

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

PURCHASING MEMORANDUM

BID SOLICITATION UPDATE

IFB NUMBER: 21939-PF

DATE: January 21, 2010

GROUP: 31509– LIQUID BITUMINOUS MATERIALS
(Paver Placed Surface Treatment – Conventional and
Rubber Modified – FOB) (Statewide)

**PLEASE ADDRESS INQUIRIES TO
DESIGNATED CONTACTS:**

Beverly L. Moore
Purchasing Officer I
(518) 474-7273
beverly.moore@ogs.state.ny.us

BID OPENING: JANUARY 28, 2010

Joseph Hodder
Team Leader
(518) 474-3668
joseph.hodder@ogs.state.ny.us

SUBJECT: REVISION TO PROCUREMENT CONTRACT FEE CLAUSE

TO PROSPECTIVE BIDDERS

PAGE 12 – PROCUREMENT CONTRACT FEE:

ADD the following paragraph to the end of the Procurement Contract Fee clause.

NOTE: Notwithstanding the above, bidders are advised that the Governor's 2010 budget proposal provides for the repeal of §163-c of the State Finance Law, "Centralized Procurement Contract Fee." If approved by the Legislature and signed by the Governor, the procurement fee requirement as described above would no longer be applicable to this solicitation and the associated contract award. As this potential legislative action could have an impact on pricing in the bid under this solicitation, OGS reserves the right to adjust pricing to reflect the elimination of the one half of one percent (0.005) procurement fee consistent with the pricing methodology, effective the repeal date. Bidders are on notice that the Executive budget proposal for the State Fiscal year 2010-2011 State Budget is subject to legislative debate and discussions, is subject to change, and there is no guarantee that the proposed repeal of the procurement fee will take place..

All other terms and conditions of the bid solicitation remain unchanged.
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: _____

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State of New York Executive Department
Office of General Services - Procurement Services Group
Corning Tower - 37th Floor
Empire State Plaza
Albany, NY 12242

INVITATION FOR BIDS

IMPORTANT: SEE "NOTICE TO BIDDERS" CLAUSES HEREIN
BIDS MAY BE SENT TO THE ABOVE ADDRESS OR FAXED TO (518) 486-5628 ONLY
(E-Mail Bid Submissions Are NOT Acceptable)

BID OPENING DATE: January 28, 2010 TIME: 11:00 AM	TITLE: Group 31509 – LIQUID BITUMINOUS MATERIALS (Paver Placed Surface Treatment – Conventional and Rubber Modified – FOB) (Statewide) Classification Code(s): 30
INVITATION FOR BIDS NUMBER: 21939-PF	SPECIFICATION REFERENCE: SPEC-913 dated September 16, 2008 and as amended in the Invitation for Bids (Supersedes SPEC-910 dated August 29, 2007)
CONTRACT PERIOD: May 1, 2010 to April 30, 2011	
DESIGNATED CONTACTS: Team #6	
Beverly L. Moore, Purchasing Officer I Telephone No. (518) 474-7273 E-mail address: beverly.moore@ogs.state.ny.us	Joseph Hodder, Team Leader Telephone No. (518) 474-3668 E-mail address: joseph.hodder@ogs.state.ny.us

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

Legal Business Name of Company Bidding:	Bidder's Federal Tax Identification #: (Do Not Use SS#)
D/B/A - Doing Business As (if applicable):	
Street	City
State	Zip
County	
Cash Discounts will not be considered in determining low bid, but cash discounts of any size may be considered in awarding tie bids.	
_____ % Cash Discount for payment within 15 days of delivery and/or receipt of voucher _____ % Cash Discount for payment within 30 days of delivery and/or receipt of voucher	
If you are not bidding, place an "x" in the box and return this page only. <input type="checkbox"/> WE ARE UNABLE TO BID AT THIS TIME BECAUSE _____	
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. # 21939	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. One copy of the bid is required, unless otherwise specified 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 - 37th Floor Reception Desk
Empire State Plaza
Albany, NY 12242

- **FAX transmittals**

If permitted by this solicitation, fax transmittals shall be sent to: **(518) 486-5628 ONLY**
See "Facsimile Submissions" in Appendix B, OGS General Specifications.

- **Hand deliveries**

Bidders must allow extra time to comply with the security 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 SECURITY PROCEDURES

To access the Corning Tower, all visitors must check in by presenting photo identification at the security 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 Security 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 security procedures. Security procedures may change or be modified at any time.

(continued)

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.state.ny.us/aboutOgs/regulations/defaultAdvisoryCouncil.html>

INQUIRIES/ISSUING OFFICE:

All inquiries concerning this specification will be addressed to the following PSG designated contact(s) and issuing office:

PRIMARY CONTACT

Beverly L. Moore, Purchasing Officer I
NYS Office of General Services
Procurement Services Group
Corning Tower - 38th Floor
Empire State Plaza
Albany, NY 12242
Phone: 518/474-7273
Fax: 518/474-8676
beverly.moore@ogs.state.ny.us

SECONDARY CONTACT

Joseph Hodder, Team Leader
NYS Office of General Services
Procurement Services Group
Corning Tower - 38th Floor
Empire State Plaza
Albany, NY 12242
Phone: 518/474-3668
Fax: 518/474-8676
joseph.hodder@ogs.state.ny.us

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GENERAL INFORMATION (Cont'd)

INQUIRIES/ISSUING OFFICE: (Cont'd)

TERTIARY CONTACTS

Hasib Khan, Civil Engineer 2
Transportation Systems Maintenance
50 Wolf Road
Pod 51
Albany, NY 12232
Phone: 518/ 457-1572
Fax: 518/ 457-4203
hkhan@dot.state.ny.us

Edward Denehy, Civil Engineer 4
Transportation Systems Maintenance
50 Wolf Road
Pod 51
Albany, NY 12232
Phone: 518/ 457-6914
Fax: 518/ 457-4203
edenehy@dot.state.ny.us

All questions should be submitted in writing no later than one week prior to the bid opening, citing the particular bid section and paragraph number. The prospective bidder should notify the DESIGNATED CONTACT of any term, condition, etc., that precludes the vendor from submitting a compliant, responsive bid. Bidders are cautioned to read this document thoroughly to become familiar with all aspects of the bid. 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 bid. Bidders entering into a contract with the State are expected to comply with **all** the terms and conditions contained herein. Answers to all questions of a substantive nature will be given to all Prospective Bidders in the form of a formal addendum which will become part of the ensuing contract.

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 Invitation for Bids or through the OGS website (www.ogs.state.ny.us).

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.

APPENDIX A:

Appendix A, Standard Clauses For New York State Contracts, dated June 2006, 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.**

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 Invitation For Bids including Group Specification 913
- c. Appendix B
- d. Bidder's Bid

(continued)

GENERAL INFORMATION (Cont'd)

NYS STANDARD VENDOR RESPONSIBILITY QUESTIONNAIRE (APPENDIX 1):

Bidder agrees to fully and accurately complete the NYS Standard Vendor Responsibility Questionnaire, which is attached as Appendix 1 (hereinafter 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 in making that determination. 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 by providing ten (10) days written notification to the Contractor. 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 must certify to DTF that each affiliate and subcontractor exceeding such sales threshold is registered with DTF to collect New York State and local sales and compensating use taxes. The law prohibits 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 must be filed with and returned directly to DTF. Unless the information upon which the ST-220-TD is based changes, this form only needs to be filed once with DTF. If the information changes for the contractor, its affiliate(s), or its subcontractor(s), a new Form No. ST-220-TD must be filed with DTF.

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

Vendors may call DTF at **1-800-698-2909** for 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.ny.gov/chemical/8512.html>.

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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.state.ny.us/purchase/bidresults/bidresults.asp>

DEBRIEFING

A bidder will be accorded fair and equal treatment with respect to its opportunity for debriefing. 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 unsuccessful bidder that responded to the solicitation, regarding the reason that the proposal or bid submitted by such bidder was not selected for a contract award. The post-award debriefing should be requested in writing within 30 days of posting of the contract award on the OGS website.

PRICE:

General – Section 24-b of Appendix B, the General Specifications has been modified to include the following:

Price quoted shall be to three (3) decimal places.

Price quoted shall be FOB the contractor's location per square yard based on average daily production for the conventional and rubber modified paver placed surface treatment.

The contractor is to furnish all necessary labor and equipment to complete the conventional or paver placed surface treatment work under this contract. Cleaning the existing pavement shall be the responsibility of the State or political subdivision. Permanent pavement striping will be the responsibility of the State or political subdivision upon completion of the conventional or rubber modified paver placed surface treatment after the contractor has vacated the project site.

The price bid for optional work zone traffic control shall be per square yard of conventional or rubber modified paver placed surface treatment.

Price quoted for additional flaggers (if required) shall be net per day (to the nearest quarter day) for additional flaggers.

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GENERAL INFORMATION (Cont'd)

PRICE: (Cont'd.)

Price quoted for optional pilot vehicles with drivers (if required) shall be net per day (to the nearest quarter day) for each pilot vehicle with driver.

Price quoted for optional additional construction signs shall be net per square foot (including signs, sign supports, installation, and removal) of additional construction signs.

Price quoted for additional cost per day for Saturday and Sunday work, when directed by the resident engineer or individual authorized by using agency, shall be net per day for Saturday or Sunday work.

Price quoted for abrading the existing pavement markings by the vendor, with work zone traffic control by the owner (if required) shall be net per linear foot at 4 inches wide of pavement markings actually abraded by the vendor. This price shall include all costs for pavement marking abrading including all labor, materials, and equipment necessary to abrade the pavement markings.

Price quoted for abrading the existing pavement markings by the vendor, with work zone traffic control by the vendor (if required) shall be net per linear foot at 4 inches wide of pavement markings actually abraded by the vendor. This price shall include all costs for pavement marking abrading including all labor, materials, and equipment necessary to abrade the pavement markings and all costs to properly maintain traffic.

Price quoted for overlay splices with work zone traffic control by the owner (if required) shall be net per linear foot at 3 feet wide of overlay splices actually constructed by the vendor. This price shall include all costs for conventional or rubber modified paver placed surface treatment overlay splices including all labor, materials, and equipment necessary to construct the overlay splices.

Price quoted for splices with work zone traffic control by the vendor (if required) shall be net per linear foot at 3 feet wide of overlay splices actually constructed by the vendor. This price shall include all costs for conventional or rubber modified paver placed surface treatment overlay splices including all labor, materials, and equipment necessary to construct the overlay splices and all costs to properly control traffic.

The equipment supplied to place the conventional or rubber modified paver placed surface treatment shall meet the appropriate requirements of the New York State Department of Transportation Standard Specifications. All necessary operators shall be supplied along with the conventional or rubber modified paver placed surface treatment spreader and the rollers. All personnel supplied for the work under this contract shall be qualified and experienced in conventional or rubber modified paver placed surface treatment placement.

Price Additional for Mobilization from Contractor's Location to Project Location - Price additional quoted for mobilization from contractor's location to project location shall be net per square yard of accepted conventional or rubber modified paver placed surface treatment in place performed at the locations indicated by the State's resident engineer or political subdivision's representative. Conventional or rubber modified paver placed surface treatment shall be performed in accordance with NYSDOT's Standard Specifications and as per the attached material specifications for conventional or rubber modified paver placed surface treatment. Cleaning the existing pavement will be the responsibility of the State or owner political subdivision. Erecting warning signs and directing traffic will be the responsibility of the purchasing agency or the contractor using the optional work zone traffic control section of this Invitation for Bids at the discretion of the purchasing agency.

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GENERAL INFORMATION (Cont'd)

PRICE: (Cont'd.)

Insurance - Price bid shall include the following insurance coverage costs. In particular, price shall include:

- Commercial General Liability Insurance with a limit of not less than \$5,000,000 each occurrence ;
- Comprehensive Business Automobile Liability Insurance with a limit of not less than \$2,000,000 each accident;

Owners and Contractors Protective Insurance Coverage (OCP) shall be a separate price and shall only be included when specifically called for by an ordering agency. OCP requirements should be reviewed carefully. (Please see separate CONTRACTOR INSURANCE clause, especially section on "ADDITIONAL INSURANCE REQUIREMENTS AFTER AWARD".) Note that pricing for OCP is not required to be bid and is not a requirement for award; however, if an agency requires OCP coverage the vendor must supply it. This requirement will be stated on the "Quick-Quote" form and a pass through cost will be allowed. The charge for OCP insurance will be used to determine the lowest cost for the project.

Lower Pricing - The State reserves the right to negotiate lower pricing, or to advertise for bids, whichever is in the State's best interest as determined by the Commissioner, in the event of a significant decrease in market price of any product listed. In addition, if the contractor's normal pricing to the public or to the trade in general is less than the net/contract pricing with the application of a contract discount, etc., then the normal pricing to the public or to the trade in general shall also be granted to contract participants.

Price Reductions -- Contractors shall be permitted to reduce their pricing any time during the contract term. In addition, contractors may choose to offer lower prices in specific instances or for particular projects. Vendors may do so through the agency's use of the "Quick Quote/Price Calculation" worksheet.

ASPHALT PRICE ADJUSTMENTS:

1. Asphalt Price Adjustments allowed will be based on the September 1, 2009 average of the F.O.B. terminal price per ton of unmodified PG 64-22 binder without anti-stripping agent (base average F.O.B. terminal price). The new monthly average terminal price will be determined by the New York State Department of Transportation based on prices of preapproved primary sources of performance graded binder in accordance with the New York State Department of Transportation Standard Specification.

The September 1, 2009 average is **\$414.00** per English ton.

NOTE: The same grade of asphalt cement used in establishing the base average F.O.B. terminal price shall be used in establishing the new average F.O.B. terminal price.

In the event that one or more of the New York State Department of Transportation preapproved sources discontinue posting a price for asphalt cement, the base average F.O.B. terminal **price shall not be recalculated.**

2. The new average F.O.B. terminal price will be determined based on the above F.O.B. terminal prices posted on the 20th of each month, hereafter known as the "Adjustment Date", during the contract period starting with April 20, 2010. However, Asphalt Price Adjustments, in accordance with the formula below, will be effective for deliveries made on and after the first of the month (i.e., May 1, 2010) following the adjustment date.
3. The unit prices of bituminous materials purchased from any award based on this specification will be subject to adjustment based on the following formula:

Price Adjustment (Per Square Yard)	=	New Average FOB Terminal Price	-	Base Average Terminal Price	X	Total Allowable Petroleum %	X	0.033
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New Monthly Average F.O.B. Terminal Price -

The average F.O.B. terminal price for unmodified PG 64-22 binder without anti-stripping agent as determined by the New York State Department of Transportation per New York State Department of Transportation Standard Specification.

Base Average F.O.B. Terminal Price -

The average F.O.B. terminal price of unmodified PG 64-22 binder without anti-stripping agent as determined by the New York State Department of Transportation as of September 1, 2009.

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GENERAL INFORMATION (Cont'd)

ASPHALT PRICE ADJUSTMENTS: (Cont'd.)

Total Allowable Petroleum -

The percentage of total allowable petroleum for each item is as follows:

Item #	Material Designation	Grade	Asphalt %	Petroleum Allowance %	Total Allowable Petroleum %
18403.221xxx	702-PG6422 & 702-4701	PG 64-22 & CRS-1p	6.5%	1.0%	7.5%
18403.222xxx	702-PG6422 & 702-4701	PG 64-22 & CRS-1p	6.5%	1.0%	7.5%
18403.223xxx	702-PG6422 & 702-4701	PG 64-22 & CRS-1p	6.5%	1.0%	7.5%

Asphalt price adjustments will not be allowed for materials which do not have an asphalt cement base.

EXAMPLE: Item 18403.221101 \$424.00-\$414.00 = \$10.00
 Base Avg. Price = \$414.00 \$10.00 X .075 = \$.75
 New Avg. Price = \$424.00 \$.75 X 0.033 = +\$0.025/square yard
 Total Allowable Petroleum = 7.5%

Positive Price Adjustment number shall be added to original per ton Bid Price.

Negative Price Adjustment number shall be subtracted from original per ton Bid Price.

- Work performed after the expiration of the contract, where no extension has been granted, resultant from purchase orders placed prior to expiration of the contract will receive the Asphalt Price Adjustments applicable in effect during the last month of the contract.

Asphalt Price Adjustments for any contracts that are extended will be based on the new average for the month in which the work is done applying the same base established for that contract.

- Asphalt Price Adjustments allowed by this contract shall be calculated and applied to the original prices. There will not be Asphalt Price Adjustments unless the change amounts to more than \$0.003 per square yard from the original price. In these instances, prices will revert back to the original prices.
- All Asphalt Price Adjustments will be computed to three decimal places.
- Should these provisions result in a price structure which becomes unworkable, detrimental or injurious to the State or in prices which are not truly reflective of market conditions or which are deemed by the Commissioner to be unreasonable or excessive, and no adjustment in price is mutually agreeable, the Commissioner reserves the sole right upon ten days written notice mailed to the contractor to terminate any contract resulting from this bid opening.
- All Asphalt Price Adjustments shall be published by the State and issued to all contract holders whose responsibility will be to attach the appropriate State notification (based on when the work was performed) to the payment invoice submitted to agency.

Note To Bidders -

All construction and materials quantities specified are in English units, and should be bid accordingly.

References are made herein to New York State Department of Transportation, Standard Specifications, Construction and Materials, dated May 1, 2008. A copy may be obtained through the Department's publication unit. Call 518-457-4401 for information.

For information regarding how to become an approved facility or to make arrangements for inspection of materials or equipment when required, contact the Materials Bureau of the Department of Transportation at 518-457-3240.

(continued)

GENERAL INFORMATION (Cont'd)

QUICK QUOTE/PRICE CALCULATION:

Using agencies have two methods of selecting the appropriate contractor to perform their particular project, either using the price calculation worksheet or using the quick quote process.

Price Calculation Worksheet:

Agencies may use the contract prices to complete the price calculation worksheet to determine the contractor offering the most practical and economical alternative using the agency's form, function, and utility requirements. Agencies are encouraged to use the lowest bidder but if the lowest bidder is not selected, then the agency must prepare documentation for the procurement record explaining the action taken (i.e., the low contractor could not provide the product in the time frame required, contractor did not have the needed equipment, etc.).

Quick Quote:

During the course of the award, agencies may wish to try to obtain lower prices and contractors may wish to lower their contract prices for various reasons, i.e., excess supply, slow business, etc. Each quick quote situation is unique and the price is firm for that particular project only. If bid security is a concern, the agency may require bids to be sealed and/or opened publicly.

The use of the quick quote format is optional although highly recommended. (The "Quick Quote" worksheet appears on the following page)

Agencies electing to use the quick quote are required to award to the lowest responsive bid meeting the agency's requirements outlined in the requested quote. There are no negotiations permitted following the "Quick Quote" and prices cannot be changed once offered. If award is made to other than the lowest bid, the agency must prepare detailed documentation explaining the action taken for the failure to meet requirements. (i.e., the low contractor could not provide the product in the time frame required, contractor did not have needed equipment, etc.). This explanation along with the worksheets must be made a part of the procurement record.

Contractors are not required to lower prices when they receive a quick quote. They may quote the contract price. However, at no time, may a quick quote price exceed the contract price. Materials cost, hauling expenses, etc., can be lowered by the contractor during the quick quote process.

Since asphalt price adjustments will be charged/credited to all invoices (after the work is finished), **asphalt price adjustments are not a factor to be considered when offering quick quote pricing.**

(continued)

**QUICK QUOTE/PRICE CALCULATION WORKSHEET
CONVENTIONAL OR RUBBER MODIFIED PAVER PLACED SURFACE TREATMENT**

Agency: _____ Date: _____

Project Name: _____ Number: _____ Project Location: _____

Conventional or Rubber Modified

Paver Placed Surface Treatment Item: _____ Type: _____ Estimated Total Quantity: _____ Square Yards

Work Zone Traffic Control by Contractor Required? ☐ YES ☐ NO Roadways: ☐ One-Way ☐ Two-Way

Abrade Pavement Markings? ☐ YES ☐ NO ☐ WZTC by Agency ☐ WZTC by Vendor _____ Linear Feet

Overlay Splices? ☐ YES ☐ NO ☐ WZTC by Agency ☐ WZTC by Vendor _____ Linear Feet

Additional Flaggers Required? ☐ YES ☐ NO Number of Additional Flaggers Required: _____

OCP Insurance Required? ☐ YES ☐ NO

Anticipated Project Initiation Date: _____ WORKSHEET MUST BE RETURNED BY _____

Agency Signature: _____ Agency Name: _____

NOTE: Agency representative must complete top of form. Vendor completes bottom of form.

