8) hour single shift on Monday through Friday, and double times the rate bid for Sundays and Holidays. In lieu of the above, the State will pay the appropriate overtime rate the contractor is paying a specific employee (due to labor laws or union rules regarding Sundays & Holidays and accumulated hours worked in a specific time period). Proof of such overtime payment shall be furnished to the agency in the form of a copy of that employees pay stub.

On any repairs not covered by Section - II.4 Statement of Work, under "Minimum Preventive Maintenance Requirements", the State retains the right to have such repairs completed as deemed to be in the State's best interest whether it is by utilizing the time or material rates bid herein, by utilizing in-house personnel, or by separate bid.

VENDOR RESPONSIBILITY QUESTIONNAIRE

BIDDERS PLEASE ANSWER THE FOLLOWING QUESTIONS:

- 1. Are you a New York State resident business: _____ YES _____ NO

- 2. Total number of people employed by your firm: _____

- 3. Total number of people employed by your firm in New York State: _____

- 4. Is your company independently owned and operated: _____ YES _____ NO

- 5. Is your firm at least 51% owned and controlled by women, or 51% owned and controlled by minority group members (i.e., Black, Hispanic, Asian, Pacific Islander, American Indian, Alaskan Native)?
_____ YES _____ NO
 MINORITY-OWNED FIRM
 WOMEN-OWNED FIRM

- If yes, have you been certified or registered? _____ YES _____ NO

- List certification or registration authority: _____

- 6. Vendor Responsibility: Within the past five years has your firm, any affiliate, any predecessor company or entity, owner, director, officer, partner or proprietor been the subject of:
 - A. an indictment, judgment, conviction, or a grant of immunity, including pending actions, for any business-related conduct constituting a crime under local, state or federal law? _____ YES _____ NO

 - B. a federal, state, or local government suspension or debarment, rejection of any bid or disapproval of any proposed subcontract, including pending actions, for lack of responsibility, denial or revocation of prequalification or a voluntary exclusion agreement. _____ YES _____ NO

 - C. any federal or state determination of a violation of any public works law or regulation, or labor law or regulation, or any OSHA violation deemed "serious or willful?" _____ YES _____ NO

 - D. a consent order with NYS Department of Environmental Conservation or a federal or state enforcement determination involving a construction-related violation of federal or state environmental laws? _____ YES _____ NO

**USEFUL INFORMATION FOR SERVICE PROVIDERS MAY BE ACCESSED
AT OUR WEB ADDRESS:
*<http://www.ogs.ny.gov>***

CONTRACT NO. _____

(To be completed by Agency)

New York State
Office of General Services
Procurement Services Group
Corning Tower – 38th Floor
The Governor Nelson A. Rockefeller
Empire State Plaza
Albany, New York 12242

**COST PROPOSAL FORM
FOR
ELEVATOR /ESCALATOR/ DUMBWAITER
MAINTENANCE SERVICE**

NOTE: Two (2) Originals of the Cost Proposal Form shall be completed and signed with original signatures.

Name of Bidder: _____

- NOTE:**
- a. Bid Proposal shall be completed and signed.**
 - b. Complete all bids with black ink or typewriter.**
 - c. Bidders may offer prices for one, or multiple bid regions.**

Region No. 1 (Long Island--Nassau and Suffolk Counties)

Maximum not-to-exceed price for full service maintenance for any and all building models as described below (please see - VI.5 COST PROPOSAL CONTENT).

<u>Building Model</u>	<u>Description</u>	<u>Bid Price Per Month</u>	<u>Ten Years Experience With Supervisory Control Systems</u>	
A	Gearless traction elevator over ten stories	\$_____	Yes___	No ___
B	Gearless traction elevator under ten stories	\$_____	Yes___	No ___
C	Geared traction elevator over ten stories	\$_____	Yes___	No ___
D	Geared traction elevator under ten stories	\$_____	Yes___	No ___
E	Hydraulic elevator	\$_____	Yes___	No ___
F	Escalator	\$_____		
G	Dumbwaiter	\$_____	Yes___	No ___

Repairs that are not covered by Section - II.4 Statement of Work, under “Minimum Preventive Maintenance Requirements”:

Percentage Bid over Prevailing Wage (NYS or Living Wage) Rate for Mechanic and Helper: _____%
 Percentage Bid over Cost of Materials: _____%

Region No. 2: (New York City—Bronx, Kings, New York, Queens, and Richmond Counties)

Maximum not-to-exceed price for full service maintenance for any and all building models as described below

<u>Building Model</u>	<u>Description</u>	<u>Bid Price Per Month</u>	<u>Ten Years Experience With Supervisory Control Systems</u>	
A	Gearless traction elevator over ten stories	\$_____	Yes___	No ___
B	Gearless traction elevator under ten stories	\$_____	Yes___	No ___
C	Geared traction elevator over ten stories	\$_____	Yes___	No ___
D	Geared traction elevator under ten stories	\$_____	Yes___	No ___
E	Hydraulic elevator	\$_____	Yes___	No ___
F	Escalator	\$_____		
G	Dumbwaiter	\$_____	Yes___	No ___

Repairs that are not covered by Section - II.4 Statement of Work, under “Minimum Preventive Maintenance Requirements”:

Percentage Bid over Prevailing Wage (NYS or Living Wage) Rate for Mechanic and Helper: _____%
 Percentage Bid over Cost of Materials: _____%

Region No. 3: (Orange, Putnam, Rockland & Westchester Co.)

Maximum not-to-exceed price for full service maintenance for any and all building models as described below

<u>Building Model</u>	<u>Description</u>	<u>Bid Price Per Month</u>	<u>Ten Years Experience With Supervisory Control Systems</u>	
A	Gearless traction elevator over ten stories	\$ _____	Yes ___	No ___
B	Gearless traction elevator under ten stories	\$ _____	Yes ___	No ___
C	Geared traction elevator over ten stories	\$ _____	Yes ___	No ___
D	Geared traction elevator under ten stories	\$ _____	Yes ___	No ___
E	Hydraulic elevator	\$ _____	Yes ___	No ___
F	Escalator	\$ _____		
G	Dumbwaiter	\$ _____	Yes ___	No ___

Repairs that are not covered by Section - II.4 Statement of Work, under “Minimum Preventive Maintenance Requirements”:

Percentage Bid over Prevailing Wage (NYS or Living Wage) Rate for Mechanic and Helper: _____ %
 Percentage Bid over Cost of Materials: _____ %

Region No. 4: (Dutchess, Sullivan & Ulster Co.)

Maximum not-to-exceed price for full service maintenance for any and all building models as described below

<u>Building Model</u>	<u>Description</u>	<u>Bid Price Per Month</u>	<u>Ten Years Experience With Supervisory Control Systems</u>	
A	Gearless traction elevator over ten stories	\$ _____	Yes ___	No ___
B	Gearless traction elevator under ten stories	\$ _____	Yes ___	No ___
C	Geared traction elevator over ten stories	\$ _____	Yes ___	No ___
D	Geared traction elevator under ten stories	\$ _____	Yes ___	No ___
E	Hydraulic elevator	\$ _____	Yes ___	No ___
F	Escalator	\$ _____		
G	Dumbwaiter	\$ _____	Yes ___	No ___

Repairs that are not covered by Section - II.4 Statement of Work, under “Minimum Preventive Maintenance Requirements”:

Percentage Bid over Prevailing Wage (NYS or Living Wage) Rate for Mechanic and Helper: _____ %
 Percentage Bid over Cost of Materials: _____ %

Region No. 5: (Albany, Columbia, Greene, Rensselaer, Saratoga, Schenectady & Schoharie Co.)

Maximum not-to-exceed price for full service maintenance for any and all building models as described below

<u>Building Model</u>	<u>Description</u>	<u>Bid Price Per Month</u>	<u>Ten Years Experience With Supervisory Control Systems</u>	
A	Gearless traction elevator over ten stories	\$ _____	Yes ___	No ___
B	Gearless traction elevator under ten stories	\$ _____	Yes ___	No ___
C	Geared traction elevator over ten stories	\$ _____	Yes ___	No ___
D	Geared traction elevator under ten stories	\$ _____	Yes ___	No ___
E	Hydraulic elevator	\$ _____	Yes ___	No ___
F	Escalator	\$ _____		
G	Dumbwaiter	\$ _____	Yes ___	No ___

Repairs that are not covered by Section - II.4 Statement of Work, under “Minimum Preventive Maintenance Requirements”:

Percentage Bid over Prevailing Wage (NYS or Living Wage) Rate for Mechanic and Helper: _____ %
 Percentage Bid over Cost of Materials: _____ %

Region No. 6: (Clinton, Essex, Warren & Washington Co.)

Maximum not-to-exceed price for full service maintenance for any and all building models as described below

<u>Building Model</u>	<u>Description</u>	<u>Bid Price Per Month</u>	<u>Ten Years Experience With Supervisory Control Systems</u>	
A	Gearless traction elevator over ten stories	\$ _____	Yes ___	No ___
B	Gearless traction elevator under ten stories	\$ _____	Yes ___	No ___
C	Geared traction elevator over ten stories	\$ _____	Yes ___	No ___
D	Geared traction elevator under ten stories	\$ _____	Yes ___	No ___
E	Hydraulic elevator	\$ _____	Yes ___	No ___
F	Escalator	\$ _____		
G	Dumbwaiter	\$ _____	Yes ___	No ___

Repairs that are not covered by Section - II.4 Statement of Work, under “Minimum Preventive Maintenance Requirements”:

Percentage Bid over Prevailing Wage (NYS or Living Wage) Rate for Mechanic and Helper: _____ %
 Percentage Bid over Cost of Materials: _____ %

Region No. 7: (Franklin, Fulton, Hamilton, Herkimer, Lewis, Madison, Montgomery, Oneida & St. Lawrence Co.)

Maximum not-to-exceed price for full service maintenance for any and all building models as described below

<u>Building Model</u>	<u>Description</u>	<u>Bid Price Per Month</u>	<u>Ten Years Experience With Supervisory Control Systems</u>	
A	Gearless traction elevator over ten stories	\$ _____	Yes___	No ___
B	Gearless traction elevator under ten stories	\$ _____	Yes___	No ___
C	Geared traction elevator over ten stories	\$ _____	Yes___	No ___
D	Geared traction elevator under ten stories	\$ _____	Yes___	No ___
E	Hydraulic elevator	\$ _____	Yes___	No ___
F	Escalator	\$ _____		
G	Dumbwaiter	\$ _____	Yes___	No ___

Repairs that are not covered by Section - II.4 Statement of Work, under “Minimum Preventive Maintenance Requirements”:

Percentage Bid over Prevailing Wage (NYS or Living Wage) Rate for Mechanic and Helper: _____ %
 Percentage Bid over Cost of Materials: _____ %

Region No. 8: (Cayuga, Cortland, Jefferson, Onondaga & Oswego Co.)

Maximum not-to-exceed price for full service maintenance for any and all building models as described below

<u>Building Model</u>	<u>Description</u>	<u>Bid Price Per Month</u>	<u>Ten Years Experience With Supervisory Control Systems</u>	
A	Gearless traction elevator over ten stories	\$ _____	Yes___	No ___
B	Gearless traction elevator under ten stories	\$ _____	Yes___	No ___
C	Geared traction elevator over ten stories	\$ _____	Yes___	No ___
D	Geared traction elevator under ten stories	\$ _____	Yes___	No ___
E	Hydraulic elevator	\$ _____	Yes___	No ___
F	Escalator	\$ _____		
G	Dumbwaiter	\$ _____	Yes___	No ___

Repairs that are not covered by Section - II.4 Statement of Work, under “Minimum Preventive Maintenance Requirements”:

Percentage Bid over Prevailing Wage (NYS or Living Wage) Rate for Mechanic and Helper: _____ %
 Percentage Bid over Cost of Materials: _____ %

Region No. 9: (Broome, Chemung, Chenango, Delaware, Otsego, Schuyler, Steuben, Tioga, & Tompkins Co.)

Maximum not-to-exceed price for full service maintenance for any and all building models as described below

<u>Building Model</u>	<u>Description</u>	<u>Bid Price Per Month</u>	<u>Ten Years Experience With Supervisory Control Systems</u>	
A	Gearless traction elevator over ten stories	\$ _____	Yes ___	No ___
B	Gearless traction elevator under ten stories	\$ _____	Yes ___	No ___
C	Geared traction elevator over ten stories	\$ _____	Yes ___	No ___
D	Geared traction elevator under ten stories	\$ _____	Yes ___	No ___
E	Hydraulic elevator	\$ _____	Yes ___	No ___
F	Escalator	\$ _____		
G	Dumbwaiter	\$ _____	Yes ___	No ___

Repairs that are not covered by Section - II.4 Statement of Work, under “Minimum Preventive Maintenance Requirements”:

Percentage Bid over Prevailing Wage (NYS or Living Wage) Rate for Mechanic and Helper: _____ %
 Percentage Bid over Cost of Materials: _____ %

Region No. 10: (Genesee, Livingston, Monroe, Ontario, Orleans, Seneca, Wayne, Wyoming and Yates Co.)

Maximum not-to-exceed price for full service maintenance for any and all building models as described below

<u>Building Model</u>	<u>Description</u>	<u>Bid Price Per Month</u>	<u>Ten Years Experience With Supervisory Control Systems</u>	
A	Gearless traction elevator over ten stories	\$ _____	Yes ___	No ___
B	Gearless traction elevator under ten stories	\$ _____	Yes ___	No ___
C	Geared traction elevator over ten stories	\$ _____	Yes ___	No ___
D	Geared traction elevator under ten stories	\$ _____	Yes ___	No ___
E	Hydraulic elevator	\$ _____	Yes ___	No ___
F	Escalator	\$ _____		
G	Dumbwaiter	\$ _____	Yes ___	No ___

Repairs that are not covered by Section - II.4 Statement of Work, under “Minimum Preventive Maintenance Requirements”:

Percentage Bid over Prevailing Wage (NYS or Living Wage) Rate for Mechanic and Helper: _____ %
 Percentage Bid over Cost of Materials: _____ %

Region No. 11: (Alleghany, Cattaraugus, Chautauqua, Erie & Niagara Co.)

Maximum not-to-exceed price for full service maintenance for any and all building models as described below

<u>Building Model</u>	<u>Description</u>	<u>Bid Price Per Month</u>	<u>Ten Years Experience With Supervisory Control Systems</u>	
A	Gearless traction elevator over ten stories	\$_____	Yes___	No ___
B	Gearless traction elevator under ten stories	\$_____	Yes___	No ___
C	Geared traction elevator over ten stories	\$_____	Yes___	No ___
D	Geared traction elevator under ten stories	\$_____	Yes___	No ___
E	Hydraulic elevator	\$_____	Yes___	No ___
F	Escalator	\$_____		
G	Dumbwaiter	\$_____	Yes___	No ___

Repairs that are not covered by Section - II.4 Statement of Work, under “Minimum Preventive Maintenance Requirements”:

Percentage Bid over Prevailing Wage (NYS or Living Wage) Rate for Mechanic and Helper: _____%

Percentage Bid over Cost of Materials: _____%

All prices offered in this solicitation would be the maximum allowed on any Agency Project Definitions subsequently offered for bid.

Documentation of Bidder Qualification under “Experience” (Section I.6 a.):

Firm Name: _____ Contact Person: _____ Tel. _____

Equipment Manufacturer /Type: _____

Equipment Capacity: _____ Control System Type: _____

Service:Length: _____

Firm Name: _____ Contact Person: _____ Tel. _____

Equipment Manufacturer /Type: _____

Equipment Capacity: _____ Control System Type: _____

Service:Length: _____

Firm Name: _____ Contact Person: _____ Tel. _____

Equipment Manufacturer /Type: _____

Equipment Capacity: _____ Control System Type: _____

Service:Length: _____

Firm Name: _____ Contact Person: _____ Tel. _____

Equipment Manufacturer /Type: _____

Equipment Capacity: _____ Control System Type: _____

Service:Length: _____

Firm Name: _____ Contact Person: _____ Tel. _____

Equipment Manufacturer /Type: _____

Equipment Capacity: _____ Control System Type: _____

Service:Length: _____

Documentation of Bidder Qualifications under “Personnel Requirements”

(Section I.6 b.):

<u>Employee Name</u>	<u>Title</u>	<u>Years Service</u>
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

Documentation of Bidder Qualifications under “Service Requirements”:

(Section I.6 c.):

<u>Facility Location</u>	<u>Facility Function/Service Capability(s)</u>
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

CONTRACT NO. _____

AGENCY CERTIFICATION (In addition to the acceptance of this contract, I also certify that original copies of this signature page will be attached to all other exact copies of this contract.)

AGENCY SIGNATURE

DATED _____

COMPTROLLER'S SIGNATURE

DATED _____

CONTRACTOR'S SIGNATURE

SIGNATURE

PRINT NAME

TITLE

COMPANY

ADDRESS

CITY

STATE/ZIP

TELEPHONE NO. /FAX NO

FEDERAL ID NUMBER

PLEASE USE BLACK INK OR TYPEWRITER WHEN
PREPARING YOUR BID. BE SURE YOU HAVE
INSERTED YOUR COMPANY'S NAME IN THE BOX

⇒ ⇒ ⇒ ⇒ ⇒ ⇒

Bidder

NOTES TO BIDDERS:

FAILURE TO ANSWER THE QUESTIONS WILL DELAY
THE EVALUATION OF YOUR BID AND MAY RESULT
IN REJECTION OF YOUR BID.

- Are prices quoted the same as or lower than those quoted other corporations, institutions and government agencies (including GSA contracts) on similar products, quantities, terms and conditions? See "Best Pricing Offer" in Appendix B, OGS General Specifications.
If "NO", please explain on a separate sheet.

_____ YES _____ NO

- Do you have a contract with the General Services Administration (GSA) or Veterans Affairs (VA) for products offered? (Check all that apply.)

_____ GSA _____ VA _____ NO

If yes, will you offer New York State pricing equal to or better than your GSA or VA pricing?

_____ GSA _____ VA _____ NO

If yes, a copy of the GSA or VA schedule is required. Have you included a copy?

_____ GSA _____ VA _____ NO

- Do you have a website available on the Internet?

_____ YES _____ NO

If yes, please list your website:

- If awarded a contract, will bidder accept the New York State Procurement Card for orders not to exceed \$15,000.00?

_____ YES _____ NO

- If bidder limits the maximum acceptable card amount to less than \$15,000, please indicate the maximum amount:

\$ _____

Additional discount for purchases made with the NYS Procurement Card:

_____ %

- Does your bid comply with New York State Department of Labor Prevailing Wage and all other Labor Department Requirements?

_____ YES _____ NO

**PLEASE USE BLACK INK OR TYPEWRITER WHEN
PREPARING YOUR BID. BE SURE YOU HAVE
INSERTED YOUR COMPANY'S NAME IN THE BOX**

⇒ ⇒ ⇒ ⇒ ⇒ ⇒

Bidder

NOTES TO BIDDERS: (Cont'd)

- Person or persons to contact for expediting
New York State contract orders:

Name: _____

Title: _____

Telephone Number: () _____

Toll Free Telephone Number: () _____

Fax Number: () _____

Toll Free Fax Number: () _____

E-Mail Address: _____

- Person or persons to contact in the event of an emergency
occurring after business hours or on weekend/holidays:

Normal Business Hours (Specify M-F, Sat, Sun): _____

Name: _____

Title: _____

Telephone Number: () _____

Fax Number: () _____

Pager Number: () _____

Cellular Telephone Number: () _____

E-Mail Address: _____

PLEASE USE BLACK INK OR TYPEWRITER WHEN PREPARING YOUR BID. BE SURE YOU HAVE INSERTED YOUR COMPANY'S NAME IN THE BOX

⇒ ⇒ ⇒ ⇒ ⇒ ⇒

Bidder

BIDDERS PLEASE ANSWER THE FOLLOWING QUESTIONS:

1. Is your company a Minority or Women-Owned Business Enterprise, certified in accordance with Article 15A of the New York State Executive Law as defined below?

_____ YES _____ NO

2. Is your company listed in the Empire State Development Directory of Certified Minority and Women Owned Businesses?

_____ YES _____ NO

http://www.empire.state.ny.us/Small_and_Growing_Businesses/mwbe.asp

NOTE: Contractors certified **and** listed in the Empire State Development's Directory of Certified Minority and Women-Owned Business Enterprises* will be identified by OGS as MBEs and/or WBEs in the OGS Contract Award Notification upon award of the contract.

*For further information and or application please contact New York State Department of Economic Development, Division of Minority and Women-Owned Business Enterprise at 518-292-5250 (Albany) or 212-803-2414 (New York City).

"Minority or Women-Owned Business Enterprise" shall mean a business enterprise, including a sole proprietorship, partnership or corporation that is:

- (a) at least fifty-one percent owned and controlled by the minority members and/or women;
- (b) an enterprise in which such minority and/or women ownership interest is real, substantial and continuing;
- (c) an enterprise in which such minority and/or women ownership has and exercises the authority to independently control the day-to-day business decisions; and
- (d) an enterprise independently owned, operated and authorized to do business in New York State.

3. Is your company a New York Small Business Concern as defined in accordance with Article 11 of the New York State Finance Law?

_____ YES _____ NO

"Small Business Concern" means a business which:

- (a) is resident in New York State;
- (b) is independently owned and operated;
- (c) is not dominant in its field; and,
- (d) employs one hundred or fewer persons.

- MINORITY-OWNED
- WOMEN-OWNED
- MINORITY AND WOMEN-OWNED

PLEASE USE BLACK INK OR TYPEWRITER WHEN
PREPARING YOUR BID. BE SURE YOU HAVE
INSERTED YOUR COMPANY'S NAME IN THE BOX

⇒ ⇒ ⇒ ⇒ ⇒ ⇒

Bidder

4. Total number of people employed by your business in
New York State:

5. PLACE OF MANUFACTURE OF PRODUCT(S) BID:
(Indicate Yes or No for either A, B or C)

- A. All NYS Manufacture
- B. All Manufactured outside NYS
- C. Manufactured In NYS and Outside NYS
If yes to C above, Location (State) where more than
half the value is added to the product(s) bid:

_____ YES _____ NO
 _____ YES _____ NO
 _____ YES _____ NO

State of _____

6. BIDDER'S PRINCIPAL PLACE OF BUSINESS*:

*"Principal Place of Business" is the location of the primary
control, direction and management of the enterprise.

State of _____

7. "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% or greater ownership interest in the bidder, either:

(Answer Yes or No to one or both of the following, as
applicable),

A. have business operations in Northern Ireland:

_____ YES _____ NO

If yes,

B. shall take lawful steps in good faith to conduct any business
operations in Northern Ireland in accordance with the
MacBride Fair Employment Principles relating to non-
discrimination in employment and freedom of workplace
opportunity regarding such operations in Northern Ireland,
and shall permit independent monitoring of compliance
with such Principles.

_____ YES _____ NO

PLEASE USE BLACK INK OR TYPEWRITER WHEN PREPARING YOUR BID. BE SURE YOU HAVE INSERTED YOUR COMPANY'S NAME IN THE BOX

⇒ ⇒ ⇒ ⇒ ⇒ ⇒

Bidder

8. BIDDER/OFFERER DISCLOSURE OF PRIOR NON-RESPONSIBILITY DETERMINATIONS

Pursuant to Procurement Lobbying Law (SFL §139-j)

A. 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?

_____ YES _____ NO

If yes, please answer the following question:

B. Was the basis for the finding of non-responsibility due to a violation of State Finance Law §139-j?

_____ YES _____ NO

C. If yes, was the basis for the finding of non-responsibility due to the intentional provision of false or incomplete information to a governmental entity?

_____ YES _____ NO

If yes, please provide details regarding the finding of non-responsibility:

Governmental Entity:

Date of Finding of Non-responsibility:

Basis of Finding of Non-Responsibility:
(add additional pages if necessary)

D. Has any 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?

_____ YES _____ NO

If yes, please provide details:

Governmental Entity:

Date of Termination or Withholding of Contract:

Basis of Termination or Withholding:
(add additional pages if necessary)

ACKNOWLEDGMENT PAGE

The bid shall 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 REQUEST FOR PROPOSAL, 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.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.

ATTACHMENT NO. 1

LIST OF REGIONS

STATEWIDE

LIST OF REGIONS

Outlined below are the various regions to be bid and the counties within each region. The regions are based upon geographic standard statistical metropolitan centers and the prevailing wage schedule included in this specification. Actual specific locations for service will be determined by the State agencies utilizing this contract and the contractor will be paid at the rate bid in a mini-bid process for the county or region within which the facility being bid resides.

Region No. 1 -Long Island
Nassau and Suffolk Counties

Region No. 2 -New York Region
Bronx, Kings, New York, Queens and Richmond Counties

Region No. 3 -Lower Hudson Valley
Orange, Putnam, Rockland and Westchester Counties

Region No. 4 -Hudson Valley
Dutchess, Sullivan and Ulster Counties

Region No. 5 -Capital Region
Albany, Columbia, Greene, Rensselaer, Saratoga, Schenectady
and Schoharie Counties

Region No. 6 - North Country
Clinton, Essex, Warren and Washington Counties

Region No. 7 -Mohawk Valley/North Country Region
Franklin, Fulton, Hamilton, Herkimer, Lewis, Madison,
Montgomery, Oneida and St. Lawrence Counties

Region No. 8 -Central New York Region
Cayuga, Cortland, Jefferson, Onondaga and Oswego Counties

Region No. 9 -Southern Tier Region
Broome, Chemung, Chenango, Delaware, Otsego, Schuyler,
Steuben, Tioga and Tompkins Counties

Region No. 10 - Finger Lakes Region
Genesee, Livingston, Monroe, Ontario, Orleans, Seneca, Wayne,
Wyoming and Yates Counties

Region No. 11 - Western New York
Alleghany, Cattaraugus, Chautauqua, Erie and Niagara Counties

ATTACHMENT NO. 2

SAMPLE PROJECT DEFINITION

(SAMPLE)

**PROJECT DEFINITION
FOR**

<PROJECT NAME>

<DATE>

Prepared by:

<Agency Name>

TABLE OF CONTENTS

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1.0 General Overview	1
1.1 Background	
1.2 Scope	
1.3 Objectives	
1.4 Key Events/Dates	
2.0 Location	2
3.0 Inquiries	3
4.0 General Requirements	3
5.0 Service Requirements	3
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M/WBE Utilization Goal Requirements

Centralized Procurement Contracting Fee and Report of Contract Purchases

Cost Evaluation Instructions

Bid Proposal Form

Appendices:

- Note - all applicable appendices in original RFP shall be completed

Information in brackets (<>) is suggested format only. It is up to the user agency to determine what best satisfies individual agency needs.

1.0 GENERAL OVERVIEW

1.1 **Background:**

- A. Purpose of Agency
- B. Goals of Agency
 - 1. Short Term
 - 2. Long Term

1.2 **Scope**

1.3 **Objectives**

I.4 **Key Events/Dates**

<u>Event</u>	<u>Date</u>	<u>Time</u>
Project Definition Release	_____	
Site Visit & Pre-Bid Conference	_____	_____
Closing Date for Inquiries	_____	
Submission of Proposal	_____	_____
Time Estimates/Goals:		
Bid Evaluation and Selection	_____	
Contract Award	_____	
Contract Term	_____ to _____	

2.0 LOCATION

2.1 **Project Site Description:**

- A. Address
- B. Project Site, Contact, Building

2.2 **Project site(s) overview.**

3.0 INQUIRIES: All inquiries concerning this mini-bid project will be addressed to the designated contacts:

4.0 GENERAL REQUIREMENTS

- 4.1 All terms and conditions of the RFP and resultant contract <CMUXXXX> shall apply to this project description except as supplemented by or amended herein.
- 4.2 The State will not be liable for any expense incurred by the Contractor as a consequence of any traffic infraction or parking violations attributable to employees of the Contractor.
- 4.3 This is a full service contract. For the purposes of this contract full service shall mean that the Contractor's bid price includes, but is not necessarily limited to: all labor, all material and supplies, all emergency work and special requests; all administrative, reporting or other requirements, all overhead costs and profit. It shall also include all travel costs, parking fees, and any other ancillary fees and costs including permits, licenses, insurance, etc. Details of service not explicitly stated in these specifications, but necessarily attendant is deemed understood by the Contractor and included herein.
- 4.4 The Office of General Services' interpretation of specifications shall be final and binding upon the Contractor.
- 4.5 It shall be mutually agreed that the Contractor has included costs to remedy all deficient items in their proposal and they will be responsible for satisfactory performance of Elevator Maintenance without extra compensation. The Contractor may at its option provide with its bid, a detailed explanation of work intended to be performed under this clause.
- 4.6 INSPECTION - the quality of service shall be subject to inspection by the State of New York at any time. 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 Office of General Services acting on behalf of the user agency or on its own behalf, 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.
- 4.7 The Agency representative reserves the right to reject and bar from the facility any employee hired by the Contractor.
- 4.8 Each bidder's firm shall have been actively and normally engaged, for at least the past ten (10) years in the maintenance, service, repair and replacement of materials and equipment in elevators, escalators and/or dumbwaiters of a similar manufacturer, capacity and control system as those covered by this Mini-bid Contract.

Bidders that bid on Mini-bid projects that involve supervisory control systems must meet the following requirements. The bidders shall have at least ten (10) years experience with group supervisory control systems for each type of elevators specified in the Bid Proposal Form of this Project Definition.

Please note, contractors that provide service in the New York City (NYC) area shall pay their employees the greater of the two following wage rates: the NYC prevailing wage rate for the title of ““A” Elevator Repair/Modernization Mechanic”, as listed in the then most current prevailing wage schedule issued by the NYC Bureau of Labor Law or the NYC prevailing wage rate for the title of “Elevator Constructor - Modernization and Service”, as listed in the then most current prevailing wage schedule issued by the NYS Department of Labor. Additionally, other municipalities have enacted Living Wage rates which may be applicable to this contract. **Contractors are required to be familiar with the applicable Living Wage rate requirements throughout the state and to pay its employees accordingly.**

5.0 SERVICE REQUIREMENTS

5.1 Emergency Callback Service - The Contractor shall provide 24-hour-a-day, 7 days-a-week, emergency callback service, at no added cost to the State, under which a journeyman elevator mechanic will report to the site of the emergency when requested by the Agency Representative or those persons designated by the Agency Representative, in accordance with the following schedule:

1. Within one (1) hour after receipt of request for any stalled elevator with trapped passengers, or any elevator designated in the contract as being essential to the facilities operation. Mini-bid project definitions will designate if an elevator is classified as essential or non-essential.
2. Within the first two (2) regular work hours of the next regular working day for any other elevators covered by this contract.

Please note, the only situation that contract users would be responsible for paying the premium portion of overtime wages is if passengers are trapped, during other than normal working hours, in a elevator that is not designated as essential.

< The following elevators are classified as “essential” to the facilities operation: *(List elevators)*>

6.0 TERM

6.1 The service contract will commence <September 1, 2008 and will be in effect for three years>. All other terms of the RFP shall apply.

M/WBE UTILIZATION GOAL REQUIREMENTS

In accordance with Article 15-A of the New York State Executive Law and regulations adopted pursuant thereto, _____ (Agency) has established separate goals for participation of New York State Certified minority and women-owned business enterprises for State contracts. ____ (Agency) is required to implement the provisions of Article 15-A and 5 NYCRR Part 143 for all State contracts (1) in excess of \$25,000 for labor, services, equipment, materials, or any combination of the foregoing and (2) in excess of \$100,000 for real property renovations and construction. For purposes of this procurement, _____ (Agency) hereby establishes a goal of ___% for Minority-owned Business Enterprises (MBE) participation and ___% for Women-owned Business Enterprises (WBE) participation. As a condition of this procurement, the contractor and _____ (Agency) agree to be bound by the provisions of §316 of Article 15-A of the New York State Executive Law regarding enforcement. Contractors must document “good faith efforts” to provide meaningful participation by New York State Certified M/WBE subcontractors or suppliers in the performance of this contract. For guidance on how _____ (Agency) will determine a contractor’s “good faith efforts,” refer to 5 NYCRR §143.8. **Additionally, Offerors must refer to Appendix C of this document for a list of forms that must be provided in order to fully comply with Article 15-A of the New York State Executive Law and 5 NYCRR Part 143.**

PROCUREMENT CONTRACTING FEE AND REPORT OF CONTRACT PURCHASES:

Sales made under this contract are subject to the Centralized Procurement Contracting Fee (CPCF). Information regarding the CPCF can be found by visiting the OGS website at <http://www.ogs.ny.gov/purchase/ProcurementContractFee.asp>.