Agency is only required to consider those contractors whose distance from their plant location to the project location is a practical distance to assure the proper quality and production controls of the Bituminous Materials.

Vendor Name _____ Telephone _____ PC Number _____

Plant Location _____ Plant Number _____ Estimated Haul Distance _____ PRC Number _____

Estimated Number of Days _____ or Hours _____ to Complete Project

Conventional or Rubber Modified

Paver Placed Surface Treatment (including haul, deliver & apply) \$ _____ /Square Yard

Price Additional for Mobilization to Project Location \$ _____ /Square Yard

Work Zone Traffic Control \$ _____ /Square Yard

TOTAL COST Per Square Yard \$ _____ /Square Yard

Conventional or Rubber Modified

Paver Placed Surface Treatment \$ _____ Total Cost/Square Yard X _____ Square Yards = \$ _____

Overlay Splices \$ _____ /Linear Foot X _____ Linear Feet = \$ _____

Additional Flaggers \$ _____ /Day X _____ # of Flaggers = \$ _____

Pilot Vehicle w/Driver \$ _____ /Day X _____ # of Pilot Vehicles = \$ _____

Additional Construction Signs \$ _____ /Square Foot X _____ # of Square Feet = \$ _____

Abrade Markings \$ _____ /Linear Foot X _____ Linear Feet = \$ _____

PRICE FOR OCP INSURANCE (\$1,000,000/occurrence; \$2,000,000 in the aggregate) = \$ _____

TOTAL PROJECT COST = \$ _____

Can Vendor Supply? ☐ YES ☐ NO Can Vendor meet Schedule? ☐ YES ☐ NO

Vendor Signature _____ Date _____

Agency Comments* _____

This form must be sent to all the contractors within the proximity of the project.

* Explain under "Agency Comments" any rejection of lowest price.

NOTE: Since price adjustments will be charged/credited to all invoices (after the work is finished), price adjustments are not a factor to be considered when offering pricing. Any reduction in prices must be based on the actual awarded price for each item in the contract.

NOTE: The applicable 5-digit PC (contract) number and 10-digit PRC (Prevailing Wage Rate Schedule) number should be cited in the spaces provided on this sheet.

(continued)

GENERAL INFORMATION (Cont'd)

PROCUREMENT CONTRACT FEE:

State Finance Law §163-c (added by Part F of Chapter 56 of the Laws of 2008), imposes a centralized procurement contract fee (procurement fee) for centralized contracts for the purchase of commodities, services and technology awarded and administered by the Commissioner of General Services. The procurement fee is equal to one half of one percent (0.005) of the price of the commodity, service or technology sold by the contractor. The pricing offered by bidders/offerers for the commodity, service or technology will be considered by the Office of General Services (OGS) to be inclusive of the fee, and will be subject to review for evaluation and recommendations for contract award. The procurement fee shall be paid by the contractor based on total sales made by Authorized Users of centralized contracts.

State Finance Law section 163-c applies to bids issued by OGS on or after July 1, 2008.

The procurement fee of one half of one percent of sales to purchasers by the contractor for the applicable preceding calendar quarter, as well as an accompanying return, must be made by the contractor to the New York State Department of Taxation and Finance ("DTF") no later than forty-five (45) days after the close of each calendar quarter. Payment of the procurement fee, as well as filing of the accompanying return, must be made electronically to DTF. Prior to electronically filing the initial return and electronically paying the initial procurement fee, contractors must register on DTF's Online Tax Center (<http://www.tax.state.ny.us/nysHOME/online.htm>).

Returns must be filed even if no sales under the centralized contract were made during the preceding calendar quarter. Simultaneously, the contractor must provide its sales report for such preceding calendar quarter to OGS in the format and with details set forth in this solicitation. Contractors must fully cooperate with DTF and OGS relative to such payments and filings. Penalties for failure to comply with the filing and payment requirements are provided for by Article 27 of the Tax Law.

A contractor that cannot comply with the mandatory electronic filing and payment requirements must advise the OGS in writing at the time of bidding that it cannot reasonably comply with such electronic requirements. The contractor must provide the basis and reasons for its inability to comply. OGS shall in its sole discretion determine whether a sufficient basis and reasons have been presented supporting waiver of the mandatory electronic requirements. If the waiver is granted, the contractor shall pay the procurement fee to OGS by paper check, accompanied by the sales report and the paper return within forty-five days (45) days after the close of the preceding calendar quarter in accordance with the directions on the form. Contractor agrees to fully cooperate with OGS relative to such payment and filings.

In addition to the penalties prescribed by Article 27 of the Tax Law, failure by a contractor to timely and accurately remit the procurement fee, provide the sales report and file the return for each calendar quarter shall constitute a breach of contract, and the Commissioner of General Services may exercise discretion to terminate such centralized contract on written notice to the contractor.

Additional information including FAQs is available at:

<http://www.ogs.state.ny.us/purchase/ProcurementContractFee.asp>

(continued)

GENERAL INFORMATION (Cont'd)

METHOD OF AWARD:

Only timely bids will be considered in the awarding of a contract except where it may be proven there is no DOT approved source of supply within a reasonable distance and/or that it would create a hardship to require travel to secure products. Bid prices will be evaluated at the time of bid opening on the following basis:

1. An "average price" per specification item shall be calculated based on the price of all bids submitted. The average price will be three decimal places. If a bid is ultimately rejected because it did not meet specification, pricing will not be recalculated. However, in those instances where the rejected bidder's pricing results in less than one bidder for a geographic region, the rejected bidder's pricing will be removed and not considered a part of the calculation.
2. Any bid that exceeds the "average price" by more than 50% will be made Award Pending unless it is apparent that application of 50% would be unreasonable due to higher market prices of a geographic location. Under such circumstances at the discretion of the Commissioner bids may be considered by geographic location and an average price determined to address pricing in such geographic location.
3. A "revised average price" per specification item shall be calculated after removal of those over 50%. Bid prices over the 50% criteria that have been given consideration due to geographic location will not be part of the "revised average price".
4. Any remaining bids that do not exceed the "revised average price" increased by 20% shall receive a contract award.
5. Any contractor given an "Award Pending" for a material item may become eligible for award by reducing their price(s) within the parameters of paragraph #4 above. **Acceptable revised pricing for material items shall be considered up to thirty days after date issued that appears on the original Contract Award Notification and again 30 days thereafter.** A supplemental award(s) shall then be published to incorporate contractors whose material pricing is determined to be acceptable.
6. Any contractor given an "Award Pending" for an "optional" item may become eligible for award by reducing its price(s) within the parameters of paragraph # 4 above. Acceptable revised pricing for "optional" items will not have time restrictions and will be handled by issuance of Purchasing Memoranda.

The following are optional items:

- PRICE PER SQUARE YARD FOR MOBILIZATION
- PRICE PER SQUARE YARD FOR OPTIONAL WORK ZONE TRAFFIC CONTROL
- PRICE FOR ADDITIONAL FLAGGERS
- PRICE PER OPTIONAL PILOT VEHICLE WITH DRIVER
- PRICE PER SQUARE FOOT FOR OPTIONAL ADDITIONAL CONSTRUCTION SIGNS
- PRICE PER LINEAR FOOT FOR ABRADING EXISTING PAVEMENT MARKINGS -
OPTIONAL WORK ZONE TRAFFIC CONTROL PROVIDED BY OWNER AGENCY
- PRICE PER LINEAR FOOT FOR ABRADING EXISTING PAVEMENT MARKINGS -
OPTIONAL WORK ZONE TRAFFIC CONTROL PROVIDED BY VENDOR
- PRICE PER LINEAR FOOT FOR OVERLAY SPLICES -
OPTIONAL WORK ZONE TRAFFIC CONTROL PROVIDED BY OWNER AGENCY
- PRICE PER LINEAR FOOT FOR OVERLAY SPLICES -
OPTIONAL WORK ZONE TRAFFIC CONTROL PROVIDED BY VENDOR

No Award on Individual Listing - The State reserves the right to reject an obviously unbalanced bid or to make "NO AWARD" on individual listings or sub-items if individual bid prices are deemed to be unbalanced or excessive or if an error in the solicitation becomes evident. In such case, ranking and evaluation of bids may be made on remaining items. Award would be made on the remaining items. The determination of an unbalanced bid shall be at the sole discretion of the State. Options contained in this paragraph shall also be at the State's sole discretion.

(continued)

GENERAL INFORMATION (Cont'd)

CANCELLATION FOR CONVENIENCE

The State of New York retains the right to cancel this contract, in whole or in part without reason provided that the Contractor is given at least sixty (60) days notice of its intent to cancel. This provision should not be understood as waiving the State's right to terminate the contract for cause or stop work immediately for unsatisfactory work, but is supplementary to that provision. Any such cancellation shall have no effect on existing Agency agreements, which are subject to the same 60 day discretionary cancellation or cancellation for cause by the respective user Agencies.

STORAGE FACILITY:

The bidder shall supply liquid bituminous material in the quantity and date specified on the order. The storage facility shall be approved by NYS DOT in the current calendar year before liquid bituminous material can be supplied.

METHOD OF ORDERING:

Orders for the purchase of material will be placed with the contractor whose source of supply offers the lowest ultimate cost (including hauling costs) to the State at the destination.

DELIVERY:

Purchase Order Instructions - Delivery shall be made in accordance with instructions on Purchase Order from each agency. If there is a discrepancy between the purchase order and what is listed on the contract, it is the contractor's obligation to seek clarification from the ordering agency and, if applicable, from the Office of General Services, Procurement Services Group.

Delivery Ticket - A delivery ticket shall be provided with each load of bituminous material and filler for joints stating the following:

1. Storage facility identification
2. Ticket Number
3. Date/time
4. Item Number and Type
5. Quantity ticket printed by machine
6. Quantity in 60° F gallons for emulsions.

Default (Failure to Furnish Material) - Clause 45 of the General Specifications is modified as follows: Failure to furnish material within ten days after receiving order or as agreed upon with authorized representative or violation of shipping instructions, shall be cause for and entitle the State (1) to damages which in its judgment have resulted, or (2) to purchase in the open market at the expense of the contractor. At the discretion of the State, one or both of these courses of action may be followed.

Sampling, Testing, Inspecting and Reporting - All liquid bituminous material intended for use on State agency and non-State agency projects shall be sampled, tested, inspected, certified and shipped in accordance with NYS DOT Materials Method N.Y. 8.1, 8.2 and 8.3 and addenda. The State reserves the right to inspect liquid bituminous material supply facilities and the equipment of any successful bidder at any time for conformance with the requirements listed herein; if deficiencies are found, such deficiencies shall be corrected within 10 days or the contractor will be considered in default.

Quantity Received - It is the responsibility of the agency to ascertain quantities shipped are accurate to the delivery ticket. Each vehicle should be checked for product upon arrival and prior to departure.

NON-STATE AGENCIES PARTICIPATION IN CENTRALIZED CONTRACTS:

New York State political subdivisions and others authorized by New York State law may participate in contracts. These include, but are not limited to local governments, public authorities, public school and fire districts, public and nonprofit libraries, and certain other nonpublic/nonprofit organizations. See "Participation in Centralized Contracts" in Appendix B, OGS General Specifications. For purchase orders issued by the Port Authority of New York and New Jersey (or any other authorized entity that may have delivery locations adjacent to New York State), the terms of the "Price" clause shall be modified to include delivery to locations adjacent to New York State.

(continued)

GENERAL INFORMATION (Cont'd)

NON-STATE AGENCIES PARTICIPATION IN CENTRALIZED CONTRACTS: (Cont'd)

Upon request, all eligible non-State agencies must furnish contractors with the proper tax exemption certificates and documentation certifying eligibility to use State contracts. A list of categories of eligible entities is available on the OGS web site (<http://www.ogs.state.ny.us/purchase/snt/othersuse.asp>). Questions regarding an organization's eligibility to purchase from New York State Contracts may also be directed to OGS Procurement Services Group's Customer Services at 518-474-6717.

EXTENSION OF USE:

Any contract resulting from this bid solicitation may be extended to additional States or governmental jurisdictions upon mutual written agreement between New York State (the lead contracting State) and the contractor. Political subdivisions and other authorized entities within each participating State or governmental jurisdiction may also participate in any resultant contract if such State normally allows participation by such entities. New York State reserves the right to negotiate additional discounts based on any increased volume generated by such extensions.

CONTRACT PERIOD AND RENEWALS:

It is the intention of the State to enter into a contract for the term as stated on the Invitation for Bids except that the commencement and termination dates appearing on the Invitation for Bids may be adjusted forward unilaterally by the State for any resulting contract for up to two calendar months, by indicating such change on the Contract Award Notification.

The contract dates may be adjusted forward beyond two months only with the approval of the successful bidder. If, however, the bidder is not willing to accept an adjustment of the contract dates beyond the two month period, the State reserves the right to proceed with an award to another bidder.

If mutually agreed between the Procurement Services Group and the contractor, the contract may be renewed under the same terms and conditions for additional period(s) not to exceed a total contract term of five (5) years.

SHORT TERM EXTENSION:

In the event the replacement contract has not been issued, any contract let and awarded hereunder by the State, may be extended unilaterally by the State for an additional period of up to one month upon notice to the contractor with the same terms and conditions as the original contract including, but not limited to, quantities (prorated for such one month extension), prices, and delivery requirements. With the concurrence of the contractor, the extension may be for a period of up to three months in lieu of one month. However, this extension terminates should the replacement contract be issued in the interim.

CONTRACT MIGRATION:

State Agencies or any other authorized user holding individual contracts with contractors under this centralized contract shall be able to migrate to this contract award with the same contractor, effective on the contract begin date (retroactively, if applicable). Migration by an agency or any other authorized user to the centralized contract shall not operate to diminish, alter or extinguish any right that the agency or other authorized user otherwise had under the terms and conditions of their original contract.

(continued)

GENERAL INFORMATION (Cont'd)

PREVAILING WAGE RATES - PUBLIC WORKS AND BUILDING SERVICES CONTRACTS:

Work being bid is subject to the prevailing wage rate provisions of New York State Labor Law. 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.

For access to the Department of Labor (DOL) Prevailing Wage Schedule for this bid, use the link <http://wpp.labor.state.ny.us/wpp/publicViewProject.do?method=showIt&id=445062> or copy and paste into your browser. Next, click on "Original Wage Schedule" beneath the header. This schedule is in excess of 2,100 pages in length and may require several minutes to open.

The applicable Prevailing Wage Rate Schedule for this bid and subsequently awarded contracts is **PRC #2009011168**. For Prevailing Wage Updates, use the DOL link <http://wpp.labor.state.ny.us/wpp/publicViewPWChanges.do?method=showIt> or copy and paste into your browser. Links to schedule updates appear in the table at the bottom of the web page.

IMPORTANT NOTE: The above PRC number MUST be noted on all purchase orders issued for purchases from this contract.

WORKER NOTIFICATION – A9052; S6240

This provision is an addition to the existing prevailing wage rate law, Labor Law §220, paragraph a of subdivision 3-a. It requires contractors and subcontractors to provide written notice to all laborers, workers or mechanics of the *prevailing wage rate* for their particular job classification *on each pay stub**. It also requires contractors and subcontractors to *post a notice* at the beginning of the performance of every public work contract *on each job site* that includes the telephone number and address for the Department of Labor and a statement informing laborers, workers or mechanics of their right to contact the Department of Labor if he/she is not receiving the proper prevailing rate of wages and/or supplements for his/her particular job classification. The required notification will be provided with each wage schedule, may be downloaded from www.labor.state.ny.us or made available upon request by contacting the Bureau of Public Work at 518-457-5589.

* In the event that the required information will not fit on the pay stub, an accompanying sheet or attachment of the information will suffice.

OSHA 10-Hour Construction Safety and Health Course - S1537-A

This provision is an addition to the existing prevailing wage rate law, Labor Law §220, section 220-h. It requires that on all public work contracts of at least \$250,000, all laborers, workers, and mechanics working on site be certified as having successfully completed the OSHA 10-hour construction safety and health course. It further requires that the advertised bids and contracts for every public work contract of at least \$250,000 contain a provision of the requirement AND only applies to workers on a public work project that are required under Article 8 to receive the prevailing wage..

Further information may be found at: www.labor.state.ny.us/workerprotection/publicwork/PWContents.shtm .

CONTRACTOR INSURANCE:

At the time of the bid submission or shortly after the opening of bids, the Contractor shall provide to The New York State Office of General Services ("OGS") written proof of insurance coverage and additional insured documentation as specified herein. "Written proof" consists of certificates of insurance and/or endorsements to policies issued by an officer of an insurance company licensed or authorized to do business in New York, government self-retention funds or other self-insurance companies evidencing that the Contractor has the requisite insurance coverages. All non-standard exclusions or limitations applicable to the contract must be disclosed on the Certificate of Insurance and must be approved by The New York State Office of General Services ("OGS"). Policies providing commercial general liability, excess or umbrella liability and pollution legal liability insurance shall be specifically endorsed to name the People of the State of New York, its officers, agents, and employees as additional insureds thereunder. Such written proof shall be in the form and substance acceptable to The New York State Office of General Services ("OGS"). Acceptance and/or approval by The New York State Office of General Services ("OGS") of the written proof of insurance does not and shall not be construed to relieve Contractor of any obligations, responsibilities or liabilities under the Contract to obtain the required coverage.

(continued)

GENERAL INFORMATION (Cont'd)

CONTRACTOR INSURANCE: (Cont'd)

Contractor shall secure and continue to keep in force during the term of the contract, and 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 the following insurance coverage in parenthesis:

- a) Commercial General Liability Insurance with minimum liability limits of **not less than \$2,000,000.00 each occurrence** (and minimum liability limits of not less than \$5,000,000 after notice of award). Such liability shall be written on the ISO occurrence form CG 00 01© (current edition) or a substitute form providing equivalent coverages and shall cover liability arising from premises or operations, independent contractors, broad form property damage, personal & advertising injury, cross liability coverage, contractual damages, and products or completed operations, if applicable (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 basis. General Liability Additional Insured Endorsement shall be on Insurance Service Office's (ISO) form number **CG 2010 1185**.
- b) Comprehensive Business Automobile Liability Insurance with minimum liability limits of **not less than \$2,000,000.00** each accident both at the time of bid and after notice of award. Such insurance shall cover liability arising out of any automobile including Owned (if any), Hired and Non-Owned automobiles.
- c) Workers' Compensation, Employer's Liability, and Disability Benefits meeting all New York State statutory requirements. The policy shall provide coverage for all states of operation that apply to the performance of the contract. In addition, if employees will be working on, near or over navigable waters, coverage provided under the US Longshore and Harbor Workers Compensation Act must be included. Also, if the contract is for temporary staffing services or involves renting equipment with operators, the Alternate Employer Endorsement WC 00 03 01A must be included on the policy naming the People of the State of New York as the alternate employer.