Contractor shall furnish quarterly reports containing total sales for both state agency and authorized non-state agency contract purchases no later than forty-five (45) days after the close of each calendar quarter. The Grand Total Sales Reports for State and Non-State Agencies are due at the same time the procurement fee is payable to the Department of Taxation and Finance, where applicable.

In addition to contractor direct sales, contractor shall submit sales information for all resellers, dealers, distributors or other authorized distribution channels, where such contract sales are provided by other than the contractor. Contractors shall verify if each alternate vendor is a NYS Certified Minority (MBE) or Women (WBE) Owned Businesses. Contractors shall verify such status through the Empire State Development Minority and Women Owned Businesses Database web site at: <http://205.232.252.35/>.

A separate report shall be provided in the following format for each authorized distribution channel. The sales report form is forwarded to each contractor at time of award for completion in accordance with the contract terms and conditions:

<u>Item/ SubItem Number</u>	<u>Product or Catalog Number</u>	<u>Product/ Service Description</u>	<u>Total Quantity Shipped to State Agencies</u>	<u>Total Quantity Shipped to Authorized Non-State Agencies</u>	<u>Total Sales For State Agencies</u>	<u>Total Sales For Authorized Non-State Agencies</u>	<u>Grand Total Sales State and Non- State Agencies</u>
-------------------------------------	--	---	---	--	---	--	--

The report is to be submitted electronically in Microsoft Excel 2003 or lower format to the Office of General Services, Procurement Services Group, Tower Bldg., Empire State Plaza, Albany, NY 12242, to the attention of the individual shown on the front page of the Contract Award Notification and shall reference the Group Number, the Award Number, Contract Number, sales period, and contractor's (or other authorized agent) name.

The outlined sales report is the minimum information required. Additional related sales information, such as monthly reports, and/or detailed user purchases may be required and must be supplied pursuant to the terms and conditions of contracts made under award # 21340.

Cost Evaluation Instructions for the Agency Project Definition

These award criteria will apply to the Agency project definitions during the mini-bid. In this section, contract refers to the contract resulting from the mini-bid.

A Contract will be awarded to the **responsible low bidder** for all of the work specified herein on an evaluated basis. The Contractor is to provide a fixed price for full service maintenance work on the elevators to include all per diem expenses, testing, adjustments, repairs, lubrication, etc. In addition, the Contractor will provide the State a "time and materials" cost for any repairs not covered by Section - II.4 Statement of Work, under "Minimum Preventive Maintenance Requirements". Since this is a full service contract as specified herein, such repairs would be limited to vandalism, fire, acts of God, negligence by the State, or other unusual circumstances. The time and materials portion of the bid shall be computed as follows: for the time charge, multiply the percent markup over the current prevailing wage rate at the time of the bid by the estimated number of hours that will be required; and, for the materials charge, multiply the percent markup over the Contractors cost for parts and materials by the estimated total dollar value of materials and parts that may be required. **These are estimated figures only and the Contractor will be paid only for the actual time or materials that are utilized, whether more or less than the estimated amounts.** Please note, whenever possible, Contract Users should estimate the number of labor hours used and the dollar amounts for materials spent on repairs that are not covered by the contract. These estimates should be based on repair expenditures from prior years for vandalism, fire, acts of God, negligence by the State, or other unusual circumstances. If these figures can not be estimated, then the estimates in the below example should be used (i.e. 50 hours for labor and \$1,000.00 for material).

An example of bid evaluation follows:

Contractor "A"

a) Annual cost for maintenance	\$80,000.00
b) Prevailing wage is <u>\$54.60</u> /hour x mark up <u>50%</u> x estimated 50 hours	\$4,095.00
c) Material markup <u>25%</u> x estimated \$1,000.00	<u>\$1,250.00</u>
TOTAL BID	\$85,345.00

Contractor "B"

a) Cost for maintenance	\$84,000.00
b) Prevailing wage is <u>\$54.60</u> /hour x mark up <u>40%</u> x estimated 50 hours	\$3,822.00
c) Material markup <u>20%</u> x estimate \$1,000.00	<u>\$1,200.00</u>
TOTAL BID	\$89,022.00

Therefore, on the basis of the computations used, Contractor "A" is the low bidder even though the prevailing wage markup and material markup were higher than that of Contractor "B".

Please note that the actual prevailing wage paid will be the then current wage at the time the work is performed. At the time a bid or any subsequent price quote for work is submitted by Contractors, Contractors must submit to Authorized Users, a prevailing wage schedule for the County the work is to be performed in.

CONTRACT NO. _____

<Agency Information>

BID PROPOSAL FORM

NOTE: Bid Proposal Form shall be completed and signed in triplicate herein.

Gentlemen:

_____ agrees to provide all necessary maintenance and repairs in accordance with the specifications in the NYS Comptroller's Contract No. _____ and this Agency Project Definition for elevator equipment located at _____ for the price bid below. The contractor further certifies that these prices do not exceed his/her bid prices in such statewide contract:

Building Group Identification

Building Address	Elev. Units	Elev. Use	Floors Served	Manufacturer	*Machine No.	Load Machine Type	Capacity / Speed, FPM	Price Per Month Per Machine
_____	_____	_____	_____	_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	_____	_____	_____	_____	\$ _____

OR

Building Address	Escalator Units	Floors Served	Manufacturer	Speed (FPM)	Width (inches)	Rise (feet)	Price Per Month Per Machine
_____	_____	_____	_____	_____	_____	_____	\$ _____
_____	_____	_____	_____	_____	_____	_____	\$ _____

Total Units _____ Sub **Total Monthly Bid:** \$ _____

A. Total Maintenance Bid (Lump Sum Maintenance Bid for all units elevators, escalators or dumbwaiters in building <Sub **Total Monthly Bid** X 12>): \$ _____

REPAIRS NOT DEFINED BY SECTION - II.4 STATEMENT OF WORK, UNDER "MINIMUM PREVENTIVE MAINTENANCE REQUIREMENTS":

- B.1 Prevailing Wage Rate for Mechanic (as portion of team rate): \$ _____
- B.2 Prevailing Wage Rate for Helper (as a portion of team rate): \$ _____
- B.3 Prevailing Wage Rate for Mechanic Helper Team (B.1 + B.2): \$ _____
- B.4 Percent Mark Up Over Prevailing Wage Rate for Team: _____%

B.5 Total Hourly Bid ([B3 x B4 + B3] multiplied by annual repair hour estimate: <enter estimated hours here>):

\$ _____

PARTS / MATERIALS NOT DEFINED BY MAINTENANCE SPECIFICATIONS:

- C.1 Percent Mark Up Over Documented Cost from Mfg.: _____%
- C.2 Yearly Estimate of Parts/Materials Cost (e.g. \$1,000): \$ _____

C.3 Total Parts Bid (C.1 x C.2 + C.2 [e.g. 10% x \$1,000 + \$1,000= \$1,100]): \$ _____

PRE-MAINTENANCE REPAIRS (IF APPLICABLE)

- D.1 Prevailing Wage Rate for Mechanic Helper Team (B.3): \$ _____
- D.2 Percent Mark Up Over Prevailing Wage Rate for Team: _____%
- D.3 Labor Bid ([D.1 x D.2 + D.1] x estimated number of hours): \$ _____
- D.4 Percent Mark Up Over Documented Cost from Mfg.: _____%
- D.5 Pre-maintenance Parts/Materials Cost: \$ _____
- D.6 Total Parts/Materials Bid (D.4 x D.5 + D.5): \$ _____

D.7 Total Pre-maintenance Repairs Bid (D.3 + D.6): \$ _____

E. Grand Total Bid for Building (A + B.5 + C.3 + D.7): \$ _____

Has Bidder Performed Site Visit and Inspection of All Units Designated in This Bid? _____
(Yes or No)

*Codes and Abbreviations:

Elevator Use
P - Passenger
F - Freight
K - Kitchen

Machine Type
GD - Geared Drum
GT - Geared Traction
GL - Gearless
HO - Hydraulic (Oil)

Manufacturer
O - Otis
H - Haughton
A - Armor
W - Westinghouse
G - Graves
S - Sedgewick
B - Burlington
D - Dresser
M - Mohawk
MG - Montgomery

ELEVATORS TO BE SERVICED:

Building/Location: Insert Building Name / Location Here								
Elevator (E) Escalator (ES) Number	Electric (E) Hydraulic (H)	*Passenger (P) Freight (F) Service (S)	Speed in Feet Per Minute (FPM)	Number of Floors	Number of Openings	Rated Load in Pounds (lbs)	Freight Class (A,B,C1,C2,C3)	Essential Elevator (Yes / No)

* Freight Elevators authorized to carry passengers shall be maintained and inspected as passenger elevators.

Building/Location: Insert Building Name / Location Here								
Elevator (E) Escalator (ES) Number	Electric (E) Hydraulic (H)	*Passenger (P) Freight (F) Service (S)	Speed in Feet Per Minute (FPM)	Number of Floors	Number of Openings	Rated Load in Pounds (lbs)	Freight Class (A,B,C1,C2,C3)	Essential Elevator (Yes / No)

* Freight Elevators authorized to carry passengers shall be maintained and inspected as passenger elevators.

AUTHORIZED USER'S LIST OF IDENTIFIED PRE-MAINTENANCE REPAIRS

Building/Location: Insert Building Name / Location Here		
Elevator (E) Escalator (ES) Number	No.	Known Deficiencies
	1.	
	2.	
	3.	
	4.	
	5.	
	6.	
	7.	
	8.	

	1.	
	2.	
	3.	
	4.	
	5.	
	6.	
	7.	
	8.	

THE MINI-BID CHECKLIST

*All User Agencies and all approved Contractors shall be advised that the **POLICY AND PROHIBITIONS ON PROCUREMENT LOBBYING** shall be followed during the entire mini bid process. These prohibitions become effective the day the Project Definition is issued and end the day the Contractor is awarded a contract under the mini bid process.*

CHECKLIST ITEM	ACTION TO BE TAKEN
Identify geographic region for bid	Determine contractor eligibility
Project definition developed	Distribute to appropriate Backdrop Contractors in region
Project Selection / Award Does the selected contractor:	
1. Meet all the mandatory requirements described in the project definition?	If NO, bid shall be rejected.
2. Did the contractor propose bid rates that do not exceed the backdrop, maximum not-to-exceed contract prices?	
5. Is total value of project greater than your discretionary limit?	If YES Award shall go to OSC.
Include the following documents in your submission to OSC:	
1. Fully encumbered AC-340	
2. Project Definition	
3. Copy of any questions/responses developed during inquiry phase	
4. Bidders List	
5. Bid tabulation and Affidavit form	
6. Statement that bids do not exceed the rates submitted under Backdrop Contract.	
7. Awarded Bid	
8. Justification Letter (if applicable)	
9. Agency's authorized signatures	
OSC returns Award	
Project Commencement Date	Selected by User Agency & Contractor
Prepare Project Award Notification. Issue an Award Letter notifying contractor project work may begin	Submit to awarded contractor

End of Sample Project Definition

ATTACHMENT NO. 3

QUARTERLY REPORT OF CONTRACT USAGE

ATTACHMENT NO. 4

PERFORMANCE SURVEY

**Performance Survey
Non-Technology Services**

TO OGS CUSTOMERS:

The Office of General Services, Procurement Services Group wishes to solicit input from customers regarding their satisfaction with service contractor performance. Please take a moment to complete this survey reporting on contractor's performance with regard to OGS/PSG service contracts. Copy this form as needed and forward to the OGS-Procurement Services Group. Please feel free to offer additional comments below, particularly with respect to contract improvement opportunities and contractor performance.

Contract Name: _____ Contract Number: _____

Contractor: _____

CONTRACTOR PERFORMANCE

	<u>Excellent</u>	<u>Good</u>	<u>Acceptable</u>	<u>Unacceptable</u>
•Conformance to service requirements of contract				
•Timeliness of service				
•Customer service and support				
•Timely complaint resolution				
•Professionalism of staff				
•Services provided met customer needs				
•Overall contractor performance				

BILLING

	<u>Excellent</u>	<u>Good</u>	<u>Acceptable</u>	<u>Unacceptable</u>
•Ability to verify invoices against contract prices				

CONTRACT SUITABILITY

	<u>Excellent</u>	<u>Good</u>	<u>Acceptable</u>	<u>Unacceptable</u>
•Ease of understanding the contract				
•Overall satisfaction with the contract requirements				

	<u>Yes</u>	<u>No</u>	<u>Undecided</u>
Would you use this contractor again? If "No" please explain below.			

Comments: _____

Agency: _____ Prepared by: _____

Phone: _____ E- mail: _____

PLEASE RETURN COMPLETED SURVEY TO:

OGS PROCUREMENT SERVICES GROUP
Customer Services, 38th Floor
Corning 2nd Tower - Empire State Plaza
Albany, New York 12242
Telephone No. (518) 474-6717
Fax (518) 474-2437

ATTACHMENT NO. 5

REFERENCE FORM

REFERENCE FORM

(Please submit one form per reference)

Your Company's Information

Company Name _____

Signature _____

Company Address _____

Year business began _____

Reference Customer's Information

Customer Name _____

Customer Signature _____

Customer Address _____

County where service was provided _____

Contact Person _____

Telephone Number _____ (____) _____

Facsimile Number _____ (____) _____

E-mail Address (if available) _____

Date Range of Service _____/_____/_____ through _____/_____/_____
Month Year Month Year

Annual Dollar Value of Contract _____

Description of service provided, include type of equipment serviced (i.e. elevators, escalators and/or dumbwaiters):

Appendix 1

{Removed: July 2010}

New York State Standard Vendor Responsibility Questionnaire

Appendix 1, *NYS Standard Vendor Responsibility Questionnaire* has been removed from this Contract. Refer to *NEW YORK STATE VENDOR RESPONSIBILITY QUESTIONNAIRE FOR-PROFIT BUSINESS ENTITY*, for instructions for submitting the Questionnaire.

ATTACHMENT 7

Appendix 2

New York State Department of Taxation and Finance

Contractor Certification (ST-220-TD) {Updated 01/08}
Contractor Certification to Covered Agency (ST-220-CA)



New York State Department of Taxation and Finance

Contractor Certification

(Pursuant to Section 5-a of the Tax Law, as amended, effective April 26, 2006)

ST-220-TD

(5/07)

For information, consult Publication 223, *Question and Answers Concerning Tax Law Section 5-a (see Need help? below)*.

Contractor name		
Contractor's principal place of business	City	State ZIP code
Contractor's mailing address (if different than above)		
Contractor's federal employer identification number (EIN)	Contractor's sales tax ID number (if different from contractor's EIN)	Contractor's telephone number ()
Covered agency name OGS PSG	Contract number or description	Estimated contract value over the full term of the contract (but not including renewals) \$ N/A
Covered agency address Corning Tower, The Governor Nelson A. Rockefeller Plaza, Albany, NY 12242		Covered agency telephone number

General information

Section 5-a of the Tax Law, as amended, effective April 26, 2006, requires certain contractors awarded certain state contracts valued at more than \$100,000 to certify to the Tax Department that they are registered to collect New York State and local sales and compensating use taxes, if they made sales delivered by any means to locations within New York State of tangible personal property or taxable services having a cumulative value in excess of \$300,000, measured over a specified period. In addition, contractors must certify to the Tax Department that each affiliate and subcontractor exceeding such sales threshold during a specified period is registered to collect New York State and local sales and compensating use taxes. Contractors must also file a Form ST-220-CA, certifying to the procuring state entity that they filed Form ST-220-TD with the Tax Department and that the information contained on Form ST-220-TD is correct and complete as of the date they file Form ST-220-CA.

All sections must be completed including all fields on the top of this page, all sections on page 2, Schedule A on page 3, if applicable, and Individual, Corporation, Partnership, or LLC Acknowledgement on page 4. If you do not complete these areas, the form will be returned to you for completion.

For more detailed information regarding this form and section 5-a of the Tax Law, see Publication 223, *Questions and Answers Concerning Tax Law Section 5-a, (as amended, effective April 26, 2006)*, available at www.nystax.gov. Information is also available by calling the Tax Department's Contractor Information Center at 1 800 698-2931.

Note: Form ST-220-TD must be signed by a person authorized to make the certification on behalf of the contractor, and the acknowledgement on page 4 of this form must be completed before a notary public.

Mail completed form to:

**NYS TAX DEPARTMENT
DATA ENTRY SECTION
W A HARRIMAN CAMPUS
ALBANY NY 12227**

Privacy notification

The Commissioner of Taxation and Finance may collect and maintain personal information pursuant to the New York State Tax Law, including but not limited to, sections 5-a, 171, 171-a, 287, 308, 429, 475, 505, 697, 1096, 1142, and 1415 of that Law; and may require disclosure of social security numbers pursuant to 42 USC 405(c)(2)(C)(i).

This information will be used to determine and administer tax liabilities and, when authorized by law, for certain tax offset and exchange of tax information programs as well as for any other lawful purpose.

Information concerning quarterly wages paid to employees is provided to certain state agencies for purposes of fraud prevention, support enforcement, evaluation of the effectiveness of certain employment and training programs and other purposes authorized by law.

Failure to provide the required information may subject you to civil or criminal penalties, or both, under the Tax Law.

This information is maintained by the Director of Records Management and Data Entry, NYS Tax Department, W A Harriman Campus, Albany NY 12227.

Need Help?	
	Internet access: www.nystax.gov (for information, forms, and publications)
	Fax-on-demand forms: 1 800 748-3676
	Telephone assistance is available from 8:00 A.M. to 5:00 P.M. (eastern time), Monday through Friday.
	To order forms and publications: 1 800 462-8100
	Sales Tax Information Center: 1 800 698-2909
	From areas outside the U.S. and outside Canada: (518) 485-6800
	Hearing and speech impaired (telecommunications device for the deaf (TDD) callers only): 1 800 634-2110
	Persons with disabilities: In compliance with the Americans with Disabilities Act, we will ensure that our lobbies, offices, meeting rooms, and other facilities are accessible to persons with disabilities. If you have questions about special accommodations for persons with disabilities, please call 1 800 972-1233.

I, _____, hereby affirm, under penalty of perjury, that I am _____
(name) (title)
of the above-named contractor, and that I am authorized to make this certification on behalf of such contractor.

Complete Sections 1, 2, 3 below. Make only one entry in each section below.

Section 1 - Contractor registration status

- The contractor has made sales delivered by any means to locations within New York State of tangible personal property or taxable services having a cumulative value in excess of \$300,000 during the four sales tax quarters which immediately precede the sales tax quarter in which this certification is made. The contractor is registered to collect New York State and local sales and compensating use taxes with the Commissioner of Taxation and Finance pursuant to sections 1134 and 1253 of the Tax Law, and is listed on Schedule A of this certification.
- The contractor has not made sales delivered by any means to locations within New York State of tangible personal property or taxable services having a cumulative value in excess of \$300,000 during the four sales tax quarters which immediately precede the sales tax quarter in which this certification is made.

Section 2 - Affiliate registration status

- The contractor does not have any affiliates.
- To the best of the contractor's knowledge, the contractor has one or more affiliates having made sales delivered by any means to locations within New York State of tangible personal property or taxable services having a cumulative value in excess of \$300,000 during the four sales tax quarters which immediately precede the sales tax quarter in which this certification is made, and each affiliate exceeding the \$300,000 cumulative sales threshold during such quarters is registered to collect New York State and local sales and compensating use taxes with the Commissioner of Taxation and Finance pursuant to sections 1134 and 1253 of the Tax Law. The contractor has listed each affiliate exceeding the \$300,000 cumulative sales threshold during such quarters on Schedule A of this certification.
- To the best of the contractor's knowledge, the contractor has one or more affiliates, and each affiliate has not made sales delivered by any means to locations within New York State of tangible personal property or taxable services having a cumulative value in excess of \$300,000 during the four sales tax quarters which immediately precede the sales tax quarter in which this certification is made.

Section 3 - Subcontractor registration status

- The contractor does not have any subcontractors.
- To the best of the contractor's knowledge, the contractor has one or more subcontractors having made sales delivered by any means to locations within New York State of tangible personal property or taxable services having a cumulative value in excess of \$300,000 during the four sales tax quarters which immediately precede the sales tax quarter in which this certification is made, and each subcontractor exceeding the \$300,000 cumulative sales threshold during such quarters is registered to collect New York State and local sales and compensating use taxes with the Commissioner of Taxation and Finance pursuant to sections 1134 and 1253 of the Tax Law. The contractor has listed each subcontractor exceeding the \$300,000 cumulative sales threshold during such quarters on Schedule A of this certification.
- To the best of the contractor's knowledge, the contractor has one or more subcontractors, and each subcontractor has not made sales delivered by any means to locations within New York State of tangible personal property or taxable services having a cumulative value in excess of \$300,000 during the four sales tax quarters which immediately precede the sales tax quarter in which this certification is made.

Sworn to this _____ day of _____, 20 _____

(sign before a notary public)

(title)

ST-220-CA
(6/06)



New York State Department of Taxation and Finance

Contractor Certification to Covered Agency
(Pursuant to Section 5-a of the Tax Law, as amended, effective April 26, 2006)

For information, consult Publication 223, *Question and Answers Concerning Tax Law Section 5-a (see Need Help? on back)*.

Contractor name		For covered agency use only Contract number or description
Contractor's principal place of business	City State ZIP code	
Contractor's mailing address (if different than above)		Estimated contract value over the full term of contract (but not including renewals)
Contractor's federal employer identification number (EIN)	Contractor's sales tax ID number (if different from contractor's EIN)	
Contractor's telephone number ()	Covered agency name	\$
Covered agency address		Covered agency telephone number

I, _____, hereby affirm, under penalty of perjury, that I am _____
(name) (title)

of the above-named contractor, that I am authorized to make this certification on behalf of such contractor, and I further certify that:
(Mark an X in only one box)

- The contractor has filed Form ST-220-TD with the Department of Taxation and Finance in connection with this contract and, to the best of contractor's knowledge, the information provided on the Form ST-220-TD, is correct and complete.
- The contractor has previously filed Form ST-220-TD with the Tax Department in connection with _____ (insert contract number or description) and, to the best of the contractor's knowledge, the information provided on that previously filed Form T-220-TD, is correct and complete as of the current date, and thus the contractor is not required to file a new Form ST-220-TD at this time.

Sworn to this _____ day of _____, 20 ____

(sign before a notary public)

(title)

Instructions

General Information

Tax Law section 5-a was amended, effective April 26, 2006. On or after that date, in all cases where a contract is subject to Tax Law section 5-a, a contractor must file (1) Form ST-220-CA, *Contractor Certification to Covered Agency*, with a covered agency, and (2) Form ST-220-TD with the Tax Department before a contract may take effect. The circumstances when a contract is subject to section 5-a are listed in Publication 223, Q&A 3. This publication is available on our Web site, by fax, or by mail. (See *Need help?* for more information on how to obtain this publication.) In addition, a contractor must file a new Form ST-220-CA with a covered agency before an existing contract with such agency may be renewed.

If you have questions, please call our information center at 1 800 698-2931.

Note: Form ST-220-CA must be signed by a person authorized to make the certification on behalf of the contractor, and the acknowledgement on page 2 of this form must be completed before a notary public.

When to complete this form

As set forth in Publication 223, a contract is subject to section 5-a, and you must make the required certification(s), if:

- i. The procuring entity is a *covered agency* within the meaning of the statute (see Publication 223, Q&A 5);
- ii. The contractor is a *contractor* within the meaning of the statute (see Publication 223, Q&A 6); and
- iii. The contract is a *contract* within the meaning of the statute. This is the case when it (a) has a value in excess of \$100,000 and (b) is a contract for *commodities* or *services*, as such terms are defined for purposes of the statute (see Publication 223, Q&A 8 and 9).

Furthermore, the procuring entity must have begun the solicitation to purchase on or after January 1, 2005, and the resulting contract must have been awarded, amended, extended, renewed, or assigned on or after April 26, 2006 (the effective date of the section 5-a amendments).

Individual, Corporation, Partnership, or LLC Acknowledgment

APPENDICES

- Contract Insurance Requirements
- MACBRIDE Fair Employment Principles
- Prevailing Wage Rate Schedule
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- Appendix B
- Appendix C

APPENDIX A

STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS

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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 (or, if this contract is with the State University or City University of New York, Section 355 or Section 6218 of the Education Law), if this contract exceeds \$50,000 (or the minimum thresholds agreed to by the Office of the State Comptroller for certain S.U.N.Y. and C.U.N.Y. contracts), 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 \$10,000, 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 is required when such contracts exceed \$85,000 (State Finance Law Section 163.6.a).

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 because of race, creed, color, sex, national origin, sexual orientation, age, disability, genetic predisposition or carrier status, or marital status. 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 (2NYCRR 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 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 section. 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
30 South Pearl St -- 7th Floor
Albany, New York 12245
Telephone: 518-292-5220
Fax: 518-292-5884
<http://www.empire.state.ny.us>

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
30 South Pearl St -- 2nd Floor
Albany, New York 12245
Telephone: 518-292-5250
Fax: 518-292-5803
<http://www.empire.state.ny.us>

The Omnibus Procurement Act of 1992 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) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

22. COMPLIANCE WITH NEW YORK STATE INFORMATION SECURITY BREACH AND NOTIFICATION ACT.

Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 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 Sections 139-j and 139-k, by signing this agreement the contractor certifies and affirms that all disclosures made in accordance with State Finance Law Sections 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 Section 5-a, if the contractor fails to make the certification required by Tax Law Section 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.

APPENDIX B
GENERAL SPECIFICATIONS

PLEASE RETAIN THIS DOCUMENT FOR FUTURE REFERENCE

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GENERAL

1. **APPLICABILITY** The terms and conditions set forth in this Appendix B are expressly incorporated in and applicable to the resulting procurement contracts let by the Office of General Services Procurement Services Group, or let by any other Authorized User where incorporated by reference in its Bid Documents. Captions are intended as descriptive and are not intended to limit or otherwise restrict the terms and conditions set forth herein.

2. **GOVERNING LAW** This procurement, the resulting contract and any purchase orders issued hereunder shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise, and actions or proceedings arising from the contract shall be heard in a court of competent jurisdiction in the State of New York.

3. **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.

4. **CONFLICT OF TERMS** Unless otherwise set forth in the procurement or contract documents, conflicts among documents shall be resolved in the following order of precedence:

- a. **Appendix A** (Standard Clauses for NYS Contracts)
- b. **Mini-Bid Project Definition** if applicable and in accordance with the terms and conditions of the Back-Drop Contract.
- c. **Contract and other writing(s)** setting forth the final agreements, clarifications and terms between the Bid Documents and Contractor's Bid. In the latter circumstance, clarifications must specifically note in writing what was offered by the Contractor and what was accepted by the State. If not, such clarifications shall be considered last in the order of precedence under this paragraph.
- d. **Bid Documents** (Other than Appendix A).
 - i. Bid Specifications prepared by the Authorized User.
 - ii. Appendix B (General Specifications).
 - iii. Incorporated Contract Appendices, if any, following the order of precedence as stated for Contract above.
- e. **Contractor's Bid or Mini-Bid Proposal.**
- f. **Unincorporated Appendices** (if any).

5. **DEFINITIONS** Terms used in this Appendix B shall have the following meanings:

AFFILIATE Any individual or other legal entity, (including but not limited to sole proprietor, partnership, limited liability company, firm or corporation) that effectively controls another company in which (a) the Bidder owns more than 50% of the ownership; or (b) any individual or other legal entity which owns more than 50% of the ownership of the Bidder. In addition, if a Bidder owns less than 50% of the ownership of another legal entity, but directs or has the right to direct such entity's daily operations, that entity will be an Affiliate.

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.

ATTORNEY GENERAL Attorney General of the State of New York.

AUTHORIZED USER(S) Agencies, or any other entity authorized by the laws of the State of New York to participate in NYS centralized contracts (including but not limited to political subdivisions, public authorities, public benefit corporations and certain other entities set forth in law), or the State of New York acting on behalf of one or more such Agencies or other entities, provided that each such Agency or other entity shall be held solely responsible for liabilities or payments due as a result of its participation.

BID OR BID PROPOSAL An offer or proposal submitted by a Bidder to furnish a described product or a solution, perform services or means of achieving a practical end, at a stated price for the stated Contract term. As required by the Bid Documents, the Bid or proposal may be subject to modification through the solicitation by the Agency of best and final offers during the evaluation process prior to recommendation for award of the Contract.

BIDDER/OFFERER Any individual or other legal entity (including but not limited to sole proprietor, partnership, limited liability company, firm or corporation) which submits a Bid in response to a Bid Solicitation. The term Bidder shall also include the term "offeror." In the case of negotiated Contracts, "Bidder" shall refer to the "Contractor."

BID DOCUMENTS Writings by the State setting forth the scope, terms, conditions and technical specifications for a procurement of Product. Such writings typically include, but are not limited to: Invitation for Bids (IFB), Request for Quotation (RFQ), Request for Proposals (RFP), addenda or amendments thereto, and terms and conditions which are incorporated by reference, including but not limited to, Appendix A (Standard Clauses for NYS Contracts), Appendix B, (General Specifications). Where these General Specifications are incorporated in negotiated Contracts that have not been competitively Bid, the term "Bid Documents" shall be deemed to refer to the terms and conditions set forth in the negotiated Contract and associated documentation.

BID SPECIFICATION A written description drafted by the Authorized User setting forth the specific terms of the intended procurement, which may include: physical or functional characteristics, the nature of a commodity or construction item, 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 these General Specifications are incorporated in negotiated Contracts that have not been competitively Bid, the term "Bid Specifications" shall be deemed to refer to the terms and conditions set forth in the negotiated Contract and associated documentation.

COMMISSIONER Commissioner of OGS, or in the case of Bid Specifications issued by an Authorized User, the head of such Authorized User or their authorized representative.

COMPTROLLER Comptroller of the State of New York.

CONTRACT The writing(s) which contain the agreement of the Commissioner and the Bidder/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:

a. Agency Specific Contracts Contracts where the specifications for a Product or a particular scope of work are described and defined to meet the needs of one or more Authorized User(s).

b. Centralized Contracts Single or multiple award Contracts where the specifications for a Product or general scope of work are described and defined by the Office of General Services 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 Contractor(s) without further competition or Mini-Bid unless otherwise required by the Bid Specifications or Contract Award Notification.

c. Back-Drop Contracts Multiple award Centralized Contracts where the Office of General Services defines the specifications 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 Bid Specifications. Selection of a Contractor(s) from among Back-Drop contract holders for an actual Product, project or particular scope of work may subsequently be made on a single or sole source basis, or on the basis of a Mini-Bid among qualified Back-Drop contract holders, or such other method as set forth in the Bid Document.

d. 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 state(s) which is adopted and extended for use by the OGS Commissioner in accordance with the requirements of the State Finance Law.

e. Contract Letter A letter to the successful Bidder(s) 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 Contractor should not take any action with respect to actual Contract deliveries except on the basis of Purchase Orders sent from Authorized User(s).

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

CONTRACTOR Any successful Bidder(s) to whom a Contract has been awarded by the Commissioner.

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

EMERGENCY An urgent and unexpected requirement where health and public safety or the conservation of public resources is at risk.

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

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.

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.

GROUP A classification of Product, services or technology which is designated by OGS.

INVITATION FOR BIDS (IFB) A type of Bid Document which is most typically used where requirements can be stated and award will be made based on lowest price to the responsive and responsible Bidder(s).

LICENSED SOFTWARE Software transferred upon the terms and conditions set forth in the Contract. "Licensed Software" includes error corrections, upgrades, enhancements or new releases, and any deliverables due under a maintenance or service contract (e.g., patches, fixes, PTFs, programs, code or data conversion, or custom programming).