All insurance coverage must meet the following additional requirements:

- 1) All insurance required shall be obtained at the sole cost and expense of the Contractor, and shall be primary and non-contributing to any insurance, self-retention or self-insurance maintained by the Authorized User.
- 2) Any deductible or self-insured retention amount or other similar obligation under the policies shall be the sole responsibility of the Contractor. The amount of any deductible or self-insured retention is subject to approval by the The New York State Office of General Services ("OGS").
- 3) The requisite insurance may be provided through a policy or policies of insurance which may be primary and/or excess including umbrella policies, but must be placed with an Insurer rated "A-" Class "VII" or better by the A.M. Best Company, Inc. If, during the term of the policy, an Insurer's rating falls below "A-" Class "VII", the insurance must be replaced no later than the renewal date of the policy with an Insurer rated at least "A-" Class "VII" by the A.M. Best Company, Inc. Any excess policy must follow the requirements set forth in the New York State Insurance Law for such coverage.
- 4) Contractors shall provide The New York State Office of General Services ("OGS") with updated Certificates of Insurance and as applicable amendatory endorsements at least thirty (30) days prior to the expiration or renewal date of a policy.
- 5) The insurance provided shall include an endorsement indicating that the policy and any endorsements may not be cancelled without thirty (30) days prior written notice to The New York State Office of General Services ("OGS"). In the event that the cancellation is due to non-payment of premium, ten (10) days prior written notice shall be provided.
- 6) The insurance provided shall include a blanket or specific "Waiver of Subrogation" endorsement waiving any right to recovery the insurance company may have against the State.
- 7) 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.

(continued)

GENERAL INFORMATION (Cont'd)

CONTRACTOR INSURANCE: (Cont'd)

- 8) Additional insured endorsements should specify the following:
- The full legal name of the additional insured; i.e., the State of New York, its agencies, officers and employees;
 - The specific location or operations for which the coverage applies;
 - Coverage will run until the completion of the last project on this contract;
 - That notice of modification or cancellation will be provided to the additional insured at a specified name and address;
 - That the insurance company waives any right of recovery it may have against the State;
 - That the coverage required shall be primary for the State and shall not be affected by any self-insurance or other insurance or coverage obtained by the State on its own behalf;
 - That cross-liability/severability of interest coverage is provided; and
 - That the legal defense provided to the State under the policy must be free of any conflicts of interest even if retention of separate legal counsel for the State is necessary.
- 9) 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.

Failure to provide insurance coverage as required herein and to keep the same in force during the term of the contract is a material breach of contract entitling the State to terminate the contract in accordance with the termination provisions in the contract.

ADDITIONAL OCP INSURANCE - Bidder understands and agrees by submitting a bid to this IFB that any Authorized User, in particular the New York State Department of Transportation (NYSDOT) may also require Owners and Contractors Protective Insurance Coverage (OCP) in addition to the above-referenced insurance. **The OCP insurance required shall be \$1,000,000 per occurrence and \$2,000,000 in the aggregate.**

The request for OCP shall be indicated by the Authorized User on the Quick Quote form. All Quick Quotes submitted must state the cost for such coverage which will be included as part of the Total Cost per Project and evaluated accordingly by the Authorized User.

In addition, as stated above, Workers' Compensation, Employer's Liability, and Disability Benefits coverages meeting all New York State statutory requirements are required.

PROOF OF COMPLIANCE WITH WORKERS' COMPENSATION COVERAGE REQUIREMENTS:

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

In order to provide proof of compliance with the requirements of the Workers' Compensation Law pertaining to workers' compensation coverage, contractor shall meet one of the following requirements:

- A) Be legally exempt from obtaining workers' compensation insurance coverage; or
- B) Obtain such coverage from an insurance carrier; or
- C) Be a Board-approved self-insured employer or participate in an authorized self-insurance plan.

Contractor seeking to enter into contracts with the State of New York **shall provide one of the following forms to the Office of General Services** at the time of bid submission or shortly after the opening of bids:

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

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GENERAL INFORMATION (Cont'd)

CONTRACTOR INSURANCE: (Cont'd)

- B) *Certificate of Workers' Compensation Insurance:*
 - 1) **Form C-105.2 (9/07)** if coverage is provided by the contractor's insurance carrier, **contractor must request its carrier** to send this form to the New York State Office of General Services; or
 - 2) **Form U-26.3** if coverage is provided by the State Insurance Fund, contractor must request that the State Insurance Fund send this form to the New York State Office of General Services; or
- C) *Certificate of Workers' Compensation Self-Insurance* – **Form SI-12**, available from the New York State Workers' Compensation Board's Self-Insurance Office; or
- D) *Certificate of Participation in Workers' Compensation Group Self-Insurance* – **Form GSI-105.2**, available from the contractor's Group Self-Insurance Administrator.

PROOF OF COMPLIANCE WITH DISABILITY BENEFITS COVERAGE REQUIREMENTS:

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

- A) Be legally exempt from obtaining disability benefits coverage; or
- B) Obtain such coverage from an insurance carrier; or
- C) Be a Board-approved self-insured employer.

Contractors seeking to enter into contracts with the State of New York **shall provide one of the following forms to the Office of General Services** at the time of bid submission or shortly after the opening of bids:

- A) **Form CE-200**, *Certificate of Attestation for New York Entities With No Employees and Certain Out of State Entities, That New York State Workers' Compensation and/or Disability Benefits Insurance Coverage is Not Required*, which is available on the Workers' Compensation Board's website (www.wcb.state.ny.us); or
- B) **Form DB-120.1**, *Certificate of Disability Benefits Insurance*. Contractor must request its business insurance carrier to send this form to the New York State Office of General Services; or
- C) **Form DB-155**, *Certificate of Disability Benefits Self-Insurance*. The Contractor must call the Board's Self-Insurance Office at 518-402-0247 to obtain this form.

All forms must name the Office of General Services, Procurement Services Group, Team 6, 38th Floor, Mayor Erastus Corning 2nd Tower, Empire State Plaza, Albany NY 12242 as the Entity Requesting Proof of Coverage (Entity being listed as the Certificate Holder)

REPORT OF CONTRACT PURCHASES:

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.

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:

Product/ Service Description	Total Quantity Shipped to <u>State</u> Agencies	Total Quantity Shipped to <u>Authorized</u> Non-State Agencies	Total Sales \$ <u>State Agencies</u>	Total Sales \$ Authorized Non-State Agencies
				\$
		Grand Total Sales- State & Non-State Agencies		\$

(continued)

GENERAL INFORMATION (Cont'd)

REPORT OF CONTRACT PURCHASES: (Cont'd)

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 upon request.

EMERGENCY PURCHASING:

In the event that a disaster emergency is declared by Executive Order under Section 28 of Article 2-B of the Executive Law, or that 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 products or services, the Commissioner reserves the right to obtain such products or services from any source, including but not limited to this contract, 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 products or services procured from other sources pursuant to this paragraph.

USE OF RECYCLED OR REMANUFACTURED MATERIALS:

New York State, as a member of the Council of Great Lakes Governors, supports and encourages vendors to use recycled, remanufactured 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 or safety requirements or product specifications contained herein. Refurbished or remanufactured components or products are required to be restored to original performance and regulatory standards and functions and are required to meet all other requirements of this bid solicitation. Warranties on refurbished or remanufactured components or products must be identical to the manufacturer's new equipment warranty or industry's normal warranty when remanufacturer does not offer new equipment. See "Remanufactured, Recycled, Recyclable or Recovered Materials" in Appendix B, OGS General Specifications.

NEW YORK STATE PROCUREMENT CARD:

See "Procurement Card" in Appendix B, OGS General Specifications. All bidders shall indicate if they will accept the NYS Purchasing Card for orders not to exceed \$15,000 (see Questions at end of bid document).

"OGS OR LESS" GUIDELINES APPLY TO THIS CONTRACT:

Purchases of the products included in the Invitation For Bids and related Contract Award Notification are subject to the "OGS or Less" provisions of Section 163.3.a.v., Article XI, of the New York State Finance Law. This means that State agencies can purchase products from sources other than the contractor provided that such products are substantially similar in form, function or utility to the products herein and are:

1. lower in price
-and/or-
2. available under terms which are more economically efficient to the State agency (e.g. delivery terms, warranty terms, etc.).

Agencies are reminded that they must provide the State contractor an opportunity to match the non-contract savings at least two business days prior to purchase. In addition, purchases made under "OGS or Less" flexibility must meet all requirements of law including, but not limited to, advertising in the New York State Contract Reporter, prior approval of the Comptroller's Office and competitive bidding of requirements exceeding the discretionary bid limit. State agencies should refer to Procurement Council Guidelines section "OGS or Less Purchases" for complete procedural and reporting requirements.

<http://www.ogs.state.ny.us/procurecounc/pdfdoc/guidelines.pdf>

(continued)

GENERAL INFORMATION (Cont'd)

"OGS OR LESS" GUIDELINES APPLY TO THIS CONTRACT: (Cont'd)

Non-contract vendors furnishing materials under "OGS or Less" shall meet the same qualifications as those required of contract vendors. In addition, non-contract vendors are subject to all other requirements and conditions appearing in this Invitation for Bids including Group Specification, Appendix A, Appendix B and any and all applicable Purchasing Memoranda.

Price shall include ALL required insurance coverage costs (see "CONTRACTOR INSURANCE" clauses).

DIESEL EMISSION REDUCTION ACT OF 2006 (NEW REQUIREMENT OF LAW):

On February 12, 2007 the Diesel Emissions Reduction Act took effect as law (the "Law"). Pursuant to new §19-0323 of the N.Y. Environmental Conservation Law ("NYECL") it is now a requirement that heavy duty diesel vehicles in excess of 8,500 pounds use the best available retrofit technology ("BART") and ultra low sulfur diesel fuel ("ULSD"). The requirement of the Law applies to all vehicles owned, operated by or on behalf of, or leased by State agencies and State or regional public authorities. They need to be operated exclusively on ULSD by February 12, 2007. It also requires that such vehicles owned, operated by or on behalf of, or leased by State agencies and State or regional public authorities with more than half of its governing body appointed by the Governor utilize BART.

As a contract vendor the Law may be applicable to vehicles used by contract vendors "on behalf of" State agencies and public authorities. Thirty-three percent (33%) of affected vehicles must have BART by December 31, 2008, sixty-six percent (66%) by December 31, 2009 and one-hundred percent (100%) by December 31, 2010. The Law provides a list of exempted vehicles. Regulations currently being drafted will provide further guidance as to the effects of the Law on contract vendors using heavy duty diesel vehicles on behalf of the State. The Law also permits waivers of ULSD and BART under limited circumstances at the discretion of the Commissioner of Environmental Conservation. The Law will also require reporting from State agencies and from contract vendors in affected contracts.

Therefore, the bidder hereby certifies and warrants that all heavy duty vehicles, as defined in NYECL §19-0323, to be used under this contract, will comply with the specifications and provisions of NYECL §19-0323, and any regulations promulgated pursuant thereto, which requires the use of BART and ULSD, unless specifically waived by NYSDEC. Qualification and application for a waiver under this Law will be the responsibility of the bidder.

MATERIALS:

Materials offered must be from a NYS Dept. of Transportation approved location. Materials offered from other than approved locations will not be considered for award and will be sufficient cause for rejection of bid.

Inspection of storage locations not currently approved may be requested directly from NYSDOT and subsequently certified for consideration in future IFBs.

Materials offered must be from the NYS Dept. of Transportation approved list of materials. Materials offered other than from the approved list will not be considered for award and will be sufficient cause for rejection of bid.

ESTIMATED QUANTITIES:

Each contract shall be for the quantities or dollar values actually ordered during the contract period. The individual value of each contract is indeterminate and will depend upon the number of contracts issued and the competitiveness of the pricing offered. Agencies will be encouraged to purchase from contractors who offer the supplies, services, and pricing that best meet their needs in the most practical and economical manner. See "Estimated/Specific Quantity Contracts" and "Participation in Centralized Contracts" in Appendix B, OGS General Specifications.

MINIMUM QUANTITIES:

The minimum project size for conventional and rubber modified paver placed surface treatment under this contract shall be 5,000 square yards. This is approximately 0.4 miles of two lane highway at 20 feet wide. A quantity/price change per day occurs at 15,000 square yards, which is approximately 1.3 miles of a 2 lane highway at 20 feet wide. A second quantity/price change per day occurs at 30,000 square yards, which is approximately 2.6 miles of a 2 lane highway at 20 feet wide.

(continued)

GENERAL INFORMATION (Cont'd)

PAYMENT:

Payment for conventional and rubber modified paver placed surface treatment in place shall be made at the contract price per unit bid for the actual number of square yards of conventional or rubber modified paver placed surface treatment in place verified by the State or receiving political subdivision and used in the accepted portion of the work. The determination as to quantities involved in this contract shall be accepted as final and binding upon the contractor.

A delivery slip stating quantities of hot mix asphalt concrete for conventional or rubber modified paver placed surface treatment shall accompany each shipment. An invoice listing the quantities of conventional or rubber modified paver placed surface treatment in place shall be sent promptly by the contractor to the State's resident engineer or to the political subdivision's representative placing the order.

Payment for optional work zone traffic control (if required) will be made based on the average daily production in square yards per day of completed conventional or rubber modified paver placed surface treatment.

Payment for additional flaggers (if required) will be made based on the number of days (computed to the nearest quarter day) that additional flaggers are utilized as directed by the engineer or agency authorized individual.

Payment for optional pilot vehicles with drivers will be made based on the number of days (computed to the nearest quarter day) that optional pilot vehicles with drivers are utilized as directed by the engineer or agency authorized individual.

Payment for optional additional construction signs will be made on the number of square feet (computed to the nearest tenth of a square foot) of additional construction signs that are utilized as directed by the engineer or agency authorized individual.

Payment for work on Saturday and/or Sunday will be based on the actual number of days worked at the direction of the resident engineer or agency authorized individual.

Payment for abrading the existing pavement markings by the vendor, with work zone traffic control by the owner (if required) will be made based on the number of linear feet at 4 inches wide of pavement markings actually abraded as directed by the engineer or agency authorized individual.

Payment for abrading the existing pavement markings by the vendor, with work zone traffic control by the vendor (if required), will be made based on the number of linear feet at 4 inches wide of pavement markings actually abraded as directed by the engineer or agency authorized individual. No separate payment will be made for work zone traffic control when this item is used.

Payment for overlay splices with work zone traffic control by the owner (if required) will be made based on the number of linear feet of overlay splices at 3 feet wide actually constructed by the vendor as directed by the engineer or agency authorized individual.

Payment for overlay splices with work zone traffic control by the vendor (if required) will be made based on the number of linear feet of overlay splices at 3 feet wide actually constructed by the vendor as directed by the engineer or agency authorized individual. No separate payment will be made for maintenance and protection of traffic when this item is used.

The price per unit arrived at (mutually estimated) by the vendor and the using agency on the Price Calculation Worksheet or the price per unit resultant from the average daily production, whichever is less, shall be the price per unit paid to the vendor. No additional payment shall be due to the vendor for production rates that are not equal to the rate upon which the calculation work sheet price was based.

PRE-CONVENTIONAL OR RUBBER MODIFIED PAVER PLACED SURFACE TREATMENT CONFERENCE:

The contractor shall schedule a pre-conventional or rubber modified paver placed surface treatment conference with the State or political subdivision at least two weeks prior to the start of work under this contract. Project level supervisors for both the owner agency and the vendor should be present at this conference. At this conference the contractor shall present Certificates of Insurance evidencing compliance with the additional insurance requirements, their proposed schedule, mix design, numbers and type of equipment, and Work Zone Traffic Control (if applicable) to the State or political subdivision for approval. The mix design must clearly show all the target gradations and asphalt content used in the mix design and shall be representative of the materials proposed by the contractor to be used on the project. Adjustments may be required during construction based on field conditions and with the approval of the State or political subdivision.

The contractor shall also furnish the State or political subdivision copies of the self-priming paver approval at this time. The contractor shall indicate the aggregate source and the hot mix asphalt concrete source, at this conference. At least one week prior to the start of work under this contract, the contractor shall coordinate the details of the conventional or rubber modified paver placed surface treatment with the owner's representative.

(continued)

GENERAL INFORMATION (Cont'd)

WORK HOURS:

Work will not be permitted on Sundays and Holidays unless requested by NYSDOT. If the Contractor desires to work overtime on other days, dispensation from the NYS Labor Department must be obtained.

SATURDAY AND SUNDAY WORK:

When requested to work on Saturday and/or Sunday by the resident engineer or agency authorized individual, the contractor shall be paid the price bid for Saturday and/or Sunday work, as appropriate. The price bid per day shall include the cost of all premium labor charges. The contractor shall only be due the extra payment when work on Saturday and/or Sunday is in the best interest of the State or the using agency. Work done by the contractor on Saturday and/or Sunday for their own convenience or to make up for rainouts shall not be due the extra payment for Saturday and/or Sunday work.

CONSTRUCTION DETAILS:

The construction details shall comply with the requirements specified in the enclosed DETAILED SPECIFICATIONS.

DAMAGED OR DEFICIENT AREAS:

Prior to acceptance and payment for work under this contract by the State or political subdivision, any conventional or rubber modified paver placed surface treatment that ravels, delaminates, fails to properly cure, or is in any way defective shall be redone to the satisfaction of the State's or political subdivision's representative at the contractor's expense.

OPTIONAL OVERLAY SPLICES WITH WORK ZONE TRAFFIC CONTROL BY THE OWNER:

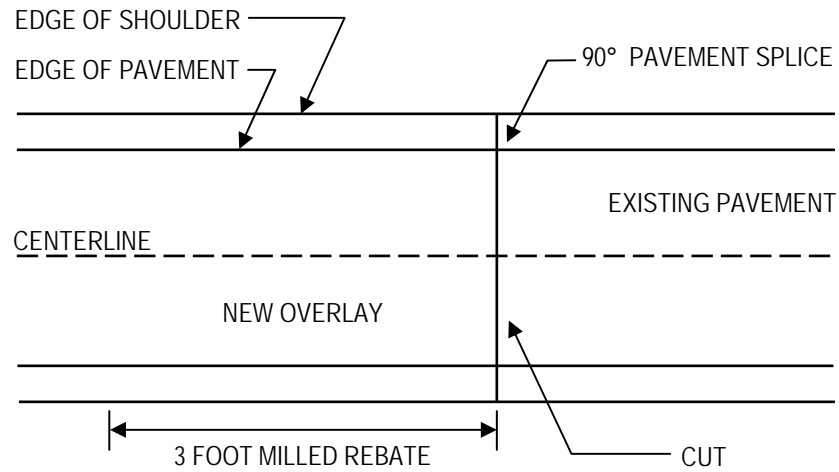
If required by the Engineer or agency authorized individual, the vendor shall construct overlay splices (commonly known as rebates) as per the detail Overlay Splices. The price bid shall include all costs to properly construct the overlay splice including the costs for cutting the existing pavement, milling overlay splices, and cleaning the pavement in the splice area. Payment shall be by the linear foot of overlay splice at 3 feet wide. Work zone traffic control shall be the responsibility of the owner.

OPTIONAL OVERLAY SPLICES WITH WORK ZONE TRAFFIC CONTROL BY THE VENDOR:

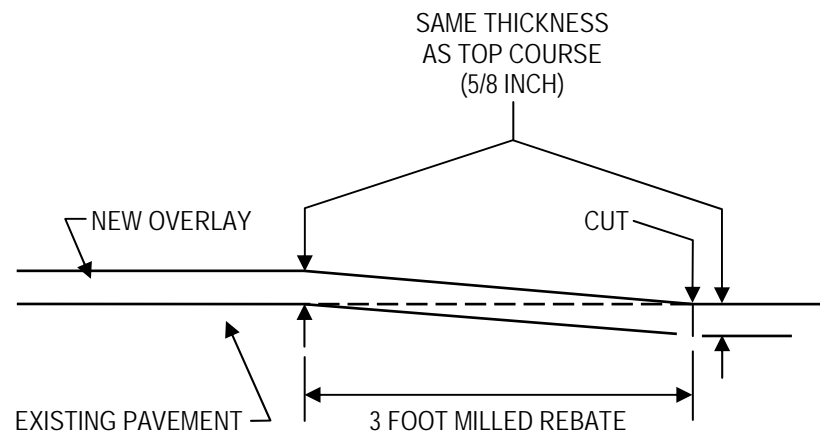
If required by the Engineer or agency authorized individual, the vendor shall construct overlay splices (commonly known as rebates) as per the detail Overlay Splices. The price bid shall include all costs to properly construct the overlay splice including the costs for cutting the existing pavement, milling overlay splices, cleaning the pavement in the splice area, and maintaining and protecting traffic. Payment shall be by the linear foot of overlay splice at 3 feet wide. Work zone traffic control shall be the responsibility of the vendor.