LICENSEE One or more Authorized Users who acquire 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(s) 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.

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.

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

MINI-BID PROJECT DEFINITION A Bid Document containing project specific Bid Specifications developed by or for an Authorized User which solicits Bids from Contractors previously qualified under a Back-Drop Contract.

MULTIPLE AWARD A determination and award of a Contract in the discretion of the Commissioner to more than one responsive and responsible Bidder who meets the requirements of a specification, where the multiple award is made on the grounds set forth in the Bid Document in order to satisfy multiple factors and needs of Authorized Users (e.g., complexity of items, various manufacturers, differences in performance required to accomplish or produce required end results, production and distribution facilities, price, compliance with delivery requirements, geographic location or other pertinent factors).

NEW PRODUCT RELEASES (Product Revisions) Any commercially released revisions to the licensed version of a Product as may be generally offered and available to Authorized Users. New releases involve a substantial revision of functionality from a previously released version of the Product.

OGS The New York State Office of General Services.

PROCUREMENT RECORD Documentation by the Authorized User of the decisions made and approach taken during the procurement process and during the contract term.

PRODUCT A deliverable under any Bid or Contract which may include commodities, services and/or technology. The term "Product" includes Licensed Software.

PROPRIETARY Protected by secrecy, patent, copyright or trademark against commercial competition.

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

REQUEST FOR PROPOSALS (RFP) A type of Bid Document that is used for procurements where factors in addition to cost are considered and weighted in awarding the contract and where the method of award is "best value," as defined by the State Finance Law.

REQUEST FOR QUOTATION (RFQ) A type of Bid Document that can be used when a formal Bid opening is not required (e.g., discretionary, sole source, single source or emergency purchases).

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.

RESPONSIVE BIDDER A Bidder meeting the specifications or requirements prescribed in the Bid Document or solicitation, as determined by the OGS Commissioner.

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.

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

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

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.

STATE State of New York.

SUBCONTRACTOR Any individual or other 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.

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.

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.

BID SUBMISSION

6. INTERNATIONAL BIDDING All offers (tenders), and 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 offers (tenders) submitted which do not meet the above criteria will be rejected.

7. 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.

8. BID SUBMISSION All Bids are to be packaged, sealed and submitted to the location stated in the Bid Specifications. Bidders are solely responsible for timely delivery of their Bids to the location set forth in the Bid Specifications prior to the stated Bid opening date/time.

A Bid return envelope, if provided with the Bid Specifications, should be used with the Bid sealed inside. If the Bid response does not fit into the envelope, the Bid envelope should be attached to the outside of the sealed box or package with the Bid inside. If using a commercial delivery company that requires use of their shipping package or envelope, Bidder's sealed Bid, labeled as detailed below, should be placed within the shipper's sealed envelope to ensure that the Bid is not prematurely opened.

All Bids must have a label on the outside of the package or shipping container outlining the following information:

"BID ENCLOSED (bold print, all capitals)

- Group Number
- IFB or RFP Number
- Bid Submission date and time"

In the event that a Bidder fails to provide such information on the return Bid envelope or shipping material, the receiving entity reserves the right to open the shipping package or envelope to determine the proper Bid number or Product group, and the date and time of Bid opening. Bidder shall have no claim against the receiving entity arising from such opening and such opening shall not affect the validity of the Bid or the procurement.

Notwithstanding the receiving agency's right to open a Bid to ascertain the foregoing information, Bidder assumes all risk of late delivery associated with the Bid not being identified, packaged or labeled in accordance with the foregoing requirements.

All Bids must be signed by a person authorized to commit the Bidder to the terms of the Bid Documents and the content of the Bid (offer).

9. FACSIMILE SUBMISSIONS Unless specifically prohibited by the terms of the Bid Specifications, facsimile Bids may be SUBMITTED AT THE SOLE OPTION AND RISK OF THE BIDDER. Only the FAX number(s) indicated in the Bid Specifications may be used. Access to the facsimile machine(s) is on a "first come, first serve" basis, and the Commissioner bears no liability or responsibility and makes no guarantee whatsoever with respect to

the Bidder's access to such equipment at any specific time. Bidders are solely responsible for submission and receipt of the entire facsimile Bid by the Authorized User prior to Bid opening and must include on the first page of the transmission the total number of pages transmitted in the facsimile, including the cover page. Incomplete, ambiguous or unreadable transmissions in whole or in part may be rejected at the sole discretion of the Commissioner. Facsimile Bids are fully governed by all conditions outlined in the Bid Documents and must be submitted on forms or in the format required in the Bid Specifications, including the executed signature page and acknowledgment.

10. AUTHENTICATION OF FACSIMILE BIDS The act of submitting a Bid by facsimile transmission, including an executed signature page or as otherwise specified in the Bid Documents, shall be deemed a confirming act by Bidder which authenticates the signing of the Bid.

11. LATE BIDS For purposes of Bid openings held and conducted by OGS, a Bid must be received in such place as may be designated in the Bid Documents or if no place is specified in the OGS Mailroom located in the Empire State Plaza, Albany, New York 12242, at or before the date and time established in the Bid Specifications for the Bid opening. For purposes of Bid openings held and conducted by Authorized Users other than OGS, the term late Bid is defined as a Bid not received in the location established in the Bid Specifications at or before the date and time specified for the Bid opening.

Any Bid received at the specified location after the time specified will be considered a late Bid. A late Bid shall not be considered for award unless: (i) no timely Bids meeting the requirements of the Bid Documents are received or, (ii) in the case of a multiple award, an insufficient number of timely Bids were received to satisfy the multiple award; and acceptance of the late Bid is in the best interests of the Authorized Users. Bids submitted for continuous or periodic recruitment contract awards must meet the submission requirements associated with their specifications. Delays in United States mail deliveries or any other means of transmittal, including couriers or agents of the Authorized User 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. Determinations relative to Bid timeliness shall be at the sole discretion of the Commissioner.

12. BID CONTENTS Bids must be complete and legible. All Bids must be signed. All information required by the Bid Specifications must be supplied by the Bidder on the forms or in the format specified. No alteration, erasure or addition is to be made to the Bid Documents. Changes may be ignored by the Commissioner or may be grounds for rejection of the Bid. Changes, corrections and/or use of white-out in the Bid or Bidder's response portion of the Bid Document must be initialed by an authorized representative of the Bidder. Bidders are cautioned to verify their Bids before submission, as amendments to Bids or requests for withdrawal of Bids received by the Commissioner after the time specified for the Bid opening, may not be considered.

13. EXTRANEIOUS TERMS Bids must conform to the terms set forth in the Bid Documents, as extraneous terms or material deviations (including additional, inconsistent, conflicting or alternative terms) may render the Bid non-responsive and may result in rejection of the Bid.

Extraneous term(s) submitted on standard, pre-printed forms (including but not limited to: product literature, order forms, license agreements, contracts or other documents) that are attached or referenced with submissions shall not be considered part of the Bid or

resulting Contract, but shall be deemed included for informational or promotional purposes only.

Only those extraneous terms that meet all the following requirements may be considered as having been submitted as part of the Bid:

- a. Each proposed extraneous term (addition, deletion, counter-offer, deviation, or modification) must be specifically enumerated in a writing which is not part of a pre-printed form; and
- b. The writing must identify the particular specification requirement (if any) that Bidder rejects or proposes to modify by inclusion of the extraneous term; and
- c. The Bidder shall enumerate the proposed addition, counter offer, modification or deviation from the Bid Document, and the reasons therefore.

No extraneous term(s), whether or not deemed "material," shall be incorporated into a Contract or Purchase Order unless submitted in accordance with the above and the Commissioner or Authorized User expressly accepts each such term(s) in writing. Acceptance and/or processing of the Bid shall not constitute such written acceptance of Extraneous Term(s).

14. CONFIDENTIAL/TRADE SECRET MATERIALS

a. 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. 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. 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. 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 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 further 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. 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 Act or other applicable New York State laws and regulations. This warranty shall survive termination of this Contract. Contractor further agrees to take appropriate steps as to its agents, Subcontractors, officers, distributors, resellers or employees regarding the obligations arising under this clause to insure such confidentiality.

15. RELEASE OF BID EVALUATION MATERIALS Requests concerning the evaluation of Bids may be submitted under the Freedom of Information Law. Information, other than statistical or

factual tabulations or data such as the Bid Tabulation, shall only be released as required by law after Contract award. Bid Tabulations are not maintained for all procurements. Names of Bidders may be disclosed after Bid opening upon request. Written requests should be directed to the Commissioner.

16. FREEDOM OF INFORMATION LAW During the evaluation process, the content of each Bid will be held in confidence and details of any 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. If the Bid contains any such trade secret or other confidential or proprietary information, it must be accompanied in the Bid with a written request to the Commissioner to not disclose such information. Such request must state with particularity the reasons why the information should not be available for disclosure and must be provided at the time of submission of the Bid. Notations in the header, footer or watermark of the Bid Document will not be considered sufficient to constitute a request for non-disclosure of trade secret or other confidential or proprietary information. Where a Freedom of Information request is made for trademark or other confidential or proprietary information, the Commissioner reserves the right to determine upon written notice to the Bidder whether such information qualifies for the exemption for disclosure under the law. Notwithstanding the above, where a Bid tabulation is prepared and Bids publicly opened, such Bid tabulation shall be available upon request.

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

a. “Public Works” and “Building Services” - Definitions

i. Public Works Labor Law Article 8 applies to contracts for public improvement in which laborers, workers or mechanics are employed on a “public works” project (distinguished from public “procurement” or “service” contracts). The State, a public benefit corporation, a municipal corporation (including a school district), or a commission appointed by law must be a party to the Contract. The wage and hours provision applies to any work performed by Contractor or Subcontractors.

ii. Building Services Labor Law Article 9 applies to Contracts for building service work over \$1,500 with a public agency, that: (i) involve the care or maintenance of an existing building, or (ii) involve the transportation of office furniture or equipment to or from such building, or (iii) involve the transportation and delivery of fossil fuel to such building, and (iv) the principal purpose of which is to furnish services through use of building service employees.

b. Prevailing Wage Rate Applicable to Bid Submissions A copy of the applicable prevailing wage rates to be paid or provided are annexed to the Bid Documents. Bidders must submit Bids which are based upon the prevailing hourly wages, and supplements in cash or equivalent benefits (i.e., 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 rate(s) 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.

c. 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 as required by law.

d. Public Posting & Certified Payroll Records 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 New York 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 projects must submit monthly payroll transcripts to the Authorized User that has prepared or directs the preparation of the plans and specifications for a public works project, as set forth in the Bid Specifications. For Mini-Bid solicitations, the payroll records must be submitted to the entity preparing the agency Mini-Bid project specification. For “agency specific” Bids, the payroll records should be submitted to the entity issuing the purchase order. For all other OGS Centralized Contracts, such records should be submitted to the individual agency issuing the purchase order(s) for the work. Upon mutual agreement of the Contractor and the Authorized User, the form of submission may be submitted in a specified disk format acceptable to the Department of Labor provided: 1) the Contractor/Subcontractor retains the original records; and, (2) an original signed letter by a duly authorized individual of the Contractor or Subcontractor attesting to the truth and accuracy of the records accompanies the disk. This provision does not apply to Article 9 of the Labor Law building services contracts.

iv. Records Retention Contractors and Subcontractors must preserve such certified transcripts for a period of three years from the date of completion of work on the awarded contract.

Day’s Labor Eight hours shall constitute a legal day’s work for all classes of employees in this state except those engaged in farm and domestic service unless otherwise provided by law.

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.

18. TAXES

a. Unless otherwise specified in the 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. Pursuant to Revised Tax Law 5-a, Contractor will be required to furnish sales tax certification on its behalf and for its affiliates, and subcontractors for Contracts with a value greater than \$100,000 in accordance with provisions of the law.

d. 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.

19. EXPENSES PRIOR TO CONTRACT EXECUTION The Commissioner and any Authorized User(s) are not liable for any costs incurred by a Vendor, Bidder or Contractor in the preparation and production of a Bid, Mini-Bid or best and final offers or for any work performed prior to Contract execution.

20. ADVERTISING RESULTS The prior written approval of the Commissioner is required in order for results of the Bid to be used by the Contractor as part of any commercial advertising. The Contractor shall also obtain the prior written approval of the Commissioner relative to the Bid or Contract for press or other media releases.

21. PRODUCT REFERENCES

a. “Or Equal” In all 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 Bid Specifications and the written description of the Products which cannot be reconciled, with respect to such discrepancy, then the written description shall prevail.

22. REMANUFACTURED, RECYCLED, RECYCLABLE OR RECOVERED MATERIALS Upon the conditions specified in the Bid Specifications 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 Bid Specifications. Contractors are further encouraged to offer remanufactured Products to the maximum extent practicable without jeopardizing the performance or intended end use of the Product and unless such use is precluded due to health, welfare, safety requirements or by the Bid Specifications. Where such use is not practical, suitable, or permitted by the Bid Specifications, 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.

23. PRODUCTS MANUFACTURED IN PUBLIC INSTITUTIONS Bids offering Products that are manufactured or produced in public institutions will be rejected.

24. PRICING

a. Unit Pricing If required by the Bid Specifications, 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 Bid. 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 Bid Specifications, prices shall be net, including transportation, customs, tariff, delivery and other charges fully prepaid by the Contractor to the destination(s) indicated in the Bid Specifications, subject to the cash discount.

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. Best Pricing Offer During the Contract term, if substantially the same or a smaller quantity of a Product is sold by the Contractor outside of this Contract upon the same or similar terms and conditions as that of this Contract at a lower price to a federal, state or local governmental entity, the price under this Contract, at the discretion of the Commissioner, shall be immediately reduced to the lower price.

Price decreases shall take effect automatically during the Contract term and apply to Purchase Orders submitted on or after:

(i) GSA Changes: Where NYS Net Prices are based on an approved GSA Schedule, the date the approved GSA Schedule pricing decreases during the Contract term; or

(ii) Commercial Price List Reductions: Where NYS Net Prices are based on a discount from Contractor’s list prices, the date Contractor

lowers its pricing to its customers generally or to similarly situated government customers 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 Price 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 NYS Net Price 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 Bid Specifications, Contractor may offer lower prices or better terms (see Modification of Contract Terms) on any specific Purchase Order(s) from any Authorized User without being in conflict with, or obligation to comply on a global basis, with the terms of this clause.

g. Best and Final Prices As specified in the Bid Documents and Contract, a Contractor may be solicited at the time of issuance of a Purchase Order or Mini-Bid award for best and final pricing for the Product or service to be delivered to the Authorized User. Contractors are encouraged to reduce their pricing upon receipt of such request.

25. DRAWINGS

a. Drawings Submitted With Bid When the Bid Specifications require the Bidder to furnish drawings and/or plans, such drawings and/or plans shall conform to the mandates of the Bid Documents and shall, when approved by the Commissioner, be considered a part of the Bid and of any resulting Contract. All symbols and other representations appearing on the drawings shall be considered a part of the drawing.

b. Drawings Submitted During the Contract Term Where required to develop, maintain and deliver diagrams or other technical schematics regarding the scope of work, Contractor shall do so on an ongoing basis at no additional charge, and must, as a condition of payment, update drawings and plans during the Contract term to reflect additions, alterations, and deletions. Such drawings and diagrams shall be delivered to the Authorized User's representative.

c. Accuracy of Drawings Submitted All drawings shall be neat and professional in manner and shall be clearly labeled as to locations and type of product, connections and components. Drawings and diagrams are to be in compliance with accepted drafting standards. Acceptance or approval of such plans shall not relieve the Contractor from responsibility for design or other errors of any sort in the drawings or plans, or from its responsibility for performing as required, furnishing product, services or installation, or carrying out any other requirements of the intended scope of work.

26. SITE INSPECTION Where a site inspection is required by the Bid Specifications or Project Definition, Bidder shall be required to inspect the site, including environmental or other conditions for pre-existing deficiencies that may affect the installed Product, equipment, or environment or services to be provided and, which 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 which 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 complete the delivery and installation of the required Product or provide the requested service.