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OPTIONAL OVERLAY SPLICE:



PLAN



SECTION

GENERAL INFORMATION (Cont'd)

OPTIONAL WORK ZONE TRAFFIC CONTROL:

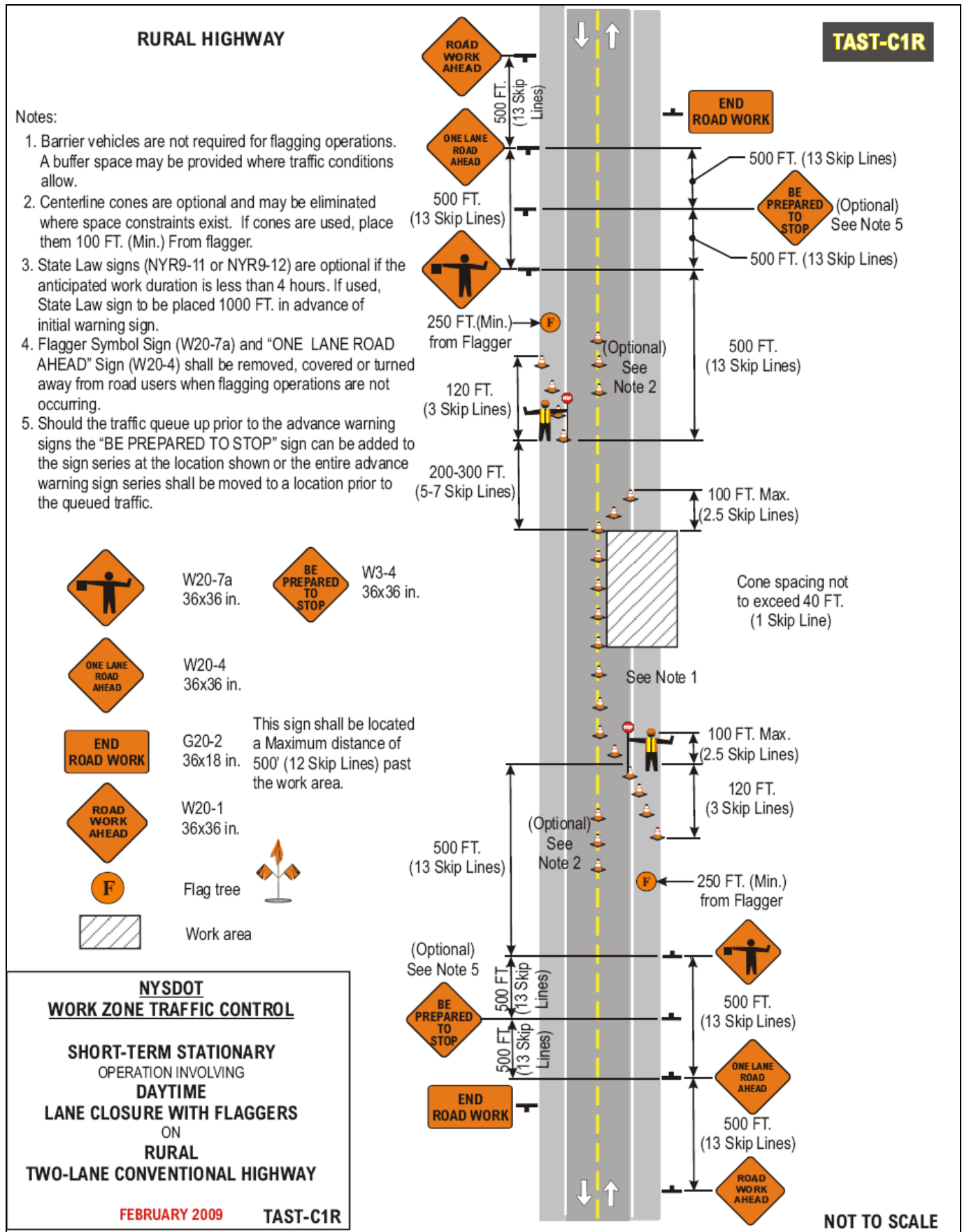
The contractor shall submit a per square yard price for work zone traffic control as prescribed by this specification. When requesting price quotes from the contractors, the purchasing agency may, at their option, include work zone traffic control by the contractor for the specific project anticipated.

If optional work zone traffic control is included in the project request, the contractor shall be responsible for work zone traffic control. Traffic shall be controlled in accordance with Sections 619-1 through 619-3 of the Standard Specifications, the Manual of Uniform Traffic Control Devices (MUTCD) and as described herein. The contractor shall submit a Work Zone Traffic Control Plan for approval to the resident engineer or agency authorized individual at the Pre-Conventional or Rubber Modified Paver Placed Surface Treatment Conference. For two-way roadways, Figures TAST-C1R, TASTC2R, TAST-C3R, TAST-C4R, TAST-C5R, TAST-C7R, TAST-C1UL, TAST-C2UL, TAST-C3UL, TAST-C4U, TAST-C7UL, TAST-C1UH, TAST-C2UH, TAST-C3UH, and TAST-C7UH included in this IFB may be used as a basis for development of a Work Zone Traffic Control Plan. For one-way roadways, Figures TAST-C5UL, TASTC6UL, TAST-C8UL, TAST-C5UH, TAST-C6UH, and TAST-C8UH may be used as a basis for development of a Work Zone Traffic Control Plan. For one-way Freeways or Expressways, Figures TAST-E1, TAST-E2, TAST-E3, TAST-E4, TAST-E5, TAST-E6, and TAST-E7 may be used as a basis for development of a Work Zone Traffic Control Plan.

All necessary flaggers for work zone traffic control shall be provided by the contractor. For two-way roadways, a minimum of three flaggers shall be provided while the conventional or rubber modified paver placed surface treatment operation is underway. One shall be stationed at each end of the operation and one shall be stationed with the paver placed surface treatment machine. For one-way roadways, a minimum of two flaggers shall be provided while the conventional or rubber modified paver placed surface treatment operation is underway. One shall be stationed at the beginning of the operation and one shall be stationed with the paver placed surface treatment machine. The contractor shall station flaggers such that communication is maintained between the flaggers. Hand signals, radios, or some other means of communication may be used subject to the approval of the resident engineer or agency authorized individual.

Unless otherwise specified, the highway shall be kept open to traffic at all times. Traffic shall be discontinued on the lane where the conventional or rubber modified paver placed surface treatment is being placed; and as soon as the newly paved surface has been rolled, traffic may be permitted thereon.

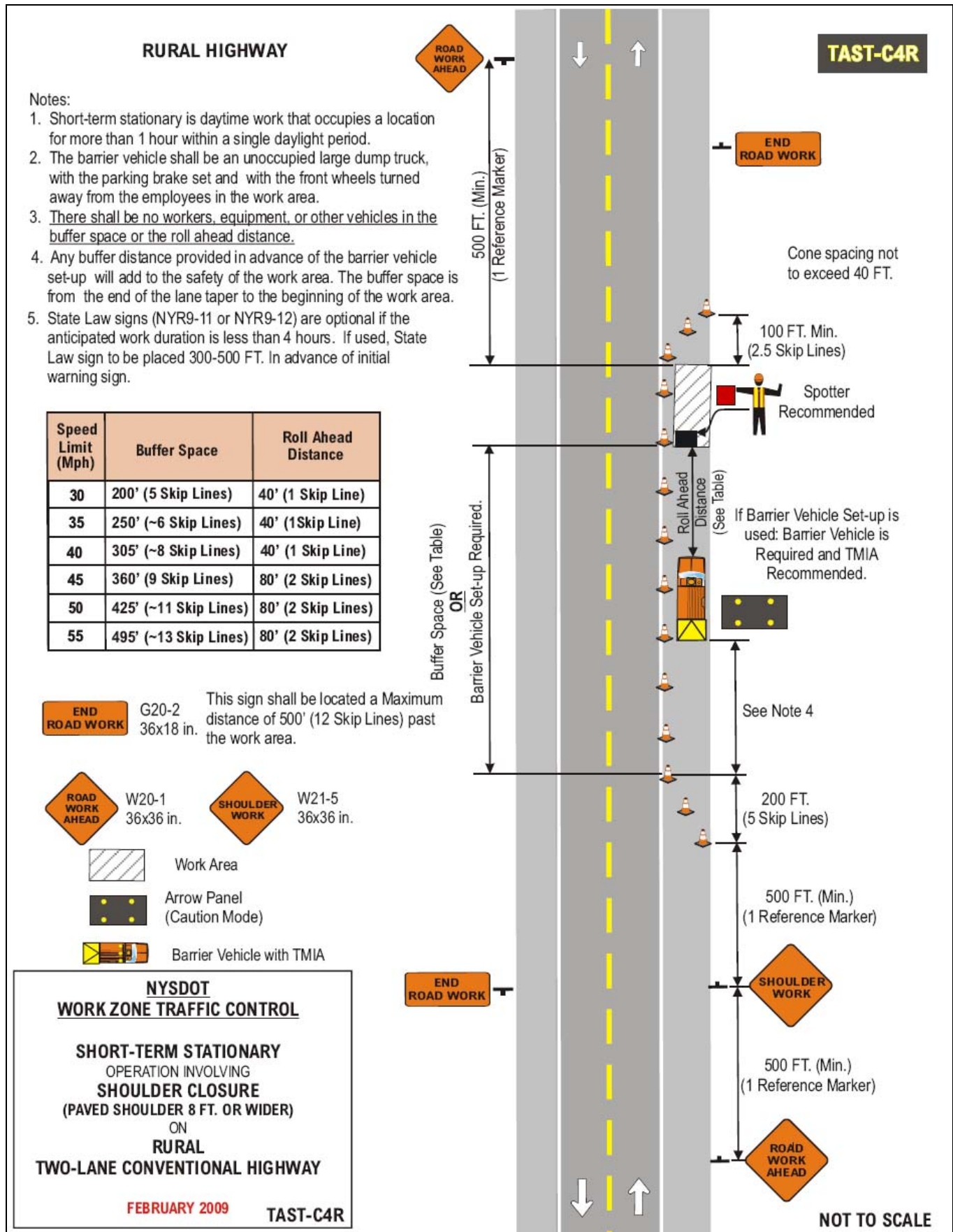
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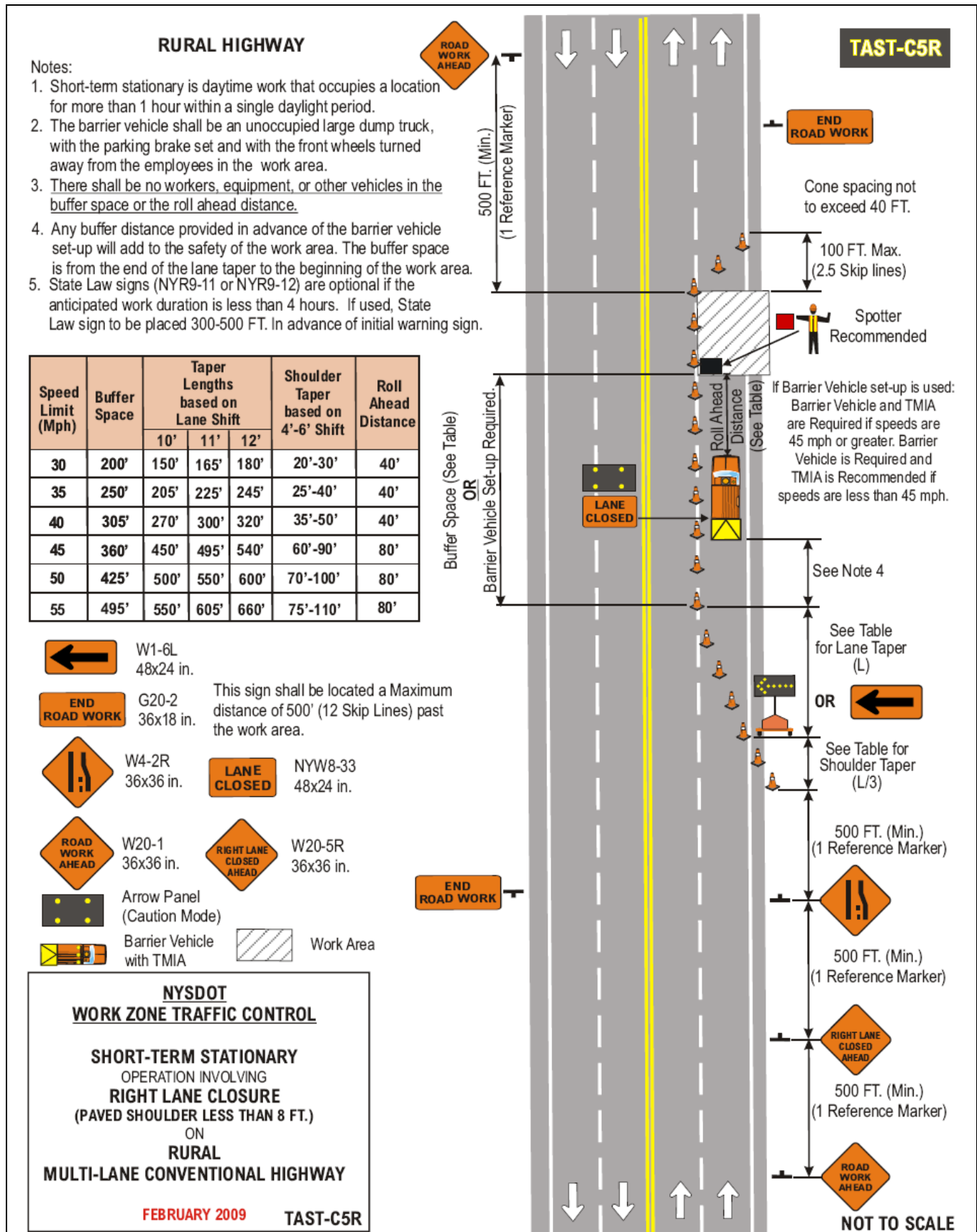
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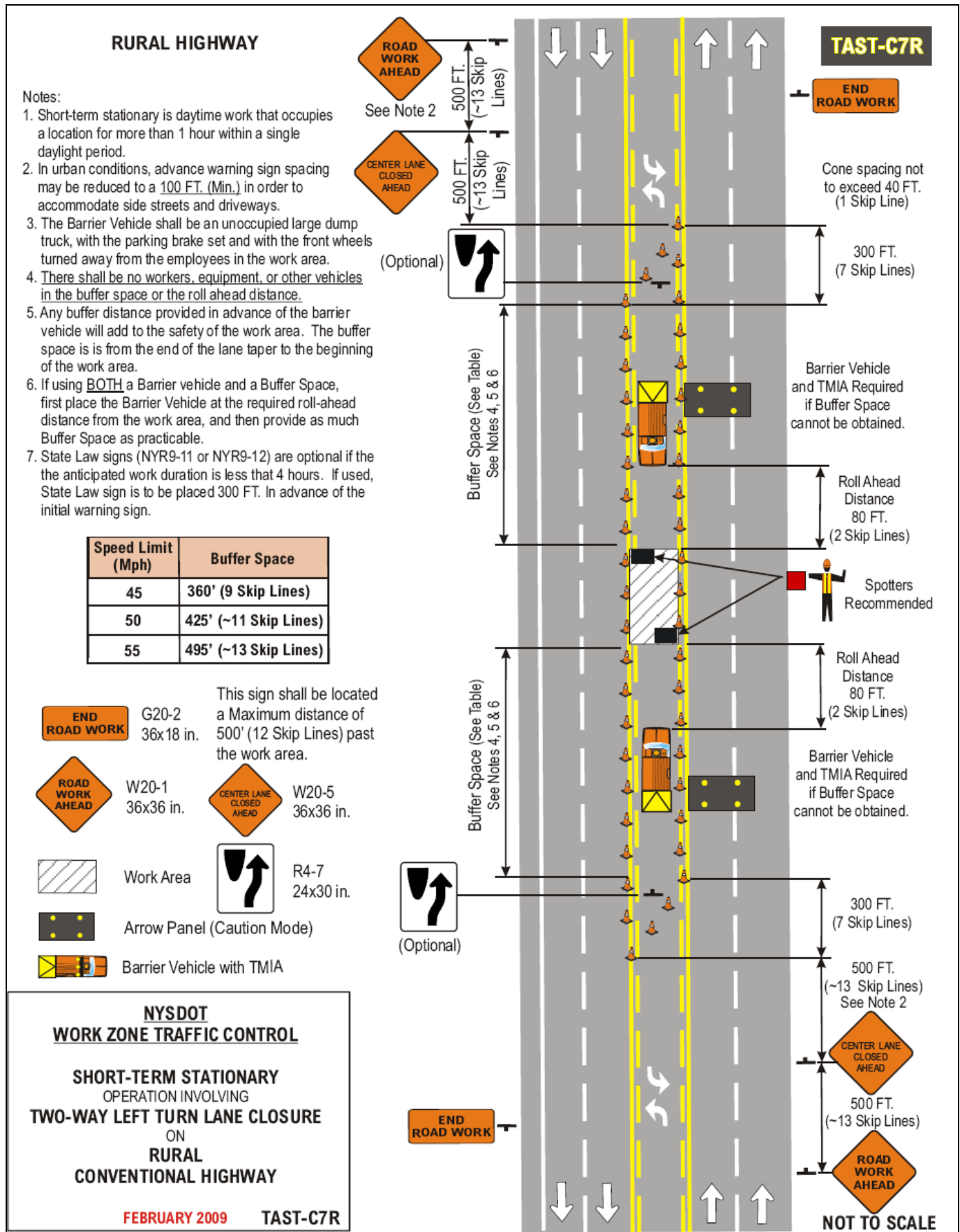