27. PROCUREMENT CARD The State has entered into an agreement for purchasing card services. The Purchasing Card enables Authorized Users to make authorized purchases directly from a Contractor without processing a Purchase Order or Purchase Authorizations. Purchasing Cards are issued to selected employees authorized to purchase for the Authorized User and having direct contact with Contractors. Cardholders can make purchases directly from any Contractor that accepts the Purchasing Card.

The Contractor shall not process a transaction for payment through the credit card clearinghouse until the purchased products have been shipped or services performed. Unless the cardholder requests correction or replacement of a defective or faulty Product in accordance with other Contract requirements, the Contractor shall immediately credit a cardholder's account for products returned as defective or faulty.

28. SAMPLES

a. Standard Samples Bid Specifications may indicate that the Product to be purchased must be equal to a standard sample on display in a place designated by the Commissioner and such sample will be made available to the Bidder for examination prior to the opening date. Failure by the Bidder to examine such sample shall not entitle the Bidder to any relief from the conditions imposed by the Bid Specifications.

b. Bidder Supplied Samples The Commissioner reserves the right to request from the Bidder/Contractor a representative sample(s) of the Product offered at any time prior to or after award of a contract. Unless otherwise instructed, samples shall be furnished within the time specified in the request. Untimely submission of a sample may constitute grounds for rejection of Bid or cancellation of the Contract. Samples must be submitted free of charge and be accompanied by the Bidder's name and address, any descriptive literature relating to the Product and a statement indicating how and where the sample is to be returned. Where applicable, samples must be properly labeled with the appropriate Bid or Contract reference.

A sample may be held by the Commissioner during the entire term of the Contract and for a reasonable period thereafter for comparison with deliveries. At the conclusion of the holding period the sample, where feasible, will be returned as instructed by the Bidder, at the Bidder's expense and risk. Where the Bidder has failed to fully instruct the Commissioner as to the return of the sample (i.e., mode and place of return, etc.) or refuses to bear the cost of its return, the sample shall become the sole property of the receiving entity at the conclusion of the holding period.

c. Enhanced Samples When an approved sample exceeds the minimum specifications, all Product delivered must be of the same enhanced quality and identity as the sample. Thereafter, in the event of a Contractor's default, the Commissioner may procure a Product substantially equal to the enhanced sample from other sources, charging the Contractor for any additional costs incurred.

d. Conformance with Sample(s) Submission of a sample (whether or not such sample is tested by, or for, the Commissioner) and approval thereof shall not relieve the Contractor from full compliance with all terms and conditions, performance related and otherwise, specified in the Bid Specifications. If in the judgment of the Commissioner the sample or product submitted is not in accordance with the specifications or testing requirements prescribed in the Bid

Specifications, the Commissioner may reject the Bid. If an award has been made, the Commissioner may cancel the Contract at the expense of the Contractor.

e. Testing All samples are subject to tests in the manner and place designated by the Commissioner, either prior to or after Contract award. Unless otherwise stated in the Bid Specifications, Bidder samples consumed or rendered useless by testing will not be returned to the Bidder. Testing costs for samples that fails to meet Contract requirements may be at the expense of the Contractor.

f. Requests For Samples By Authorized Users Requests for samples by Authorized Users require the consent of the Contractor. Where Contractor refuses to furnish a sample, Authorized User may, in its sole discretion, make a determination on the performance capability of the Product or on the issue in question.

BID EVALUATION

29. BID EVALUATION The Commissioner reserves the right to accept or reject any and all Bids, or separable portions of offers, and waive technicalities, irregularities, and omissions if the Commissioner determines the best interests of the State will be served. The Commissioner, in his/her sole discretion, may accept or reject illegible, incomplete or vague Bids and his/her 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 offer.

30. CONDITIONAL BID Unless the Bid Specifications provides otherwise, a Bid is not rendered non-responsive if the Bidder specifies that the award will be accepted only on all or a specified group of items or Product included in the specification. It is understood that nothing herein shall be deemed to change or alter the method of award contained in the Bid Documents.

31. CLARIFICATIONS / REVISIONS Prior to award, the Commissioner reserves the right to seek clarifications, request Bid revisions, or to request any information deemed necessary for proper evaluation of Bids from all Bidders deemed to be eligible for Contract award. Failure to provide requested information may result in rejection of the Bid.

32. PROMPT PAYMENT DISCOUNTS 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. However, any notation indicating that the price is net, (e.g., net 30 days), shall be understood to mean only that no prompt payment discount is offered by the Bidder. The imposition of service, interest, or other charges, except pursuant to the provisions of Article 11-A of the State Finance Law, which are applicable in any case, may render the Bid non-responsive and may be cause for its rejection.

33. EQUIVALENT OR IDENTICAL BIDS In the event two offers are found to be substantially equivalent, price shall be the basis for determining the award recipient. 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.

34. PERFORMANCE AND RESPONSIBILITY QUALIFICATIONS The Commissioner reserves the right to investigate or inspect at any time whether or not the Product, services,

qualifications or facilities offered by the Bidder/Contractor meet the requirements set forth in the Bid Specifications/Contract or as set forth during Contract negotiations. Contractor shall at all times during the Contract term remain responsible and responsive. A Bidder/Contractor must be prepared, if requested by the Commissioner, to present evidence of legal authority to do business in New York State, integrity, experience, ability, prior performance, organizational and financial capacity as well as where applicable, a statement as to supply, plant, machinery and capacity of the manufacturer or source for the production, distribution and servicing of the Product offered/Bid. If the Commissioner determines that the conditions and terms of the Bid Documents, Bid Specifications or Contract are not complied with, or that items, services or Product proposed to be furnished do not meet the specified requirements, or that the legal authority, integrity experience, ability, prior performance, organization and financial capacity or facilities are not satisfactory, the Commissioner may reject such Bid or terminate the Contract.

35. DISQUALIFICATION FOR PAST PERFORMANCE AND FINDINGS OF NON-RESPONSIBILITY Bidder may be disqualified from receiving awards if Bidder, or anyone in Bidder's employment, has previously failed to perform satisfactorily in connection with public Bidding or contracts or is deemed non-responsive.

36. 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 Bid Specifications. In the event such right is exercised, the lowest responsible Bidder meeting Bid Specifications 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.

37. TIMEFRAME FOR OFFERS The Commissioner reserves the right to make awards within sixty (60) days after the date of the Bid opening or such other period of time as set forth in the Bid Documents, during which period, Bids must remain firm and cannot be withdrawn. Pursuant to Section 163(9)(e) of the State Finance Law and Section 2-205 of the Uniform Commercial Code when applicable, where an award is not made within the sixty (60) day period or other time specified as set forth in the Bid Documents, the Bids shall remain firm until such later time as either a Contract is awarded or the Bidder delivers to the Commissioner written notice of the withdrawal of its Bid. Any Bid which expressly states therein that acceptance must be made within a shorter specified time, may at the sole discretion of the Commissioner, be accepted or rejected.

TERMS & CONDITIONS

38. 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 Bid Specifications a Contract shall be deemed executed and created with the successful Bidder(s), 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.

39. PARTICIPATION IN CENTRALIZED CONTRACTS The following shall not limit or inhibit the OGS Commissioner's authority under State Finance Law, Section 163 (10) (e) (Piggybacking):

a. Agencies All State Agencies may utilize and purchase under any state Centralized Contract let by the Commissioner, unless the Bid Documents limit purchases to specific State Agencies.

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

c. Voluntary Extension Purchase Orders issued against a State Centralized Contract by any Authorized User not provided for in the Bid Specifications 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. Contractors are encouraged to voluntarily extend service Contracts to those additional entities authorized to utilize commodity Contracts under Section 163 (3) (iv) of the State Finance Law.

d. Responsibility for Performance Participation in state 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 save the State, its officers, agents and employees harmless from any liability that may be or is imposed by their 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 or services 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.

40. MODIFICATION OF CONTRACT TERMS The terms and conditions set forth in the Contract shall govern all transactions by Authorized User(s) 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 Authorized User(s) 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(s) and Commissioner by the Contractor at the time of such offer.

Other than where such terms are more advantageous for the Authorized User(s) 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 Authorized User(s) 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.

41. SCOPE CHANGES The Commissioner reserves the right, unilaterally, to require, by written order, changes by altering, adding to or deducting from the Bid Specifications, such changes to be within the general scope of the Contract. The Commissioner may make an equitable adjustment in the Contract price or delivery date if the change affects the cost or time of performance. Such equitable adjustments require the consent of the Contractor, which consent shall not be unreasonably withheld.

42. ESTIMATED / SPECIFIC QUANTITY CONTRACTS Estimated 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(s) is implied or given. Purchases by Authorized Users from Contracts for services and technology are voluntary.

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.

43. 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/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(s), as the Commissioner in his/her sole discretion determines will meet the needs of such emergency. Contractor shall not be entitled to any claim or lost profits for Product procured from other sources pursuant to this paragraph. The reasons underlying the finding that an emergency exists shall be included in the procurement record.

44. 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 when placed in the mail or electronically transmitted prior to the termination of the contract period, addressed to the Contractor at the address for receipt of orders set forth in the Contract or in the Contract Award Notification.

All Purchase Orders issued pursuant to Contracts let by the Commissioner must bear 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 vendor'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 OGS 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.

45. 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 or Contract Award Notice. Unless otherwise specified in the Bid Documents, delivery shall be made within thirty calendar days after receipt of a Purchase Order by 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 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. Failure to meet such delivery time schedule may be grounds for cancellation of the order or, in the Commissioner's discretion, the Contract.

46. WEEKEND AND HOLIDAY DELIVERIES Unless otherwise specified in the Bid Specifications 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.

47. SHIPPING/RECEIPT OF PRODUCT

a. Packaging Tangible 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 Bid Specifications, 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 personnel authorized to accept delivery on behalf of the Authorized User. Any losses resulting from the Contractor's failure to deliver Product to authorized personnel shall be borne exclusively by the Contractor.

48. TITLE AND RISK OF LOSS Notwithstanding the form of shipment, title or other property interest, risk of loss 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 Bid Specifications 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 Bid Specifications or Contract terms and conditions, may be rejected or accepted on an adjusted price basis, as determined by the Commissioner.

49. RE-WEIGHING PRODUCT Deliveries are subject to re-weighing at the point of destination by the Authorized User. If shrinkage occurs which exceeds that normally allowable in the trade, the Authorized User shall have the option to require delivery of the difference in quantity or to reduce the payment accordingly. Such option shall be exercised in writing by the Authorized User.

50. PRODUCT SUBSTITUTION In the event a specified manufacturer's 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 cancellation of Contract.

51. 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.

52. 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 appearance of the Product or render it structurally 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(s) 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.

53. REPAIRED OR REPLACED PARTS / 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 Additional 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 manufacturer's 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.

54. ON-SITE STORAGE With the written approval of the Authorized User, materials, equipment or supplies may be stored at the Authorized User's site at the Contractor's sole risk.

55. EMPLOYEES, SUBCONTRACTORS & AGENTS All employees, Subcontractors or agents 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 Bid Specifications or the Bid Documents, whichever is more restrictive, and must comply with all security and administrative requirements of the Authorized User. The Commissioner reserves 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, including but not limited to, 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 terms. The Commissioner reserves the right to reject and/or bar from the facility for cause any employee, Subcontractor, or agents of the Contractor.

56. ASSIGNMENT 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). Failure to obtain consent to assignment from the Authorized User shall revoke and annul such Contract. 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 assignment(s) with the Comptroller. Prior to a consent to assignment of a Contract, or portion thereof, becoming effective, the Contractor shall submit the request to assignment to the Commissioner and seek written agreement from the Commissioner which will be filed with the Comptroller. The Commissioner reserves the right to reject any proposed assignee in his/her discretion.

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.

57. SUBCONTRACTORS AND SUPPLIERS The Commissioner reserves the right to reject any proposed Subcontractor or supplier for bona fide business reasons, which may include, but are not limited to: they are on the Department of Labor's list of companies with which New York State cannot do business; the Commissioner determines that the company is not qualified; the Commissioner determines that the company is not responsible; the company has previously provided unsatisfactory work or services; the company failed to solicit minority and women's business enterprises (M/WBE) Bidders as required by prior Contracts.

58. PERFORMANCE / BID BOND The Commissioner reserves the right to require a Bidder or Contractor to furnish without additional cost, a performance, payment or Bid bond or negotiable irrevocable letter of credit or other form of security for the faithful performance of the Contract. Where required, such bond or other security shall be in the form prescribed by the Commissioner.

59. SUSPENSION OF WORK The Commissioner, in his/her sole discretion, reserves the right to suspend any or all activities under this 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 on State spending, declaration of emergency, contract compliance issues or other such 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.

60. TERMINATION

a. For Cause: For a material breach that remains uncured for more than thirty (30) days or other specified period after written notice to the Contractor, the Contract or Purchase Order may be terminated by the Commissioner or Authorized User at the Contractor's expense where Contractor becomes unable or incapable of performing, or meeting any requirements or qualifications set forth in the Contract, or for non-performance, or upon a determination that Contractor is non-responsible. 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: By written notice, this Contract may be terminated at any time by the State for convenience upon sixty (60) days written notice or other specified period 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 provide any outstanding deliverables.

c. For Violation of the 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 its termination right by providing written notification to the Contractor in accordance with the written notification terms of the Contract.

d. For Violation of Revised Tax Law 5a: 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 §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 its termination right by providing written notification to the Contractor.

61. SAVINGS/FORCE MAJEURE A force majeure occurrence is an event or effect that cannot be reasonably anticipated or controlled. Force majeure includes, but is not limited to, acts of God, acts of war, acts of public enemies, 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 which non- performance, by exercise of reasonable diligence, cannot be prevented. Contractor shall provide the Commissioner with written notice of any force majeure occurrence as soon as the delay is known.

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:

a. Accept allocated performance or deliveries from the Contractor. The Contractor, however, hereby agrees to grant preferential treatment to Authorized Users with respect to Product subjected to allocation; and/or

b. 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

c. 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/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.

62. CONTRACT BILLINGS Contractor and the distributors/resellers designated by the Contractor, if any, shall provide complete and accurate billing invoices to each Authorized User in order to receive payment. Billings for Authorized Users must contain all information required by the Contract and the State Comptroller. The State Comptroller shall render payment for Authorized User purchases, and such payment shall be made in accordance with ordinary State procedures and practices. Payment of Contract purchases made by Authorized Users, other than Agencies, shall be billed directly by Contractor on invoices/vouchers, together with complete and accurate supporting documentation as required by the Authorized User.

Submission of an invoice and payment thereof shall not preclude the Commissioner from reimbursement or demanding a price adjustment in any case where the Product delivered is found to deviate from the terms and conditions of the Contract or where the billing was inaccurate.

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 the format requested by the Commissioner and in a media commercially available from the Contractor. The Commissioner may direct the Contractor to provide the information to the State Comptroller or to any Authorized User of the Contract.

63. DEFAULT – AUTHORIZED USER

a. Breach of Authorized User Not Breach of Centralized Contract. 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 60 days of such delivery and acceptance, the Contractor may, upon 10 days advance written notice to both the Commissioner and the Authorized User's purchasing official, suspend additional shipments of Product or provision of services 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 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. It is understood, however, that if the Contractor's basis for declaring a breach is insufficient, the Contractor's declaration of breach and failure to service an Authorized User shall constitute a breach of its Contract and the Authorized User may thereafter seek any remedy available at law or equity.

64. INTEREST ON LATE PAYMENTS

a. State Agencies The payment of interest on certain payments due and owed by Agency may be made in accordance with Article 11-A of the State Finance Law (SFL §179-d et. Seq.) and Title 2 of the New York Code of Rules and Regulations, Part 18 (Implementation of Prompt Payment Legislation -2 NYCRR §18.1 et seq.).

b. By Non-State Agencies The terms of Article 11-A apply only to procurements by and the consequent payment obligations of Agencies. Neither expressly nor by any implication is the statute applicable to Non-State 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.

65. REMEDIES FOR BREACH It is understood and agreed that all rights and remedies afforded below shall be in addition to all remedies or actions otherwise authorized or permitted by law:

a. Cover/Substitute Performance In the event of Contractor's material breach, the Commissioner may, with or without formally Bidding: (i) Purchase from other sources; or (ii) If the Commissioner is unsuccessful after making reasonable attempts, under the circumstances then existing, to timely obtain acceptable service or acquire replacement Product of equal or comparable quality, the Commissioner may acquire acceptable replacement Product of lesser or greater quality.

Such purchases may, in the discretion of the Commissioner, be deducted from the Contract quantity and payments due Contractor.

b. Withhold Payment In any case where a question of non-performance by Contractor arises, payment may be withheld in whole or in part at the discretion of the Commissioner. Should the amount withheld be finally paid, a cash discount originally offered may be taken as if no delay in payment had occurred.

c. Bankruptcy In the event that the Contractor files 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 its right to set-off against monies due the Debtor or, under the Doctrine of Recoupment, credit the Authorized User 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 services, and/or 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 expended or incurred by the Authorized User in connection therewith, 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 rent substitute equipment temporarily. Any sums expended for such rental shall, upon demand, be reimbursed to the Authorized User promptly by the Contractor or deducted by the Authorized User from payments due or to become due the Contractor on the same or another transaction.

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, liquidated damages, etc., which arise from the administration of the Contract.

66. ASSIGNMENT OF CLAIM Contractor hereby assigns to the State any and all its claims for overcharges associated with this Contract which 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.

67. 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 material 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 Material Safety Data Sheet must be provided to and approved by the Authorized User agency representative.

68. INDEPENDENT CONTRACTOR It is understood and agreed that the legal status of the Contractor, its 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. The Contractor agrees, during the term of this Contract, to maintain at Contractor's expense those benefits to which its employees would otherwise be entitled by law, including health benefits, and all necessary insurance for its employees, including worker's compensation, disability and unemployment insurance, and to provide the Authorized User with certification of such insurance upon request. The Contractor remains responsible for all applicable federal, state and local taxes, and all FICA contributions.

69. SECURITY Contractor warrants, covenants and represents that it will comply fully with all security procedures of the Authorized User(s) in performance of the Contract including but not limited to physical, facility, documentary and cyber security rules, procedures and protocols.

70. 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 of Product or coordination of performance of services.

71. CONTRACT TERM - RENEWAL In addition to any stated renewal periods in the Contract, any Contract or unit portion thereof let by the Commissioner may be extended by the Commissioner for an additional period(s) of up to one year with the written concurrence of the Contractor and Comptroller. Such extension may be exercised on a month to month basis or in other stated periods of time during the one year extension.

72. ADDITIONAL WARRANTIES Where Contractor, product manufacturer or service provider generally offers additional or more advantageous warranties than set forth below, Contractor shall offer or pass through any such warranties to Authorized Users. Contractor hereby warrants and represents:

a. Product Performance Contractor warrants and represents that Products delivered pursuant to this Contract conform to the manufacturer's specifications, performance standards and documentation, and the documentation fully describes the proper procedure for using the Products.

b. Title and Ownership Warranty Contractor warrants, represents and conveys (i) full ownership, clear title free of all liens, or (ii) the right to transfer or deliver perpetual license rights to any Products transferred to Authorized User under this Contract. Contractor shall be solely liable for any costs of acquisition associated therewith. Contractor fully indemnifies the Authorized User for any loss, damages or actions arising from a breach of said warranty without limitation.

c. Contractor Compliance Contractor represents and warrants to pay, at its sole expense, for all applicable permits, licenses, tariffs, tolls and fees to give all notices and comply with all 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 renewals thereof, Contractor must establish to the satisfaction of the Commissioner that it meets or exceeds all requirements of the Bid/Contract and any applicable laws, including but not limited to, permits, insurance coverage, licensing, proof of coverage for worker's compensation, and shall provide such proof as required by the Commissioner. Failure to do so may constitute grounds for the Commissioner to cancel or suspend this Contract, in whole or in part, or to take any other action deemed necessary by the Commissioner.

d. Product Warranty Unless recycled or recovered materials are available in accordance with the "Recycled 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; and no attachment or part has been substituted or applied contrary to the manufacturer's recommendations and standard practice.

Contractor further warrants and represents that components or deliverables specified and furnished by or through Contractor shall individually, and where specified and furnished as a system, be substantially uninterrupted or error-free in operation and guaranteed against faulty material and workmanship for the warranty period, or for a minimum of one (1) year from the date of acceptance, whichever is longer ("Project warranty period"). During the Project warranty period, defects in the materials or workmanship of components or deliverables specified and furnished by or through Contractor shall be repaired or replaced by Contractor at no cost or expense to the Authorized User. Contractor shall extend the Project warranty period for individual component(s), or for the System as a whole, as applicable, by the cumulative period(s) of time, after notification, during which an individual component or the System requires servicing or replacement (down time) or is in the possession of the Contractor, its agents, officers, Subcontractors, distributors, resellers or employees ("extended warranty").

Where Contractor, the Independent Software Vendor "ISV," or other third party manufacturer markets any Project Deliverable 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 project warranty and extended warranty period(s). Where such standard commercial warranty covers all or some of the Project warranty or extended warranty period(s), Contractor shall be responsible for the coordination during the Project warranty or extended warranty period(s) with ISV or other third party manufacturer(s) for warranty repair or replacement of ISV or other third party manufacturer's Product.

Where Contractor, ISV or other third party manufacturer markets any Project Deliverable with a standard commercial warranty which goes

beyond the Project warranty or extended warranty period(s), Contractor shall notify the Authorized User and pass through the manufacturer's standard commercial warranty to Authorized User at no additional charge; provided, however, that Contractor shall not be responsible for coordinating services under the third party extended warranty after expiration of the Project warranty and extended warranty period(s).

e. Replacement Parts Warranty If during the regular or extended warranty period's faults develop, the Contractor shall promptly repair or, upon demand, replace the defective unit or component part affected. All costs for labor and material and transportation incurred to repair or replace defective Product 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.

Any part of component replaced by the Contractor under the Contract warranty shall be replaced at no cost to the Authorized User and guaranteed for the greater of: a) the warranty period under paragraph (d) above; or b) if a separate warranty for that part or component is generally offered by the manufacturer, the standard commercial warranty period offered by the manufacturer for the individual part or component.

f. Virus Warranty The Contractor represents and warrants that Licensed Software contains no known viruses. Contractor is not responsible for viruses introduced at Licensee's site.

g. Date/Time Warranty Contractor warrants that Product(s) 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.

This Date/Time Warranty shall survive beyond termination or expiration of this contract through: a) ninety (90) days or b) the Contractor's or Product manufacturer/developer's stated date/time warranty term, whichever is longer. Nothing in this warranty statement shall be construed to limit any rights or remedies otherwise available under this Contract for breach of warranty.

h. Workmanship Warranty Contract warrants that all components or deliverables specified and furnished by or through Contractor under the Project Definition/Work Order meet the completion criteria set forth in the Project Definition/Work Order and any subsequent statement(s) of work, and that services will be provided in a workmanlike manner in accordance with industry standards.

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

73. LEGAL COMPLIANCE Contractor represents and warrants that it shall secure all notices and comply with all 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 renewals thereof, Contractor must establish to the satisfaction of the Commissioner that it meets or exceeds all requirements of the Bid 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 cancel 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.

74. INDEMNIFICATION Contractor shall be fully liable for the actions of its agents, employees, partners or Subcontractors and shall fully indemnify and save harmless the Authorized Users from suits, actions, damages and costs 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, without limitation; provided, however, that the Contractor shall not indemnify for that portion of any claim, loss or damage arising hereunder due to the negligent act or failure to act of the Authorized Users.

75. INDEMNIFICATION RELATING TO THIRD PARTY RIGHTS The Contractor will also indemnify and hold the Authorized Users harmless from and against any and all damages, expenses (including reasonable attorneys' fees), claims, judgments, liabilities and costs that may be finally assessed against the Authorized Users in any action for infringement of a United States Letter Patent, or of any copyright, trademark, trade secret or other third party proprietary right except to the extent such claims arise from the Authorized Users gross negligence or willful misconduct, provided that the State shall give Contractor: (i) prompt written notice of any action, claim or threat of infringement suit, or other suit, (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 at the expense of Contractor.

If usage 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 said service or Product or part(s) thereof, as applicable, with non-infringing service or 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 the Authorized User is given a refund for any amounts paid for the period during which Usage was not feasible.

The foregoing provisions as to protection from third party rights shall not apply to any infringement occasioned by modification by the Authorized User of any Product without Contractor's approval.

In the event that an action at law or in equity is commenced against the Authorized User arising out of a claim that the Authorized User's use of the service or Product under the Contract infringes any patent, copyright or proprietary right, and Contractor is of the opinion that the allegations in such action 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

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. Contractor shall in such event protect the interests of the Authorized User and secure a continuance to permit the Authorized User to appear and defend its interests in cooperation with Contractor, as is appropriate, including any jurisdictional defenses the Authorized User may have. This constitutes the Authorized User's sole and exclusive remedy for patent infringement, or for infringement of any other third party proprietary right.

76. LIMITATION OF LIABILITY Except as otherwise set forth in the Indemnification Paragraphs above, 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 and services 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 and services, or parts thereof forming the basis of the Authorized User's claim, (said amount not to exceed a total of twelve (12) months charges payable under the applicable Purchase Order) or (ii) one million dollars (\$1,000,000), 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.

77. INSURANCE Contractor shall secure and maintain insurance coverage as specified in the Bid Documents and shall promptly provide documentation of specified coverages to the Authorized User. If specified, the Contractor may be required to add the Authorized User as an additional insured.

THE FOLLOWING CLAUSES PERTAIN TO TECHNOLOGY & NEGOTIATED CONTRACTS

78. 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 (i.e., payroll size, number of employees, CPU, MIPS, MSU, concurrent user, workstation). Licensee shall have the right to use and distribute modifications or customizations of the Product to and for use by any Authorized Users otherwise licensed to use the Product, provided that any modifications, 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.

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. Licensed Documentation If commercially available, Licensee shall have the option to require the Contractor to deliver, at Contractor's expense: (i) one (1) hard copy and one (1) master electronic copy of the Documentation in a mutually agreeable format; (ii) based on hard copy instructions for access by downloading from the Internet (iii) hard copies of the Product Documentation by type of license in the following amounts, unless otherwise mutually agreed:

- Individual/Named User License - one (1) copy per License
- Concurrent Users - 10 copies per site
- Processing Capacity - 10 copies per site

Software media must be in a format specified by the Authorized User, without requiring any type of conversion.

Contractor hereby grants to Licensee a perpetual license right to make, reproduce (including downloading electronic copies of the Product) and distribute, either electronically or otherwise, copies of Product Documentation as necessary to enjoy full use of the Product in accordance with the terms of license.

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. Maintenance term(s) and any renewal(s) thereof are independent of the expiration of the Centralized Contract term and will not automatically renew.

Maintenance shall include, at a minimum, (i) the provision of error corrections, updates, revisions, fixes, upgrade and new releases to Licensee, and (ii) Help Desk assistance with locally accessible "800" or toll free, local telephone service, or alternatively on-line Help Desk accessibility. Contractor shall maintain the Products so as to provide Licensee with the ability to utilize the Products in accordance with the Product documentation without significant functional downtime to its ongoing business operations during the maintenance term.

Authorized User 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 Authorized User 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 which would have been due under the Contract for the period of time that such maintenance had lapsed, at then current NYS net maintenance rates.

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 between Agencies ("permitted license transfers"). Licensee(s) do not have to obtain the approval of Contractor for permitted license transfers, but must give thirty (30) days prior written notice to Contractor of such move(s) 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 Outsourcers / Facilities Management, Service Bureaus / or Other Third Parties Outsourcers, facilities management or service bureaus 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: 1) Licensee gives notice to Contractor of such party, site of intended use of the Product, and means of access; and 2) such 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 3) if such party is engaged in the business of facility management, outsourcing, service bureau or other services, such third party will maintain 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.

Any third party with whom a Licensee has a relationship for a state function or business operation, shall have the temporary right to use Product (e.g., JAVA Applets), provided that such use shall be limited to the time period during which the third party is using the Product for the function or business activity.

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 in the event of destruction or corruption of the Product or disasters or emergencies which require Licensee to restore backup(s) or to initiate disaster recovery procedures for its platform or operating systems; ii) reproducing a reasonable number of copies of the Product and related Documentation for cold site storage. "Cold Site" storage shall be defined as a restorable back-up copy of the Product not to be installed until and after the declaration by the Licensee of a disaster; 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. "Disaster Recovery" shall be defined as 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.

h. Confidentiality Restrictions The Product is a trade secret, copyrighted and proprietary product. Licensee and its employees will keep the Product strictly confidential, and Licensee will not disclose or otherwise distribute or reproduce any Product to anyone other than as

authorized under the terms of Contract. Licensee will not remove or destroy any proprietary markings of Contractor.

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;
- (iii) Export the Licensed Software in violation of any U.S. Department of Commerce export administration regulations.

79. PRODUCT ACCEPTANCE Unless otherwise provided by mutual agreement of the Authorized User and the Contractor, Authorized User(s) shall have thirty (30) days from the date of delivery to accept hardware products and sixty (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. 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(s) 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 the Commissioner or Authorized User agrees to accept the Product at completion of trial use.

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 sets to be specified by User. Where using its own data or tests, Authorized User must have the tests or representative set of data available upon delivery. This demonstration will take the form of a documented installation test, capable of observation by the Authorized User, and shall be made part of the Contractor's standard documentation. 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 thirty (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.

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 thirty (30) days to correct the deficiency, and the Authorized User shall have an additional sixty (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.

80. 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 provided that: (i) Contractor gives Licensee(s) at least thirty (30) days advance written notice, (ii) such audit is conducted during such party's normal business hours, (iii) the audit is conducted by an independent auditor chosen on mutual agreement of the parties. Contractor shall recommend a minimum of three (3) auditing/accounting firms from which the Licensee will select one (1). In no case shall the Business Software Alliance (BSA), Software Publishers Association (SPA), Software and Industry Information Association (SIIA) or Federation Against Software Theft (FAST) be used directly or indirectly to conduct audits, or be recommended by Contractor; (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; and (v) 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 NYS Net Price in effect 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.

81. OWNERSHIP/TITLE TO PROJECT DELIVERABLES

a. Definitions

(i) For purposes of this paragraph, "Products." A deliverable 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 diskette, CD, DVD or other 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 paragraph, "Existing Products." 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 paragraph, "Custom Products." Products, preliminary, final or otherwise, which are created or developed by Contractor, its Subcontractors, partners, employees or agents for Authorized User under the Contract.

b. Title to Project Deliverables Contractor acknowledges that it is commissioned by the Authorized User to perform the services detailed in the Purchase Order. Unless otherwise specified in writing in the Bid or Purchase Order, the Authorized User shall have ownership and license rights as follows:

(i) Existing Products:

1. Hardware - Title and ownership of Existing Hardware Product shall pass to Authorized User upon Acceptance.

2. Software - Title and ownership to Existing Software Product(s) delivered by Contractor under the Contract that is normally commercially distributed on a license basis by the Contractor or other independent software vendor proprietary owner ("Existing Licensed

Product”), whether or not embedded in, delivered or operating in conjunction with hardware or Custom Products, shall remain with Contractor or the proprietary owner of other independent software vendor(s) (ISV). Effective upon acceptance, such Product shall be licensed to Authorized User in accordance with the Contractor or ISV owner’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 purpose(s) stated in the Bid 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 ISV’s owner’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 paragraph.

(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 Product(s), 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 purpose(s) 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 purchase (s) 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 Product(s), 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 paragraph.

e. **Contractor’s Obligation with Regard to ISV (Third Party Product)** Where Contractor furnishes Existing Licensed Product(s) as a Project Deliverable, and sufficient rights necessary to effect the purposes of this section are not otherwise provided in the Contractor or ISV’s standard license agreement, Contractor shall be responsible for obtaining from the ISV third party proprietary owner/developer the rights set forth herein to the benefit of the Authorized User at Contractor’s sole cost and expense.

82. **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; or (ii) a written confirmation from the Proprietary owner accepting Product invoice as proof of license. Contractor shall submit a sample certificate, or alternatively such written confirmation from the proprietary developer. Such certificates must be in a form acceptable to the Licensee.