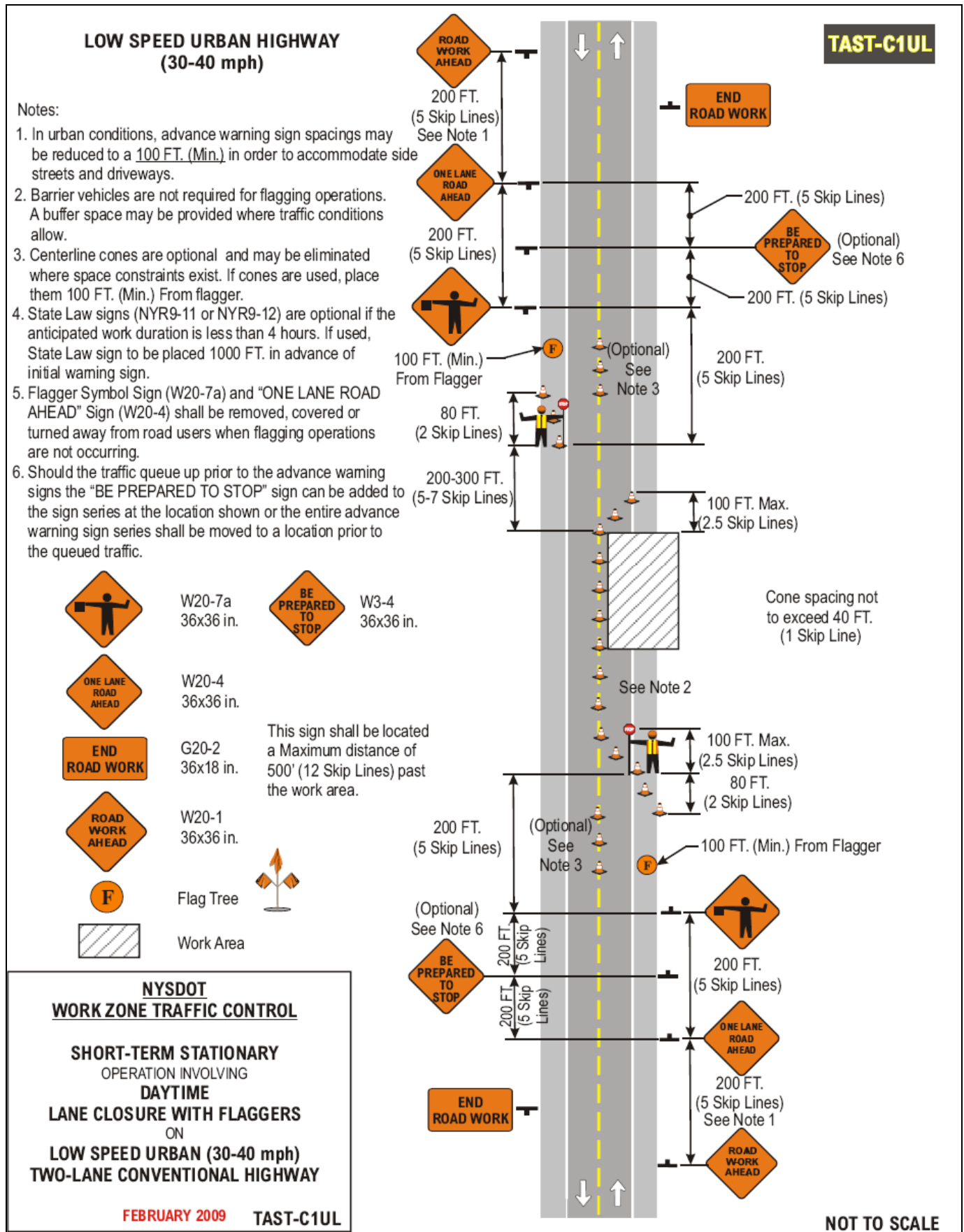
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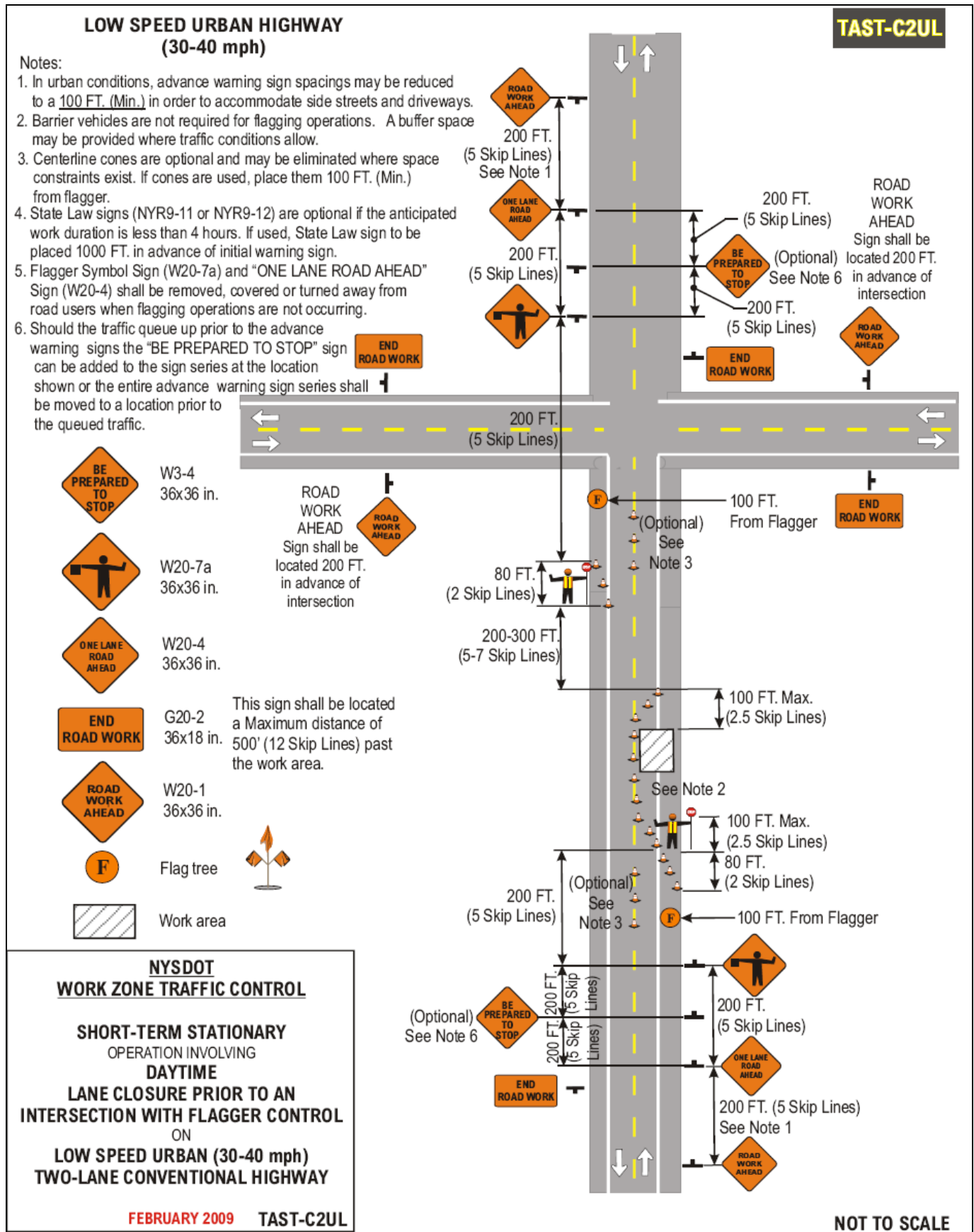
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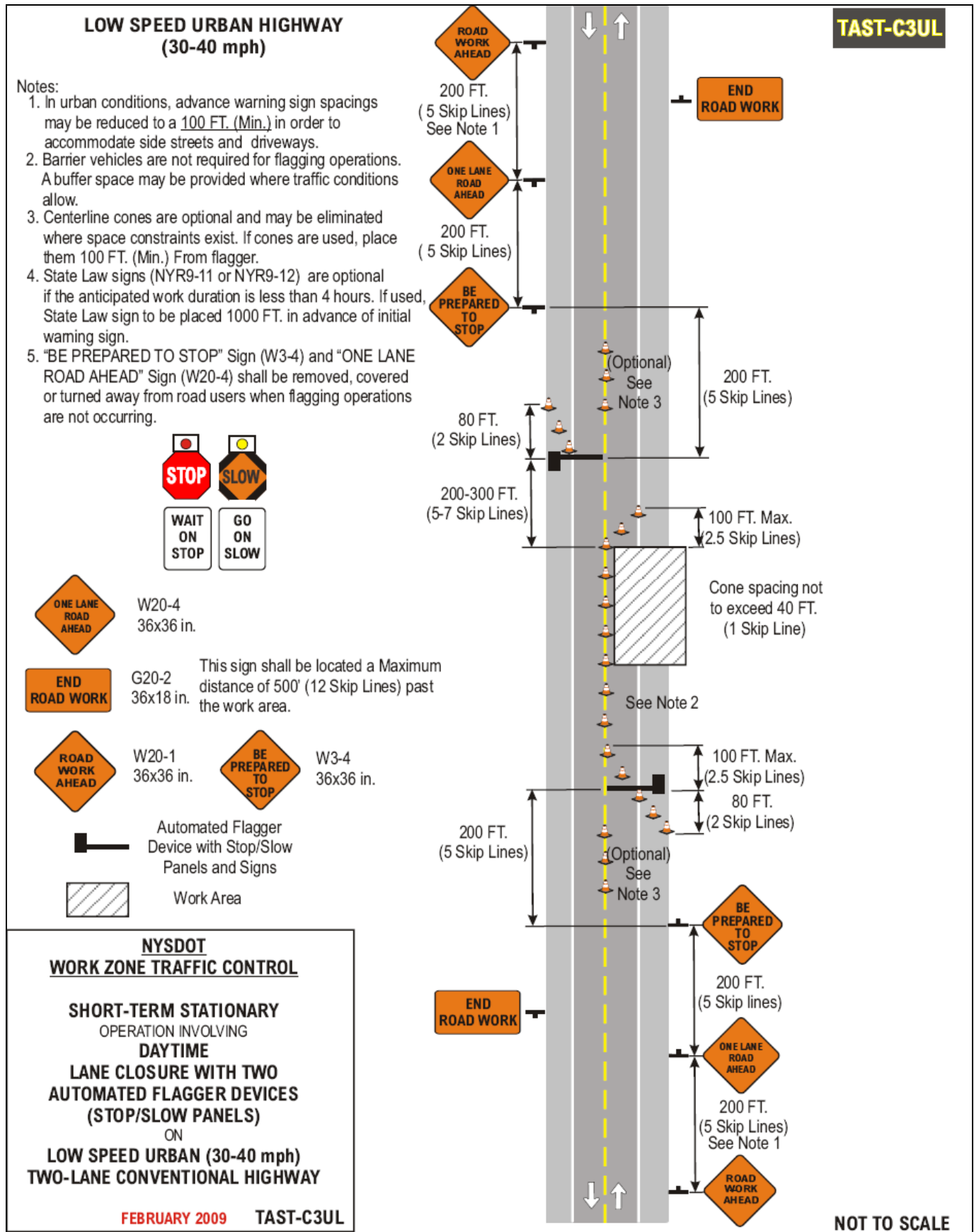
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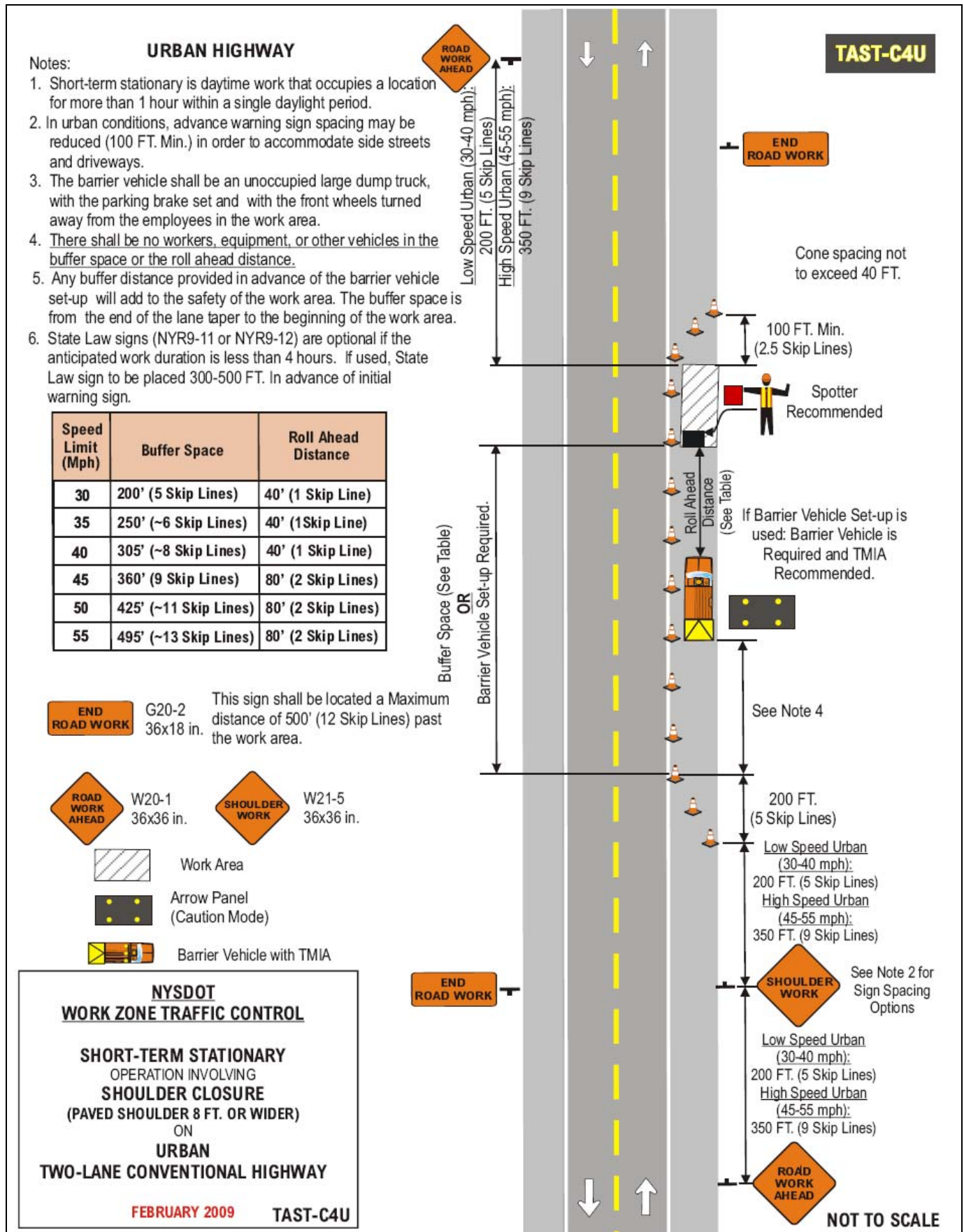
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**LOW SPEED URBAN HIGHWAY
(30-40 mph)**

Notes:

1. Short-term stationary is daytime work that occupies a location for more than 1 hour within a single daylight period.
2. In urban conditions, advance warning sign spacing may be reduced to a 100 FT. (Min.) in order to accommodate side streets and driveways.
3. The Barrier Vehicle shall be an unoccupied large dump truck, with the parking brake set and with the front wheels turned away from the employees in the work area.
4. There shall be no workers, equipment, or other vehicles in the buffer space or the roll ahead distance.
5. Any buffer distance provided in advance of the barrier vehicle set-up will add to the safety of the work area. The buffer space is from the end of the lane taper to the beginning of the work area.
6. State Law signs (NYR9-11 or NYR9-12) are optional if the anticipated work duration is less than 4 hours. If used, State Law sign is to be placed 300 FT. in advance of the initial warning sign.

Speed Limit (Mph)	Buffer Space
30	200' (5 Skip Lines)
35	250' (~7 Skip Lines)
40	305' (~8 Skip Lines)

END ROAD WORK G20-2 36x18 in. This sign shall be located a Maximum distance of 500' (12 Skip Lines) past the work area.

ROAD WORK AHEAD W20-1 36x36 in. **W4-2R** 36x36 in.

LANE CLOSED NYW8-33 48x24 in. **RIGHT LANE CLOSED AHEAD** W20-5R 36x36 in.

← W1-6L 48x24 in.

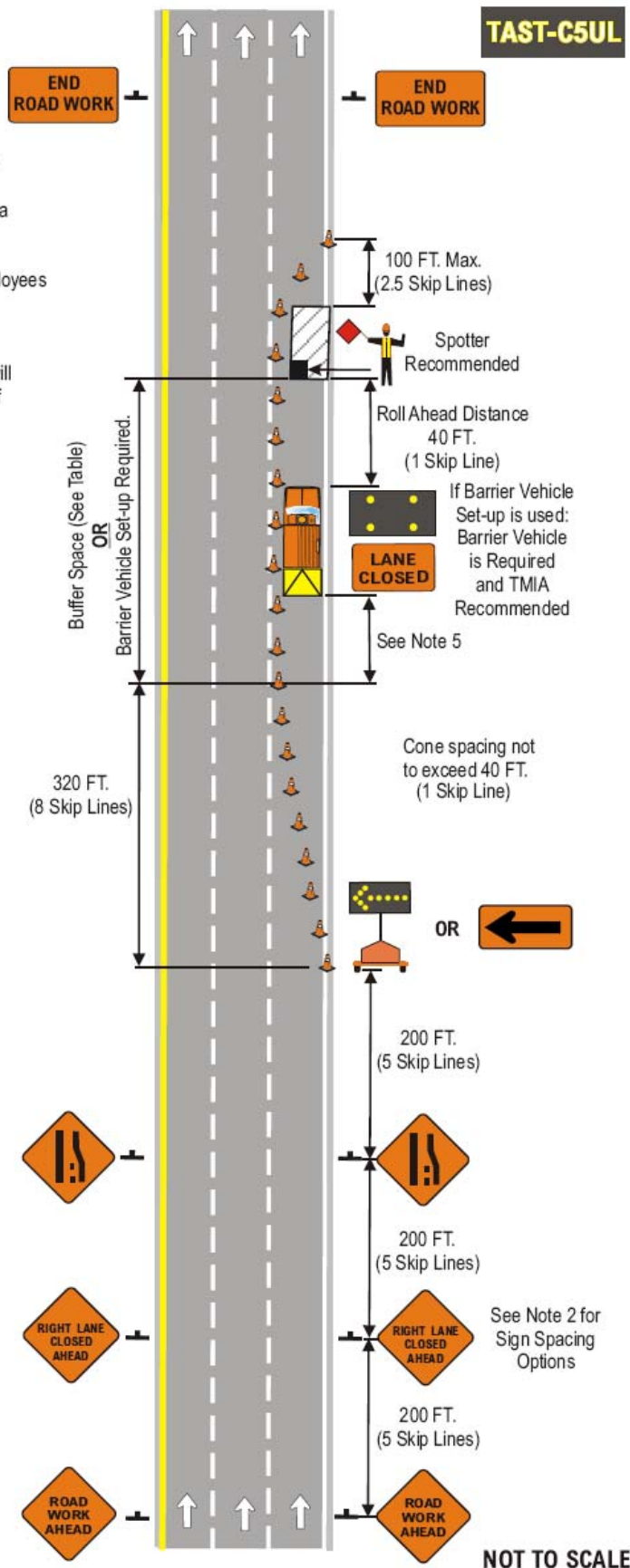
Arrow Panel (Caution Mode)

Barrier Vehicle with TMIA **Work Area**

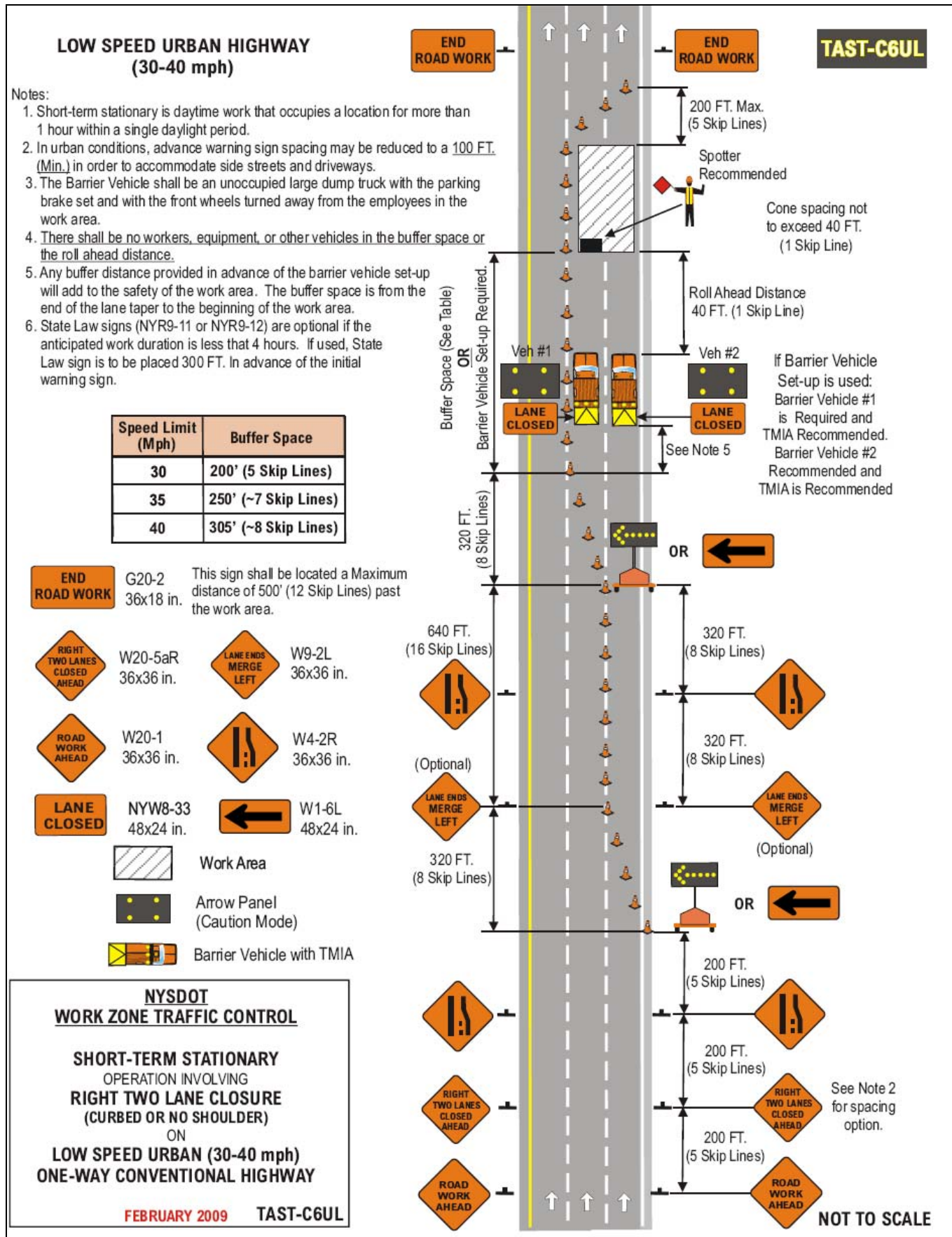
**NYSDOT
WORK ZONE TRAFFIC CONTROL**

**SHORT-TERM STATIONARY
OPERATION INVOLVING
RIGHT LANE CLOSURE
(CURBED OR NO SHOULDER)
ON
LOW SPEED URBAN (30-40 mph)
ONE-WAY CONVENTIONAL HIGHWAY**

FEBRUARY 2009 TAST-C5UL



(continued)



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**LOW SPEED URBAN HIGHWAY
(30-40 mph)**



Notes:


1. Short-term stationary is daytime work that occupies a location for more than 1 hour within a single daylight period.
2. In urban conditions, advance warning sign spacing may be reduced to a 100 FT. (Min.) in order to accommodate side streets and driveways.
3. The Barrier Vehicle shall be an unoccupied large dump truck, with the parking brake set and with the front wheels turned away from the employees in the work area.
4. There shall be no workers, equipment, or other vehicles in the buffer space or the roll ahead distance.
5. Any buffer distance provided in advance of the barrier vehicle will add to the safety of the work area. The buffer space is from the end of the lane taper to the beginning of the work area.
6. If using **BOTH** a Barrier vehicle and a Buffer Space, first place the Barrier Vehicle at the required roll-ahead distance from the work area, and then provide as much Buffer Space as practicable.
7. State Law signs (NYR9-11 or NYR9-12) are optional if the anticipated work duration is less than 4 hours. If used, State Law sign is to be placed 300 FT. In advance of the initial warning sign.


Speed Limit (Mph)	Buffer Space
30	200' (5 Skip Lines)
35	250' (~7 Skip Lines)
40	305' (~8 Skip Lines)

END ROAD WORK G20-2 36x18 in. This sign shall be located a Maximum distance of 500' (12 Skip Lines) past the work area.

ROAD WORK AHEAD W20-1 36x36 in. **CENTER LANE CLOSED AHEAD** W20-5 36x36 in.

 Work Area  R4-7 24x30 in.

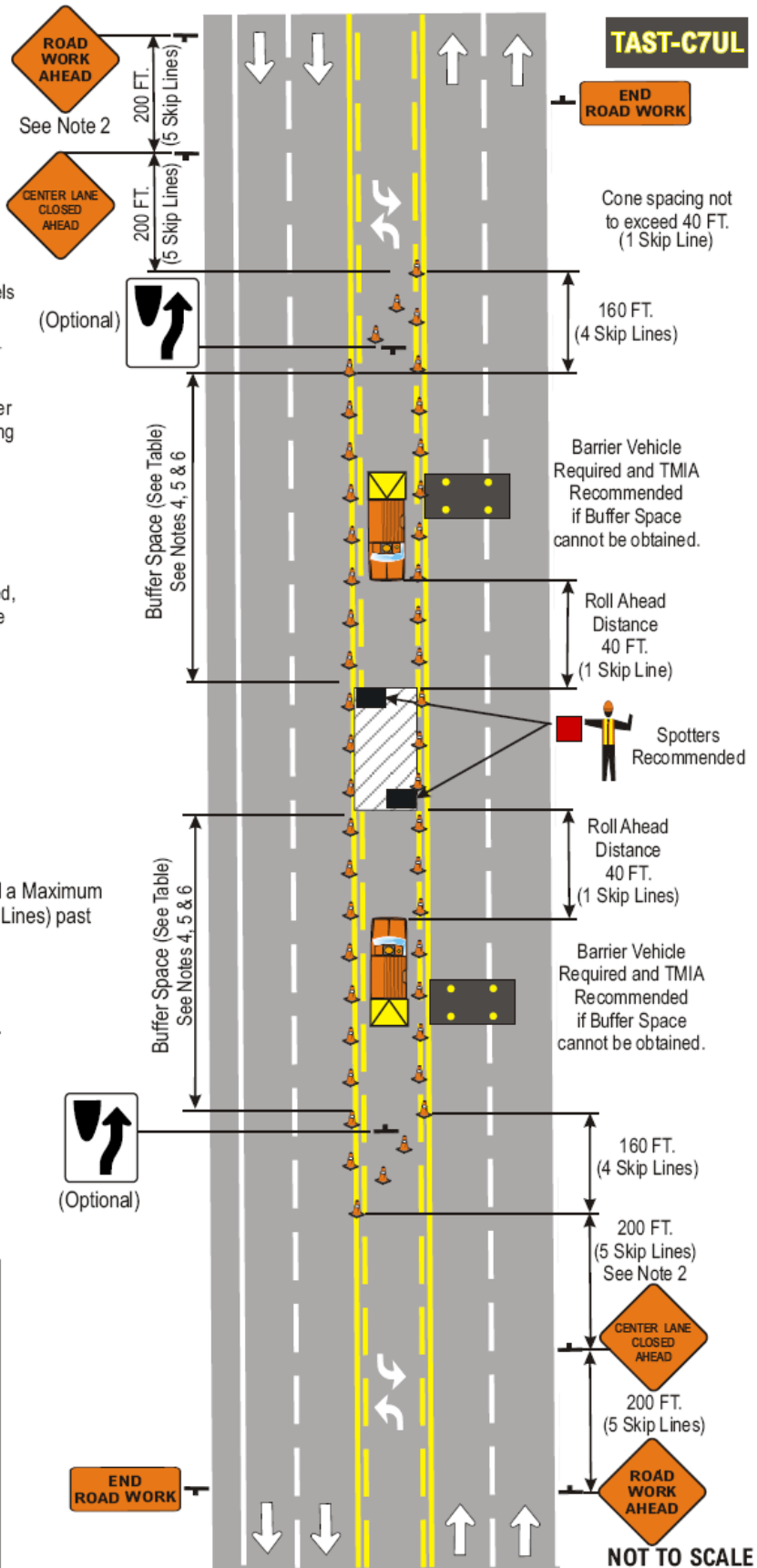
 Arrow Panel (Caution Mode)

 Barrier Vehicle with TMIA

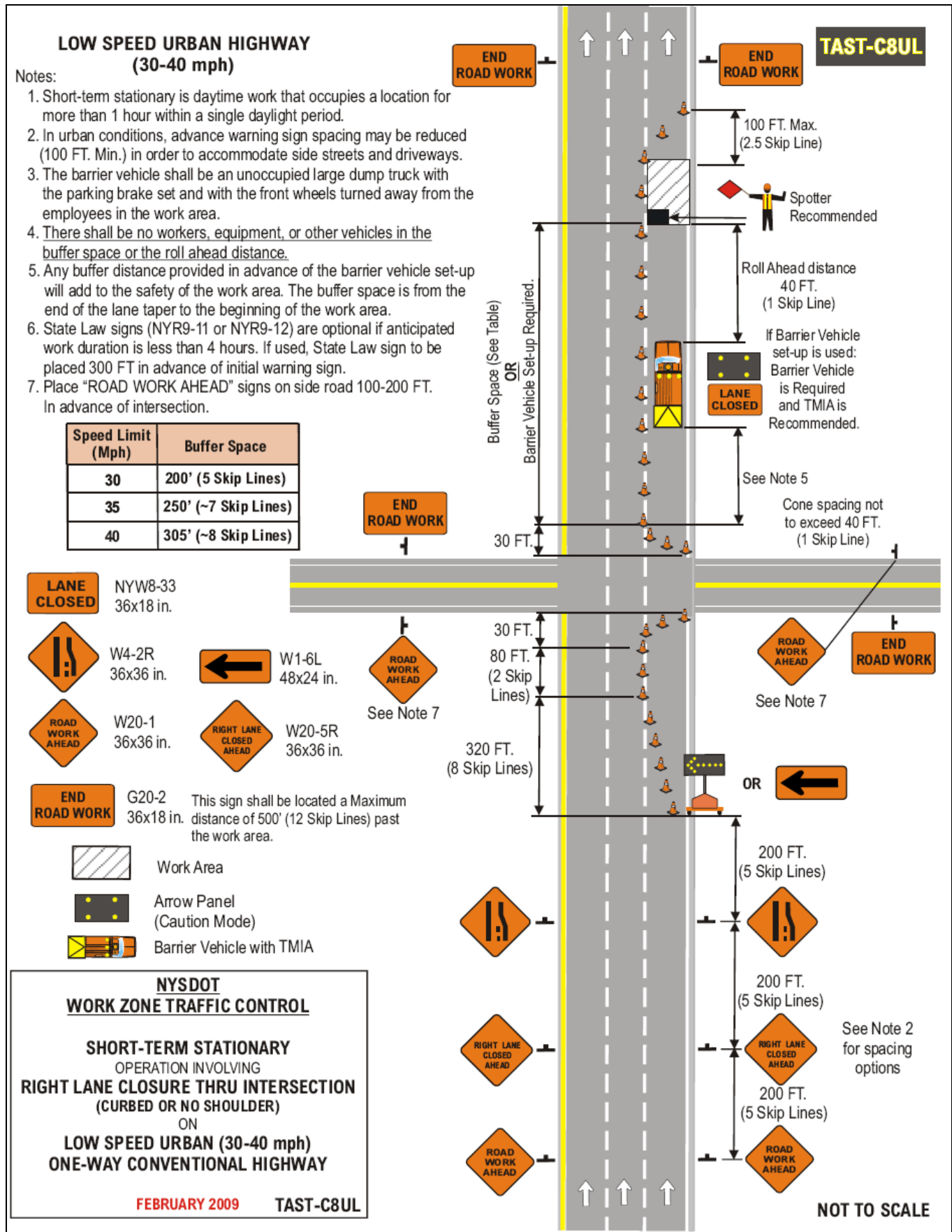
**NYSDOT
WORK ZONE TRAFFIC CONTROL**

**SHORT-TERM STATIONARY
OPERATION INVOLVING
TWO-WAY LEFT TURN LANE CLOSURE
ON
LOW SPEED URBAN (30-40 mph)
CONVENTIONAL HIGHWAY**

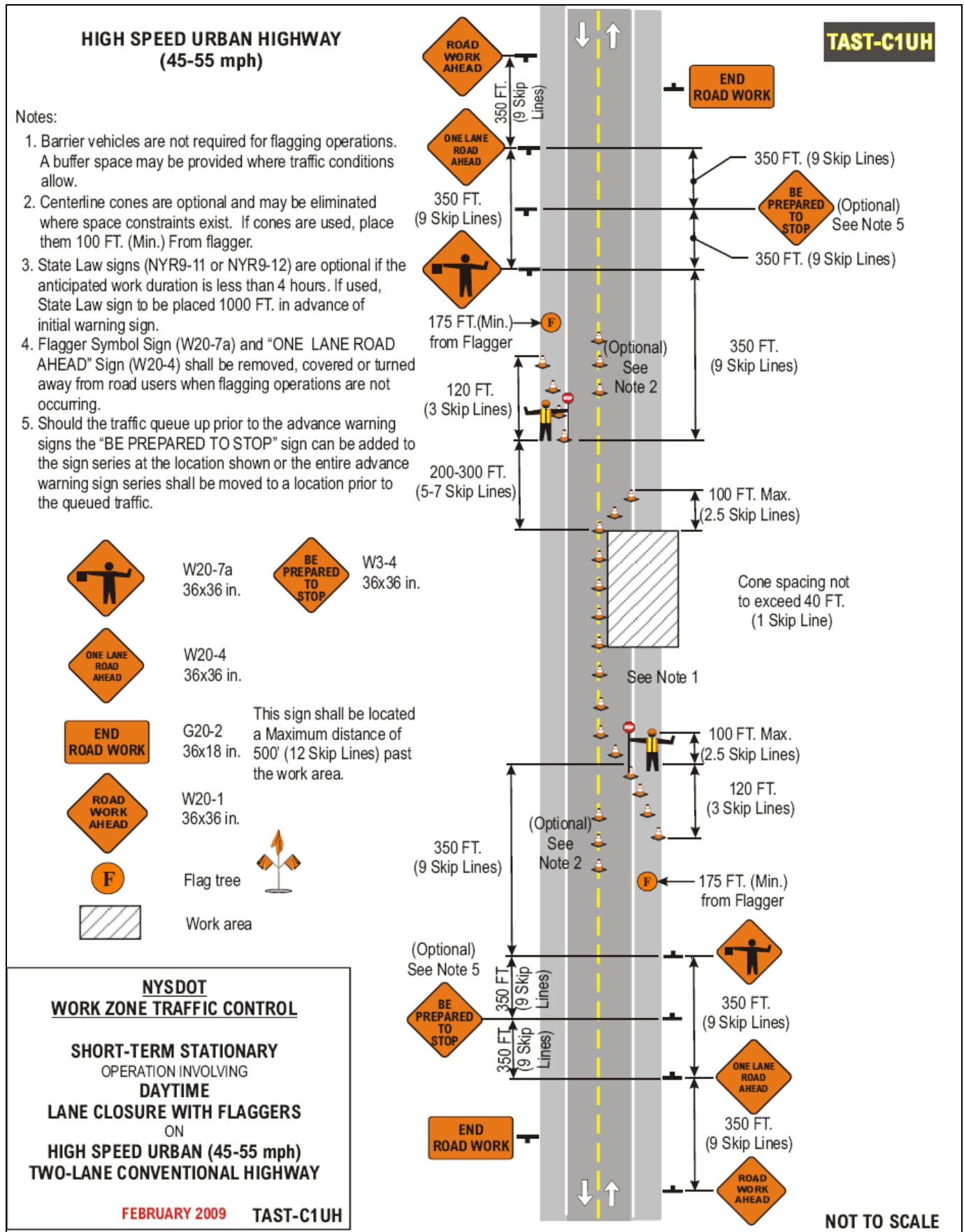
FEBRUARY 2009 TAST-C7UL



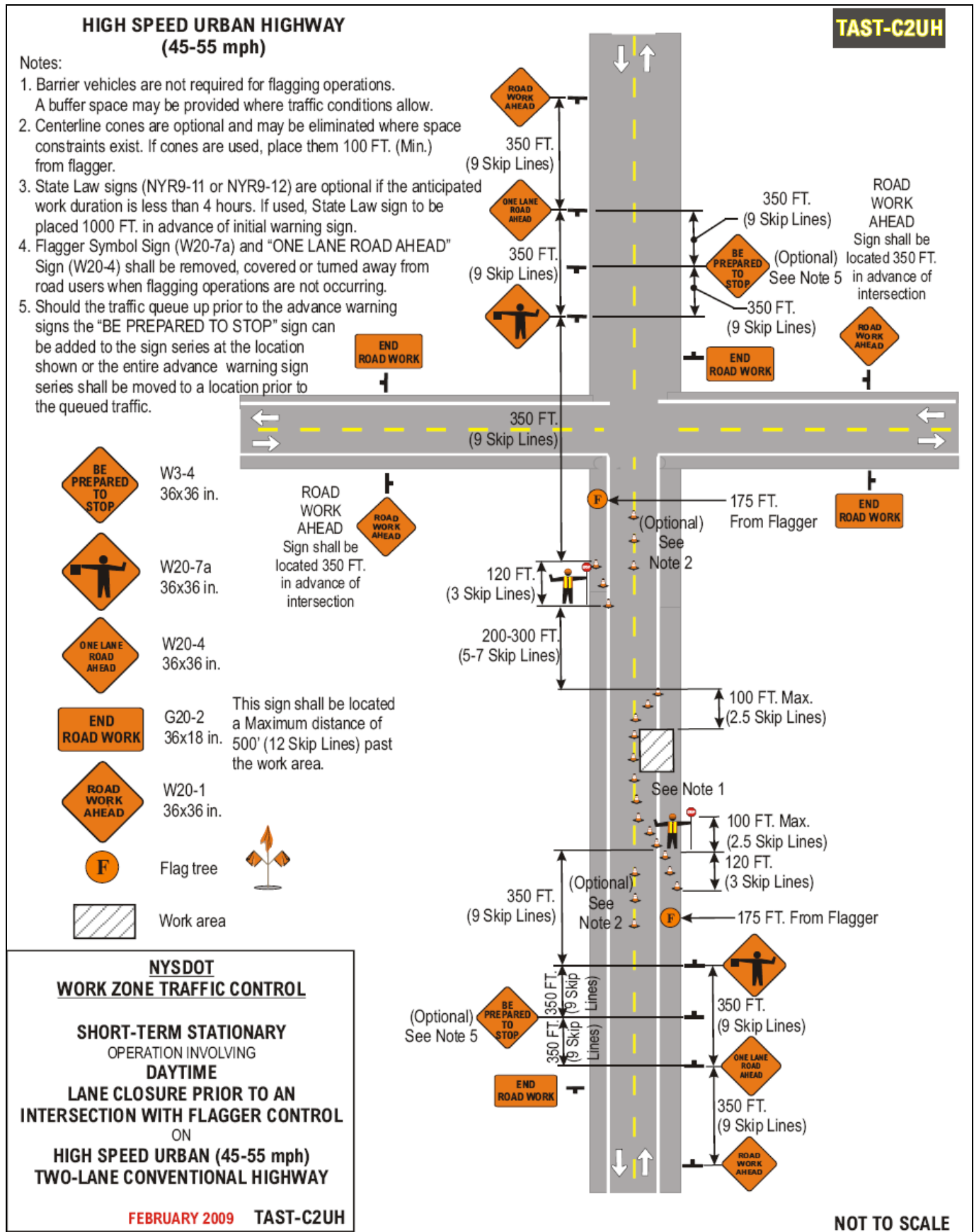
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**HIGH SPEED URBAN HIGHWAY
(45-55 mph)**

TAST-C5UH

Notes:

1. Short-term stationary is daytime work that occupies a location for more than 1 hour within a single daylight period.
2. In urban conditions, advance warning sign spacing may be reduced to a 100 FT. (Min.) in order to accommodate side streets and driveways.
3. The Barrier Vehicle shall be an unoccupied large dump truck, with the parking brake set and with the front wheels turned away from the employees in the work area.
4. There shall be no workers, equipment, or other vehicles in the buffer space or the roll ahead distance.
5. Any buffer distance provided in advance of the barrier vehicle set-up will add to the safety of the work area. The buffer space is from the end of the lane taper to the beginning of the work area.
6. State Law signs (NYR9-11 or NYR9-12) are optional if the anticipated work duration is less than 4 hours. If used, State Law sign is to be placed 300 FT. in advance of the initial warning sign.

Speed Limit (Mph)	Buffer Space
45	360' (9 Skip Lines)
50	425' (~11 Skip Lines)
55	495' (~13 Skip Lines)

END ROAD WORK G20-2 36x18 in. This sign shall be located a Maximum distance of 500' (12 Skip Lines) past the work area.

ROAD WORK AHEAD W20-1 36x36 in. **W4-2R** 36x36 in.

LANE CLOSED NYW8-33 48x24 in. **RIGHT LANE CLOSED AHEAD** W20-5R 36x36 in.