83. **PRODUCT VERSION** Purchase Orders shall be deemed to reference Manufacturer’s most recently released model or version of the Product at time of order, unless an earlier model or version is specifically requested in writing by Authorized User and Contractor is willing to provide such version.

84. **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, each Licensee and each Authorized User 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 customer, or b) not less than twelve (12) months from the date of notice; and (iii) at Authorized User’s option, provided that the Authorized User is under contract for maintenance on the date of notice, either: provide the Authorized User with a Product replacement or migration path with at least equivalent functionality at no additional charge to enable Authorized User to continue use and maintenance of the Product.

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 (5) 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 State and each Authorized User 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 customer, or b) not less than twelve (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.

85. NO HARDSTOP/PASSIVE LICENSE MONITORING

Unless an Authorized User is otherwise specifically advised to the contrary in writing at the time of order and prior to purchase, Contractor hereby warrants and represents that the Product and all Upgrades do not and will 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). Contractor agrees that in the event of a breach or alleged breach of this provision that Authorized User shall not have an adequate remedy at law, including monetary damages, and that Authorized User 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 Authorized User shall be entitled.

86. SOURCE CODE ESCROW FOR LICENSED PRODUCT

If Source Code or Source Code escrow is offered by either Contractor or Product manufacturer or developer to any other commercial customers, Contractor shall either: (i) provide Licensee with the Source Code for the Product; or (ii) place the Source Code in a third party escrow arrangement with a designated escrow agent who shall be named and identified to the State, and who shall be directed to release the deposited Source Code in accordance with a standard escrow agreement acceptable to the State; or (iii) will certify to the State that the Product manufacturer/developer has named the State, acting by and through the Authorized User, and the Licensee, as a named beneficiary of an established escrow arrangement with its designated escrow agent who shall be named and identified to the State and Licensee, and who shall be directed to release the deposited Source Code in accordance with the terms of escrow. Source Code, as well as any corrections or enhancements to such source code, shall be updated for each new release of the Product in the same manner as provided above and such updating of escrow shall be certified to the State in writing. Contractor shall identify the escrow agent upon commencement of the Contract term and shall certify annually that the escrow remains in effect in compliance with the terms of this paragraph.

The State may release the Source Code to Licensees under this Contract who have licensed Product or obtained services, who may use such copy of the Source Code to maintain the Product.

FOR NEGOTIATED CONTRACTS THE FOLLOWING CLAUSES ARE RESERVED BECAUSE BIDDING DOES NOT APPLY:

Clauses: 7, 8, 9, 10, 11, 12, 13, 16, 15, 21, 25, 26, 28, 29, 30, 31, 32, 33, 36, 49, 50, 52, 54 and 37

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Contractors Insurance Requirements

Following contract award, the Contractor shall provide to the New York State Office of General Services (hereinafter referred to as "OGS"), Certificates of Insurance (hereinafter referred to as "Certificates"), executed by a duly authorized representative of each insurer evidencing compliance with all requirements contained in this solicitation. Such Certificates shall be of a form and substance acceptable to OGS. Workers Compensation and Disability coverages, will be evidenced on the forms required by New York State to certify compliance with these laws. At the time of a mini-bid award and during the term of the mini-bid contract, the Contractor is obligated to provide proof of requisite insurance coverage to the Authorized Contract User. If any Insurance Certificates expire during the term of a mini-bid contract, Contractor is obligated to provide the Authorized User copies of updated valid Insurance Certificates.

Certificate acceptance and/or approval by OGS does not and shall not be construed to relieve Contractor of any obligations, responsibilities or liabilities under the Contract or indicate adequacy of coverage or limits.

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 or authorized to do business in New York State and acceptable to OGS; shall be primary and non-contributing to any insurance or self insurance maintained by OGS; shall be endorsed to provide written notice be given to OGS, at least thirty (30) 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 the New York State Office of General Services, Procurement Services Group, Empire State Plaza, Corning Tower, 38th floor, Albany, New York 12242 and shall name The People of the State of New York, its officers, agents, and employees as additional insureds there under (General Liability Additional Insured Endorsement shall be on Insurance Service Office's (ISO) form number CG 20 10 11 85). The additional insured requirement does not apply to Workers Compensation or Disability 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 OGS. Such approval shall not be unreasonably withheld. Any excess policy must follow the requirements set forth in the New York State Insurance Law for such coverage.

Contractor shall require all Subcontractors, prior to commencement of an agreement between Contractor and the Subcontractor, to secure and keep in force during the term of this contract 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 OGS 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 coverages during the period of time such coverages are required to be in effect.

Not less than thirty (30) days prior to the expiration date or renewal date, the Contractor shall supply to OGS 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 coverages and shall cover liability arising from premises operations, independent contractors, products-completed operations, broad form property damage, personal & advertising injury, cross liability coverage, liability assumed in a contract (including the tort liability of another assumed in a contract) and explosion, collapse & underground coverage. If such insurance contains an aggregate limit, it shall apply separately on a per job or per project basis.
- b) Workers Compensation, Employers Liability, and Disability Benefits as required by New York State. If employees will be working on, near or over navigable waters, US Longshore and Harbor Workers Compensation Act endorsement must be included.
- c) Commercial Business Automobile Liability Insurance with a limit of not less than \$1,000,000 each accident. Such insurance shall cover liability arising out of any automobile including owned, leased, hired and non-owned automobiles.
- d) If the work involves abatement, removal, repair, replacement, enclosure, encapsulation and/or disposal of any petroleum, petroleum product, hazardous material or substance, the Contractor shall maintain in full force and effect throughout the term hereof, pollution legal liability insurance with limits of not less than \$5,000,000, providing coverage for bodily injury and property damage, including loss of use of damaged property or of property that has not been physically injured. Such policy shall provide coverage for actual, alleged or threatened emission, discharge, dispersal, seepage, release or escape of pollutants,

including any loss, cost or expense incurred as a result of any cleanup of pollutants or in the investigation, settlement or defense of any claim, suit, or proceedings against OGS arising from Contractors work.

1. 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.
2. If the Contract includes disposal of materials from the job site, the Contractor must furnish to OGS, evidence of pollution legal liability insurance in the amount of \$2,000,000 maintained by the disposal site operator for losses arising from the disposal site accepting waste under this Contract.
 - i) If autos are used for transporting hazardous materials, the Contractor shall provide pollution liability broadened coverage for covered autos (endorsement CA 99 48) as well as proof of MCS 90.

Waiver of Subrogation. Contractor shall cause to be included in each of its policies insuring against loss, damage or destruction by fire or other insured casualty a blanket or specific waiver of the insurer's right of subrogation against OGS, or, if such waiver is unobtainable (i) an express agreement that such policy shall not be invalidated if Contractor waives or has waived before the casualty, the right of recovery against OGS or (ii) any other form of permission for the release of OGS.

In the block provided in the Certificate of Insurance for insertion of "Description of Operations/Locations/Vehicles/Exclusions Added by Endorsement/Special Provisions" the additional insured information and job specific information, such as the nature of the contract and either the solicitation number or the contract award number should be referenced.

The insolvency or bankruptcy of the insured Contractor, or Subcontractor, shall not release the Insurer from payment under the policy, even when such insolvency or bankruptcy prevents the insured Contractor, or Subcontractor, from meeting the retention limits under the policy.

Contractor acknowledges that failure to obtain any or all required insurance on behalf of OGS constitutes a material breach of contract and subjects it to liability for damages, indemnification and all other legal remedies available to OGS.

BIDDER IS REQUIRED TO SIGN BOTH SECTIONS ON THIS PAGE

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

In accordance with Chapter 807 of the Laws of 1992 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% or greater ownership interest in the bidder, either: (answer yes or no to one or both of the following, as applicable),

(1) have business operations in Northern Ireland,

Yes ___ or No ___

if yes:

(2) shall take lawful steps in good faith to conduct any business operations they have 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 ___

8

(Contractor's Signature)

(Name of Business)

NON-COLLUSIVE BIDDING CERTIFICATION

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 to the best of his/her knowledge and belief:

(1) The prices in this bid have been arrived at independently without collusion, consultation, communication, or agreement, for the purpose 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.

(Contractor's Signature)

(Name of Business)

Prevailing Wage Rate Schedule

NOTE: The prevailing wage rate schedule for this project is extensive since it covers all counties Statewide. A review of the prevailing wage rate schedule may be accomplished by entering the schedule's PRC# - 2008002096 at the Department of Labor's website through the following link:

<http://wpp.labor.state.ny.us/wpp/showFindProject.do?method=showIt>

Please note that the applicable prevailing wage title for this contract is Elevator Constructor. The Contractor is charged with having full knowledge and responsibility for the payment of applicable prevailing wages.

Please note, contractors that provide service to New York City (NYC) agencies shall pay their employees the greater of the two following wage rates: the NYC prevailing wage rate for the title of "'A" Elevator Repair/Modernization Mechanic", as listed in the then most current prevailing wage schedule issued by the NYC Bureau of Labor Law or the NYC prevailing wage rate for the title of "Elevator Constructor - Modernization and Service", as listed in the then most current prevailing wage schedule issued by the NYS Department of Labor. Additionally, other municipalities have enacted Living Wage rates which may be applicable to one or more Authorized Users utilizing this contract. **Contractors are required to be familiar with the applicable Living Wage rate requirements throughout the state and to pay its employees accordingly.**

New York State Office of General Services
Procurement Services Group
Corning Tower Building
Empire State Plaza
Albany, New York 12242
<http://www.ogs.ny.gov>

PURCHASING MEMORANDUM

BID SOLICITATION UPDATE #1

IFB/RFP NUMBER: 21340

DATE: October 1, 2008

GROUP: 71004 – Elevator Maintenance

**PLEASE ADDRESS INQUIRIES TO
DESIGNATED CONTACTS:**

BID OPENING DATE: October 15, 2008

Dewan Bristo
Purchasing Officer
(518) 486-2519
dewan.bristo@ogs.ny.gov

Team Leader
Karen Fowler
(518) 486-2110
karen.fowler@ogs.ny.gov

SUBJECT: Responses to Bidder Inquiries.

TO PROSPECTIVE BIDDERS:

As a result of questions from potential bidders, bid addendum No. 1 has been issued to provide responses, which are to be considered in addition to the initial Request for Proposals (RFP). Only the RFP and **this addendum** or any **future changes issued as a formal addendum by OGS in writing should be considered for bid preparation**. If a conflict of information occurs between the RFP and this addendum **the information in this document (the Addendum) shall take precedence**. Verbal discussions are not to be considered and have no credence in this solicitation.

The following information refers to the Questions submitted by interested bidders.

Question 1: Section I, Paragraph II (Scope): Is Contractor responsible to make equipment upgrades to existing equipment as required by ASME A17.1, A17.2 and A17.3 or any local authority having jurisdiction?

Response: Under regular monthly maintenance, Contractors will not be required to make upgrades to equipment in response to changes in ASME A17.1, A17.2 and A17.3 or any local authority having jurisdiction.

Question 2: Section II, Paragraph II.4 (Work not Included in Contract): Is the Contractor responsible for underground piping including single bottom cylinders?

Response: No, Contractors are not responsible for any part of the underground portion for the hydraulic jack cylinder, buried pipe or buried conduit.

Question 3: Section II, Paragraph II.4 (Callback Service): Can the following statement be revised from "Within one (1) hour after receipt of request for any stalled elevator(s) containing trapped passenger or any elevator designated in the Mini-bid contract as being essential" to "Within the designated time as stated in the mini-bid document of a facility after receipt of request for any stalled elevator(s) containing trapped passenger or any elevator designated in the Mini-bid contract as being essential"? The concern here is that, depending on the location of a facility, the Contractor should be able to decide at the time of a mini-bid whether the Contractor can meet the time requirement of this paragraph for a particular facility with stated penalty of liquidated damages.

Response: No, the one hour response time is mandatory when responding to emergency call backs for elevators that are designated as essential or elevators containing trapped passengers. When responding to mini-bids Contractors should take into consideration the locations of the facilities and whether or not Contractors can comply with the one hour response time requirement.

Question 4: Section II, Paragraph II.4 (Minimum Preventive Maintenance Requirements, paragraph 2, b): Is "rated speed" the speed of the elevators at time of contract commencement or contract speed at time of installation (if contract speed at time of installation, will the Authorized User be responsible to provide?)?

Response: "Rated speed" will be the speed of the elevators at the time of commencement of the mini-bid contract. The Contractor is responsible for documenting the rated speed, providing for approval by the Agency Representative and then ensuring that the rated speed is maintained at all times for each elevator, subject to the capability of the equipment.

Question 5: Section II, Paragraph II.4 (Minimum Preventive Maintenance Requirements, paragraph 2, d): Is "Traffic handling capabilities" defined as "simplex", "duplex" (etc.) operation?

Response: Yes, traffic handling capabilities is defined as the type of control system operation.

Question 6: Section II, Paragraph II.4 (Minimum Preventive Maintenance Requirements, Item 2, a-f): Is Authorized User responsible to provide the specified information for each type of equipment or can Contractor provide based upon operating criteria at commencement of contract? This information includes the following:

- (a) Maximum capacity in pounds.
- (b) Rated speed in feet per minute.
- (c) Door operation.
- (d) Traffic handling capabilities.
- (e) Response times.
- (f) Ride quality.

Response: After award of a mini-bid contract, the Contractor is responsible for documenting the operating criteria, providing for approval by the Agency Representative and then ensuring that the original operating criteria is maintained at all times for each elevator, subject to the capability of the equipment.

Question 7: Section III, Paragraph III.2: Should the Labor Cost Adjustment use the increase in the prevailing wage rate in the locality where the work is performed?

Response: No, the CPI Price Adjustment clause is used to not only adjust the mini-bid maintenance fees, but also to adjust the "not to exceed" Backdrop contract rates. "Not to exceed" Backdrop contract rates are generic in that they do not apply to just one county and therefore, they can not be adjusted based on prevailing wage rates which may vary in adjustments from county to county annually.

Question 8: Section III, Paragraph III.4, A, 3: Can this Section be revised to: "Contractors will attend job meetings as directed by Authorized Users in mini-bid documents."?

Response: No, this Section will remain stating the following:

“Unless otherwise directed by the Authorized User, there shall be monthly job meetings for the following purposes:

- a. Review job progress, quality of work, and approval and delivery of materials.*
- b. Identify and resolve problems that impede planned progress.*
- c. Coordinate the efforts of all concerned so that the contract progresses on schedule to on-time completion.*
- d. Maintain a sound working relationship between the Contractor and the user agency, and a mutual understanding of the contract.*
- e. Maintain sound working procedures.”*

Please note that Authorized Users will decide how often job meetings will occur.

Question 9: Appendices (Contract Insurance Requirements): In lieu of naming as additional insured and per project aggregate, can contractors provide an Owner and Contractor's Protective Liability Policy (OCP) in the amount of \$5,000,000 with the proposed additional insureds as the named insureds?

Response: No, Owner and Contractor’s Protective Liability coverage is not as broad as Commercial General Liability (CGL) coverage, and therefore, we require CGL in accordance with the requirements set forth in the Request for Proposal (RFP). Contractors must meet the insurance requirements as set forth in the RFP.

Question 10: Section IV, Paragraph IV.4 (M/WBE UTILIZATION GOAL REQUIREMENTS IN THE MINI-BID: are contractors required to comply with said WBE and MBE goals?

Response: Contractors must document “good faith efforts” to provide meaningful participation by New York State Certified M/WBE subcontractors or suppliers in the performance of the contract (for more information, please refer to the sample Project Definition, “M/WBE Utilization Goal Requirements” on page 64 of the RFP).

Question 11: Are customer signatures mandatory for Attachment No. 5 - Reference Form.

Response: Yes

All other terms and conditions of the bid solicitation remain unchanged. All bids shall be considered on the basis of this amendment.

If submitting a bid, this letter should be signed, attached to, and made a part of your bid.

BID OF (COMPANY): _____

ADDRESS: _____

CITY, STATE, ZIP: _____

SIGNATURE OF BIDDER: _____

PRINTED COPY OF SIGNATURE: _____

DATE: _____

* * * * *