← W1-6L 48x24 in.

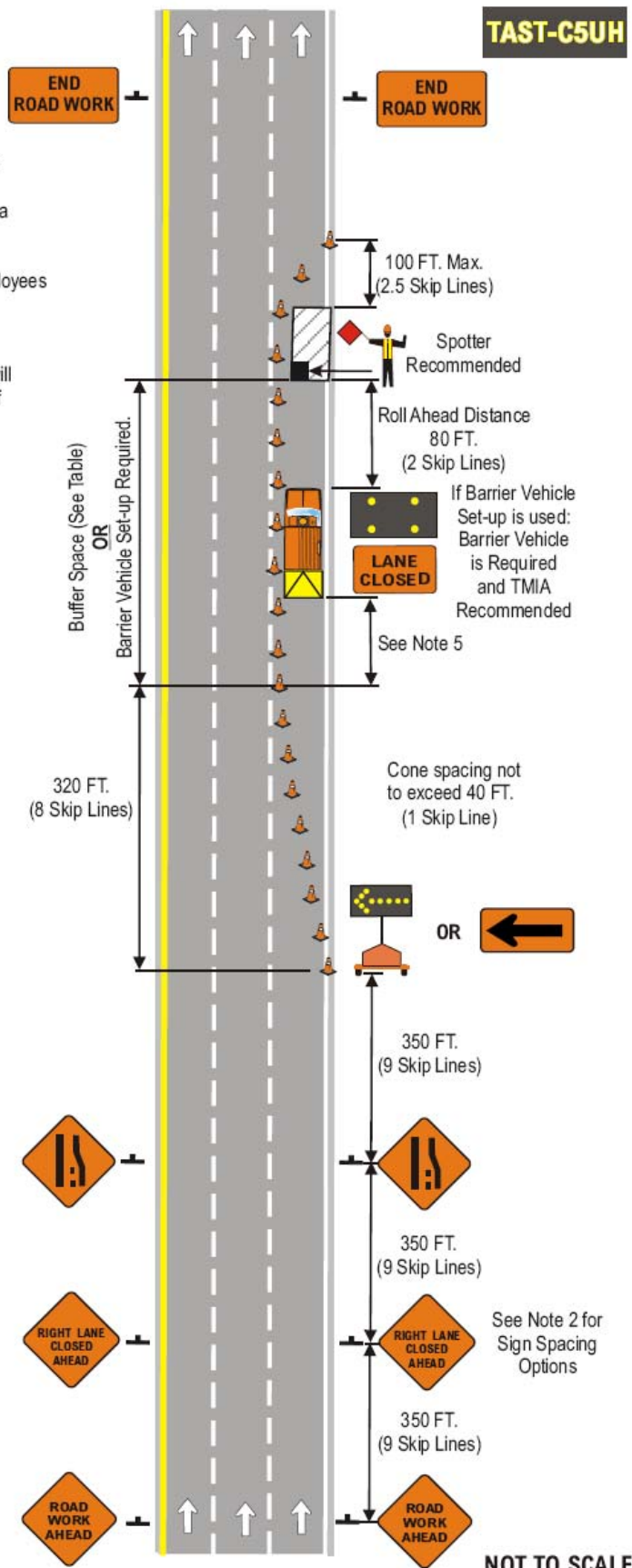
Arrow Panel (Caution Mode)

Barrier Vehicle with TMIA **Work Area**

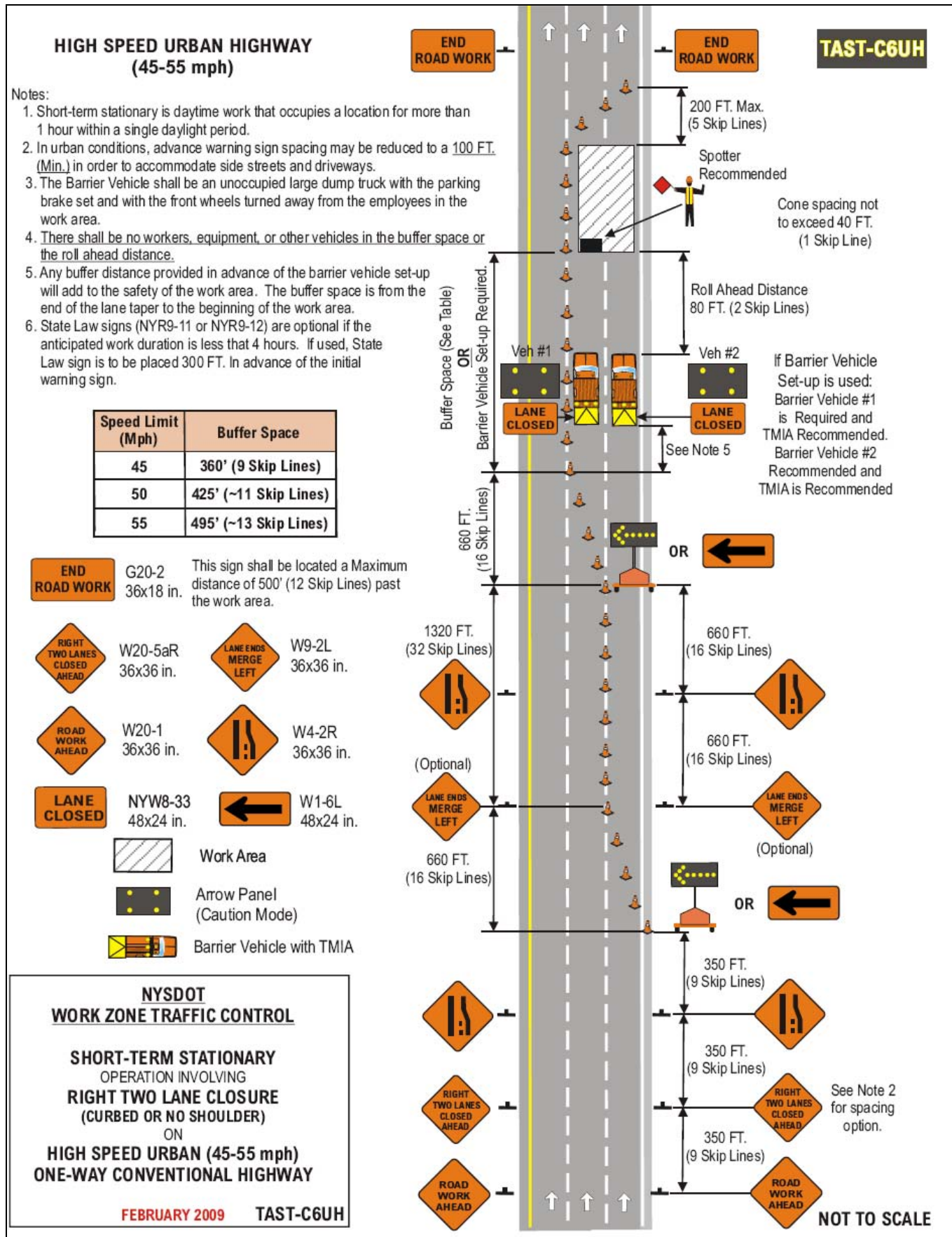
**NYSDOT
WORK ZONE TRAFFIC CONTROL**

**SHORT-TERM STATIONARY
OPERATION INVOLVING
RIGHT LANE CLOSURE
(PAVED SHOULDER LESS THAN 8 FT.)
ON
HIGH SPEED URBAN (45-55 mph)
ONE-WAY CONVENTIONAL HIGHWAY**

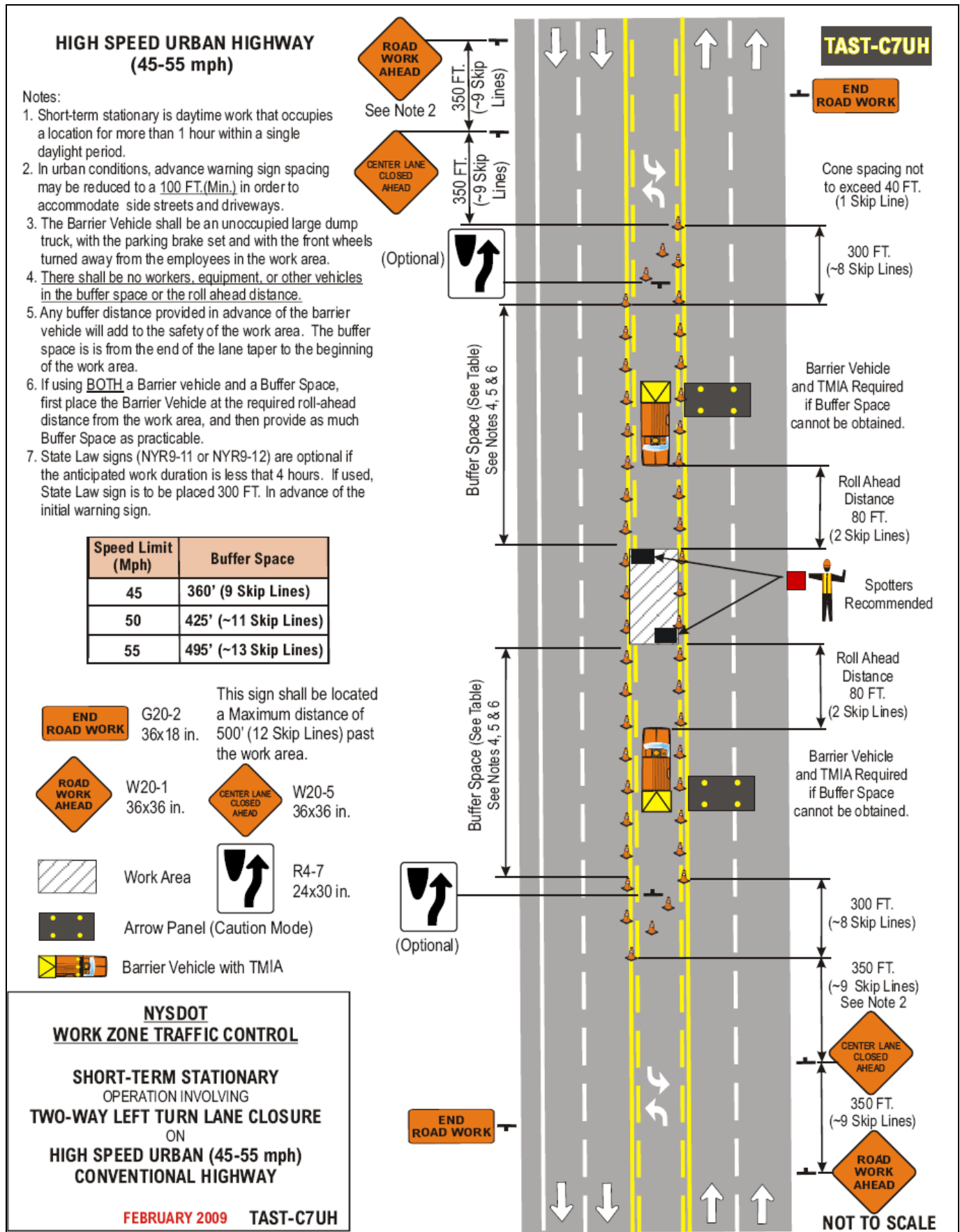
FEBRUARY 2009 TAST-C5UH



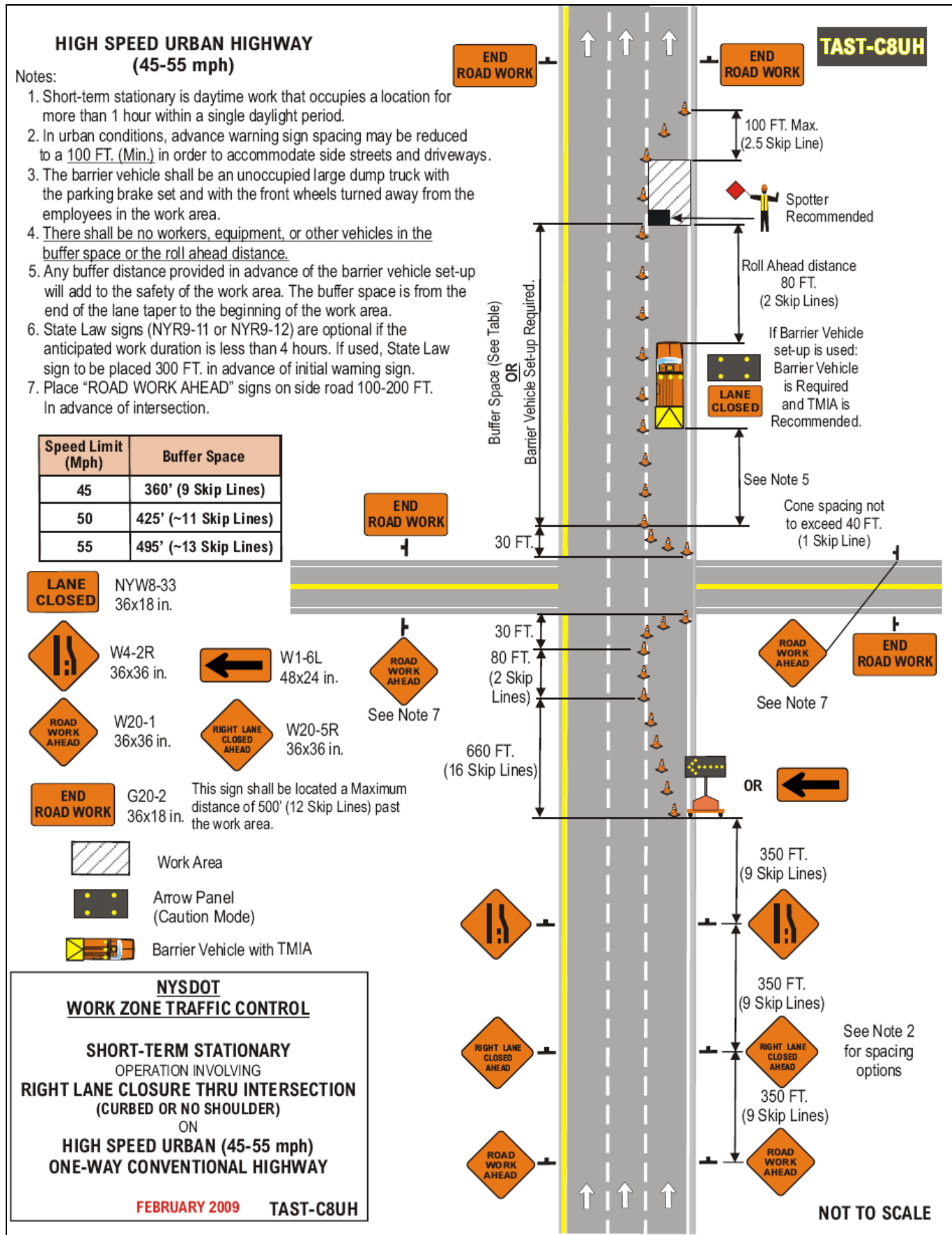
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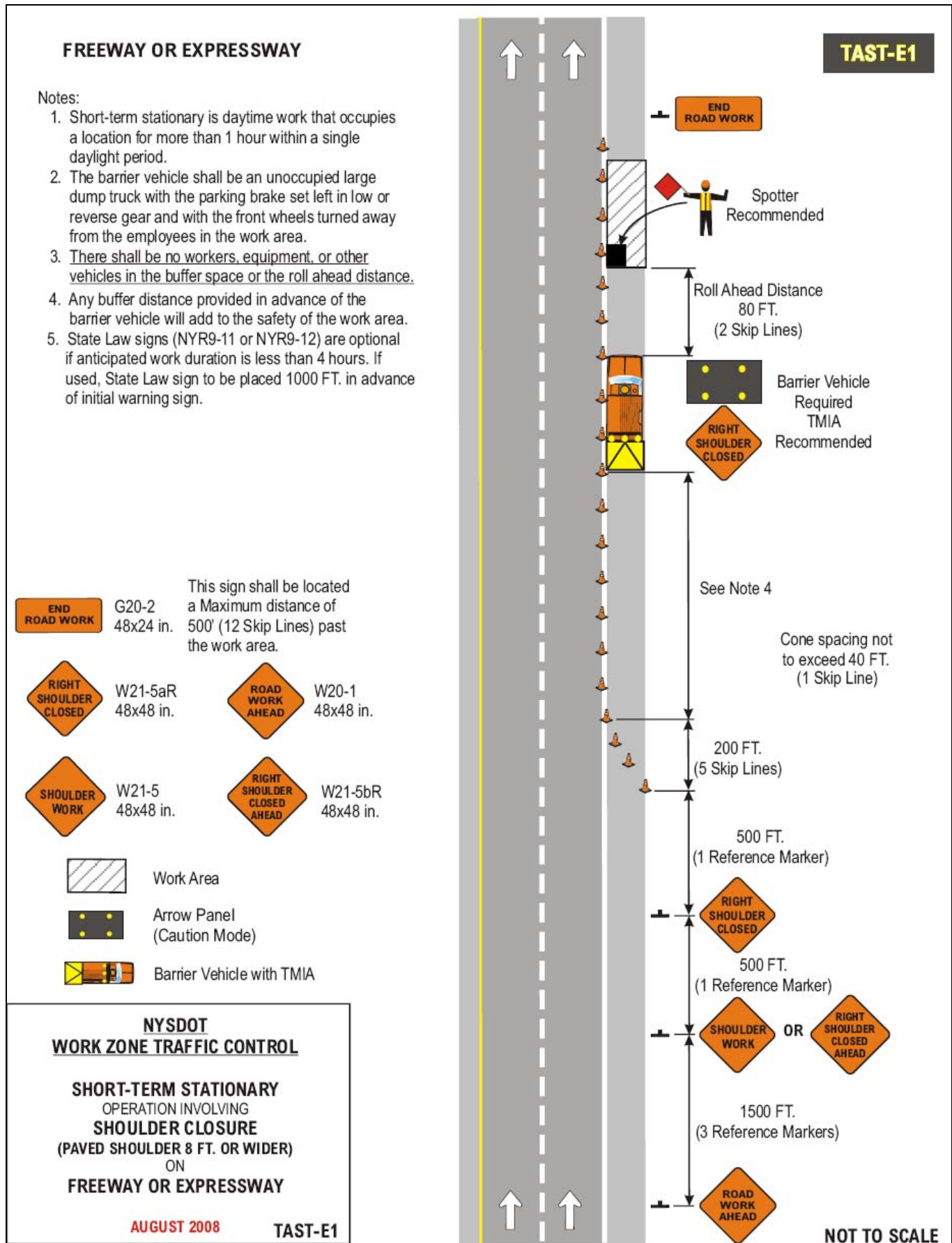
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FREEWAY OR EXPRESSWAY

Notes:

1. Short-term stationary is daytime work that occupies a location for more than 1 hour within a single daylight period.
2. The barrier vehicle shall be an unoccupied large dump truck with the parking brake set and with the front wheels turned away from the employees in the work area.
3. There shall be no workers, equipment, or other vehicles in the buffer space or the roll ahead distance.
4. Any buffer distance provided in advance of the barrier vehicle will add to the safety of the work area.
5. State Law signs (NYR9-11 or NYR9-12) are optional if anticipated work duration is less than 4 hours. If used, State Law sign to be placed 1000 FT. in advance of initial warning sign.

Speed Limit (Mph)	Taper Lengths based on Lane Shift		
	10'	11'	12'
55	550'	605'	660'
60	600'	660'	720'
65	650'	715'	760'

END ROAD WORK G20-2 48x24 in. This sign shall be located a Maximum distance of 500' (12 Skip Lines) past the work area.

LANE CLOSED NYW8-33 48x24 in. **ROAD WORK 1 MILE** W20-1 48x48 in.

RIGHT LANE CLOSED 1/2 MILE W20-5R 48x48 in. **LANE SHIFT** W4-2R 48x48 in.



Work Area



Arrow Panel (Caution Mode)



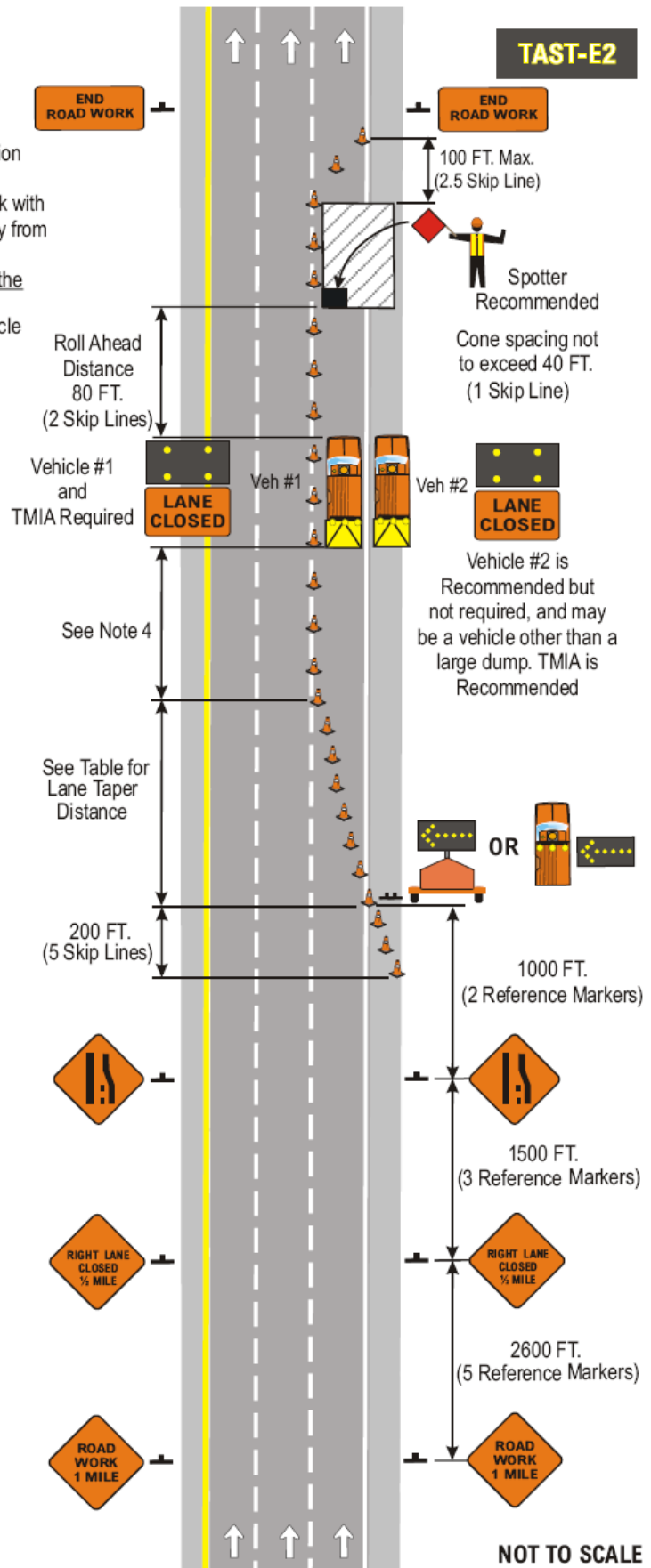
Barrier Vehicle with TMIA

NYSDOT WORK ZONE TRAFFIC CONTROL

**SHORT-TERM STATIONARY
OPERATION INVOLVING
RIGHT LANE CLOSURE
(PAVED SHOULDER 8 FT. OR WIDER)
ON
FREEWAY OR EXPRESSWAY**

AUGUST 2008

TAST-E2



(continued)

**FREEWAY OR EXPRESSWAY
PAVED SHOULDER LESS THAN 8 FT.**

Notes:

1. Short-term stationary is daytime work that occupies a location for more than 1 hour within a single daylight period.
2. The barrier vehicle shall be an unoccupied large dump truck with the parking brake set and with the front wheels turned away from the employees in the work area.
3. There shall be no workers, equipment, or other vehicles in the buffer space or the roll ahead distance.
4. Any buffer distance provided in advance of the barrier vehicle will add to the safety of the work area.
5. State Law signs (NYR9-11 or NYR9-12) are optional if anticipated work duration is less than 4 hours. If used, State Law sign to be placed 1000 FT. in advance of initial warning sign.

Speed Limit (Mph)	Taper Lengths based on Lane Shift			Shoulder Taper based on 4'-6' Shift
	10'	11'	12'	
55	550'	605'	660'	75'-110'
60	600'	660'	720'	80'-120'
65	650'	715'	760'	90'-130'

END ROAD WORK

G20-2
48x24 in.

This sign shall be located a Maximum distance of 500' (12 Skip Lines) past the work area.

LANE CLOSED

NYW8-33
48x24 in.



W20-1
48x48 in.



W20-5R
48x48 in.



W4-2R
48x48 in.



Work Area



Arrow Panel
(Caution Mode)



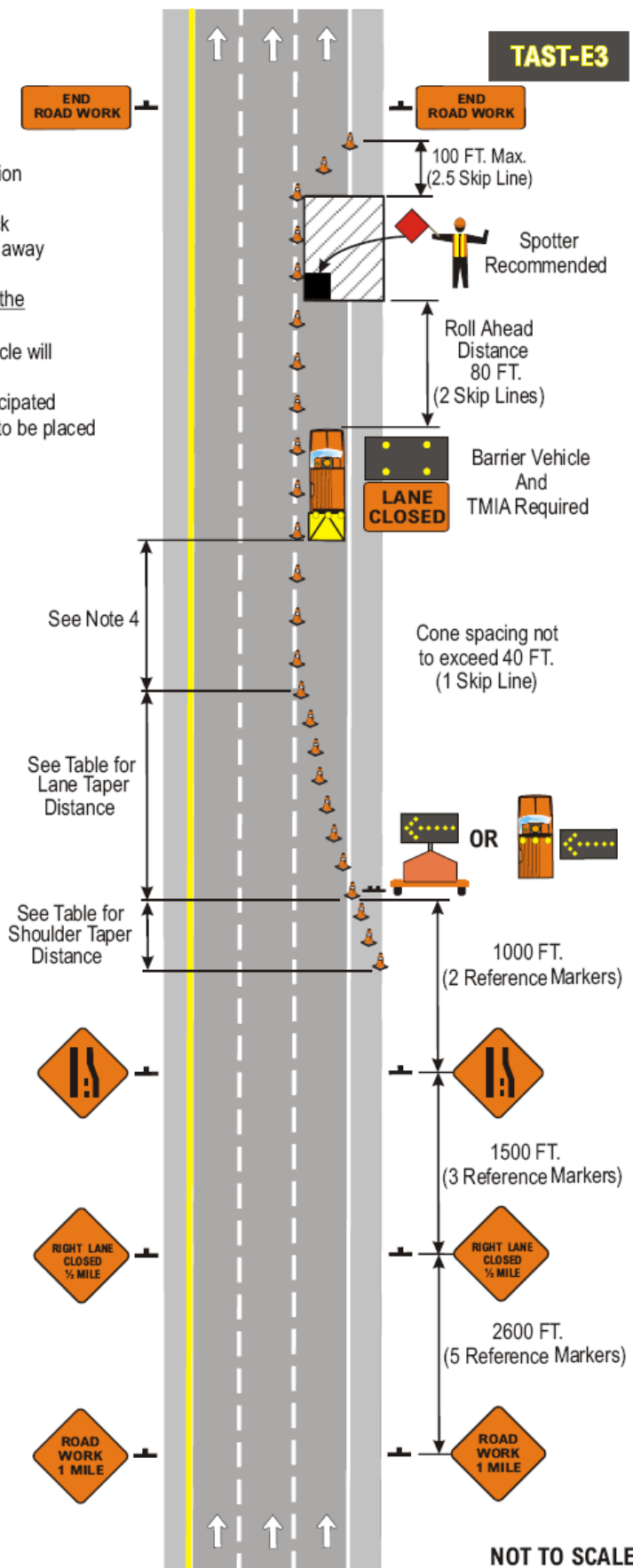
Barrier Vehicle with TMIA

**NYS DOT
WORK ZONE TRAFFIC CONTROL**

**SHORT-TERM STATIONARY
OPERATION INVOLVING
RIGHT LANE CLOSURE
(PAVED SHOULDER LESS THAN 8 FT.)
ON
FREEWAY OR EXPRESSWAY**

AUGUST 2008

TAST-E3



(continued)

FREEWAY OR EXPRESSWAY

Notes:

1. Short-term stationary is daytime work that occupies a location for more than 1 hour within a single daylight period.
2. The barrier vehicle shall be an unoccupied large dump truck with the parking brake set and with the front wheels turned away from the employees in the work area.
3. There shall be no workers, equipment, or other vehicles in the buffer space or the roll ahead distance.
4. Any buffer distance provided in advance of the barrier vehicle will add to the safety of the work area.
5. State Law signs (NYR9-11 or NYR9-12) are optional if anticipated work duration is less than 4 hours. If used, State Law sign to be placed 1000 FT. in advance of initial warning sign.

Speed Limit (Mph)	Taper Lengths based on Lane Shift		
	10'	11'	12'
55	550'	605'	660'
60	600'	660'	720'
65	650'	715'	760'

LANE CLOSED NYW8-33
48x24 in.

END ROAD WORK G20-2
48x24 in.

This sign shall be located a Maximum distance of 500' (12 Skip Lines) past the work area.

LANE ENDS MERGE LEFT W9-2L
48x48 in.

ROAD WORK 1 MILE W20-1
48x48 in.

RIGHT TWO LANES CLOSED 1/2 MILE W20-5aR
48x48 in.

ROAD WORK 1 MILE W4-2R
48x48 in.

Arrow Panel (Caution Mode)

Barrier Vehicle with TMIA

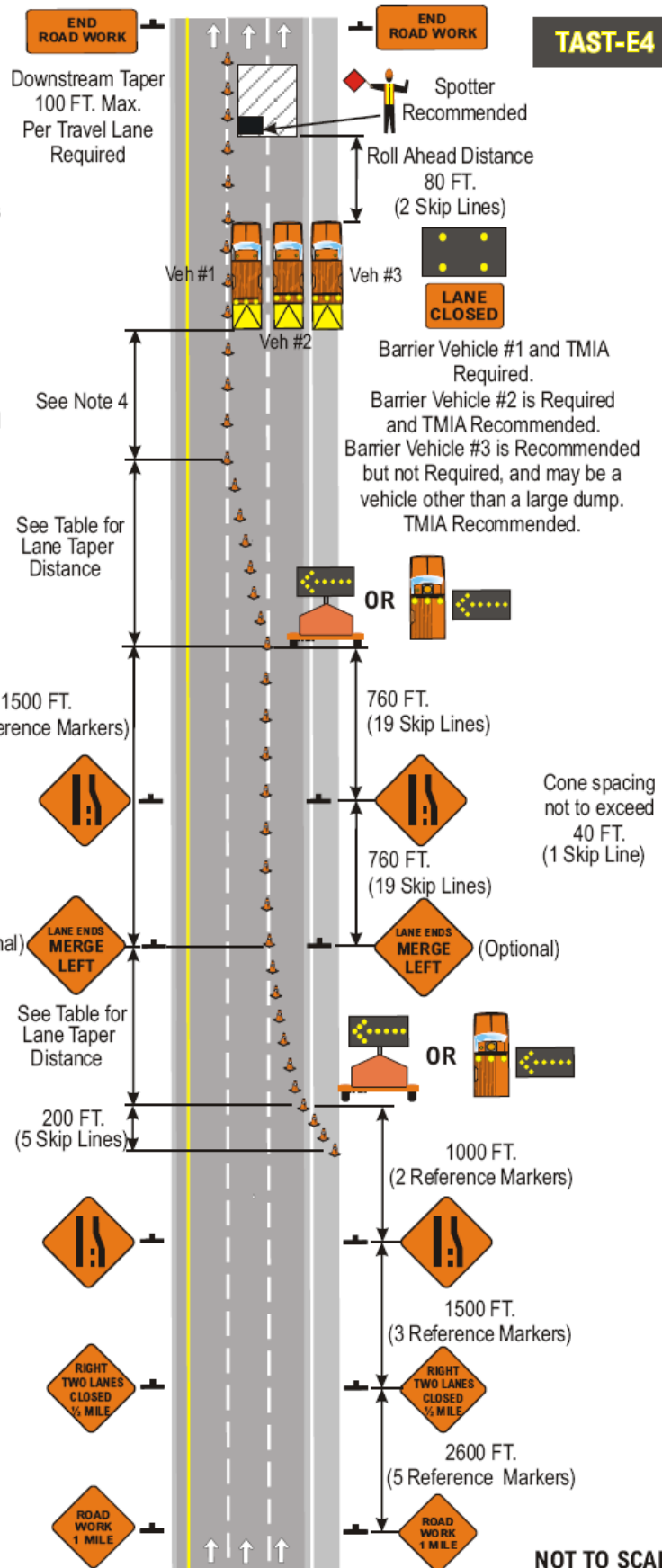
Work Area

NYSDOT WORK ZONE TRAFFIC CONTROL

**SHORT-TERM STATIONARY
OPERATION INVOLVING
RIGHT TWO LANE CLOSURE
(PAVED SHOULDER 8 FT. OR WIDER)
ON
FREEWAY OR EXPRESSWAY**

AUGUST 2008

TAST-E4



(continued)

**FREEWAY OR EXPRESSWAY
PAVED SHOULDER LESS THAN 8 FT.**

Notes:

1. Short-term stationary is daytime work that occupies a location for more than 1 hour within a single daylight period.
2. The barrier vehicle shall be an unoccupied large dump truck with the parking brake set and with the front wheels turned away from the employees in the work area.
3. There shall be no workers, equipment, or other vehicles in the buffer space or the roll ahead distance.
4. Any buffer distance provided in advance of the barrier vehicle will add to the safety of the work area.
5. State Law signs (NYR9-11 or NYR9-12) are optional if anticipated work duration is less than 4 hours. If used, State Law sign to be placed 1000 FT. in advance of initial warning sign.

Speed Limit (Mph)	Taper Lengths based on Lane Shift			Shoulder Taper based on 4'-6' Shift
	10'	11'	12'	
55	550'	605'	660'	75'-110'
60	600'	660'	720'	80'-120'
65	650'	715'	760'	90'-130'

LANE CLOSED NYW8-33
48x24 in.

END ROAD WORK G20-2
48x24 in.

This sign shall be located a Maximum distance of 500' (12 Skip Lines) past the work area.

LANE ENDS MERGE LEFT W9-2L
48x48 in.

ROAD WORK 1 MILE W20-1
48x48 in.

RIGHT TWO LANES CLOSED 1/2 MILE W20-5aR
48x48 in.

ROAD WORK 1/2 MILE W4-2R
48x48 in.

Arrow Panel
(Caution Mode)



Barrier Vehicle with TMIA



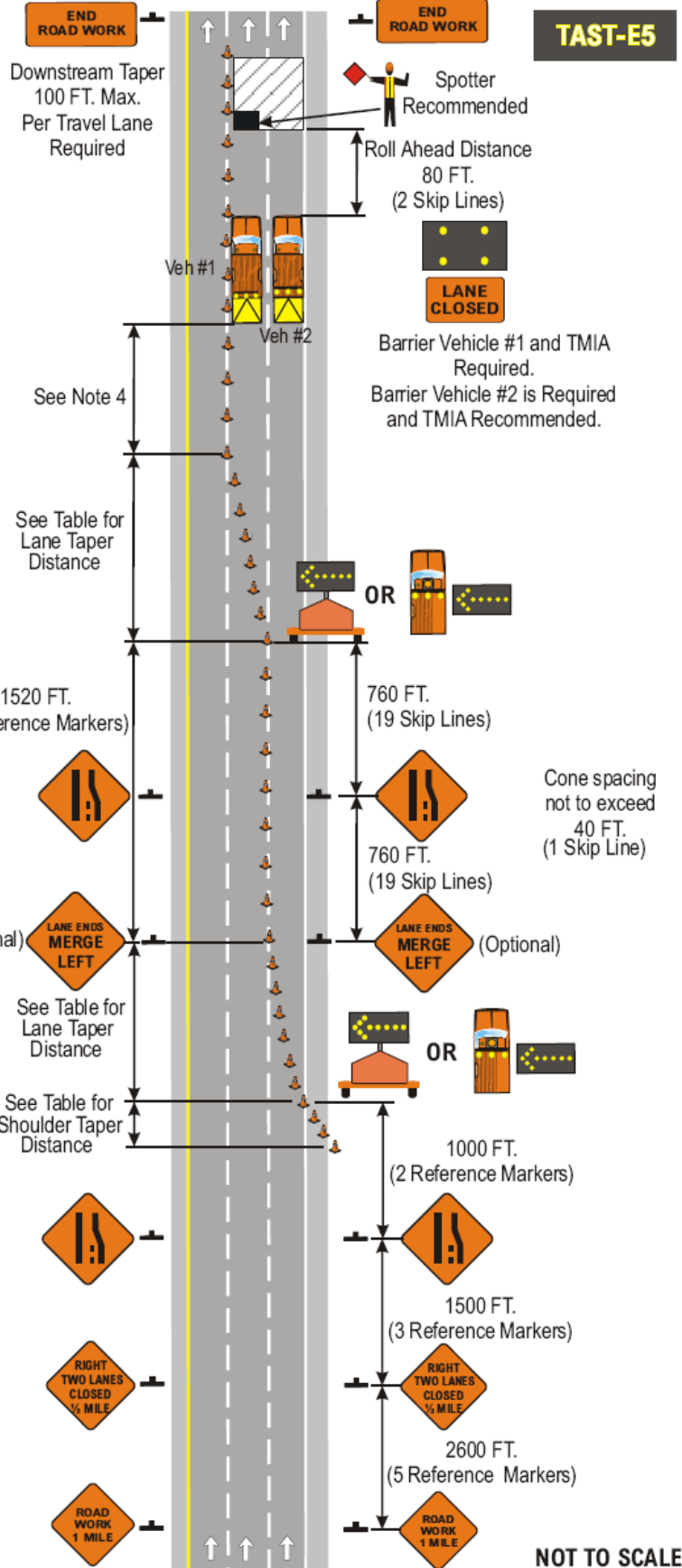
Work Area

**NYSDOT
WORK ZONE TRAFFIC CONTROL**

**SHORT-TERM STATIONARY
OPERATION INVOLVING
RIGHT TWO LANE CLOSURE
(PAVED SHOULDER LESS THAN 8 FT.)
ON
FREEWAY OR EXPRESSWAY**

MARCH 2009

TAST-E5



(continued)

FREEWAY OR EXPRESSWAY

Notes:


1. Short-term stationary is daytime work that occupies a location for more than 1 hour within a single daylight period.
2. The barrier vehicle shall be an unoccupied large dump truck with the parking brake set and with the front wheels turned away from the employees in the work area.
3. There shall be no workers, equipment, or other vehicles in the buffer space or the roll ahead distance.
4. Any buffer distance provided in advance of the barrier vehicle will add to the safety of the work area.
5. State Law signs (NYR9-11 or NYR9-12) are optional if anticipated work duration is less than 4 hours. If used, State Law sign to be placed 1000 FT. in advance of initial warning sign.


Speed Limit (Mph)	Taper Lengths based on Lane Shift			Shoulder Taper based on 4'-6' Shift
	10'	11'	12'	
55	550'	605'	660'	75'-110'
60	600'	660'	720'	80'-120'
65	650'	715'	760'	90'-130'


END ROAD WORK G20-2 48x24 in. This sign shall be located a Maximum distance of 500' (12 Skip Lines) past the work area.

LANE CLOSED NYW8-33 48x24 in. **ROAD WORK 1 MILE** W20-1 48x48 in.

LEFT LANE CLOSED 1/2 MILE W20-5L 48x48 in. **ROAD WORK 1/2 MILE** W4-2L 48x48 in.

 Work Area

 Arrow Panel (Caution Mode)

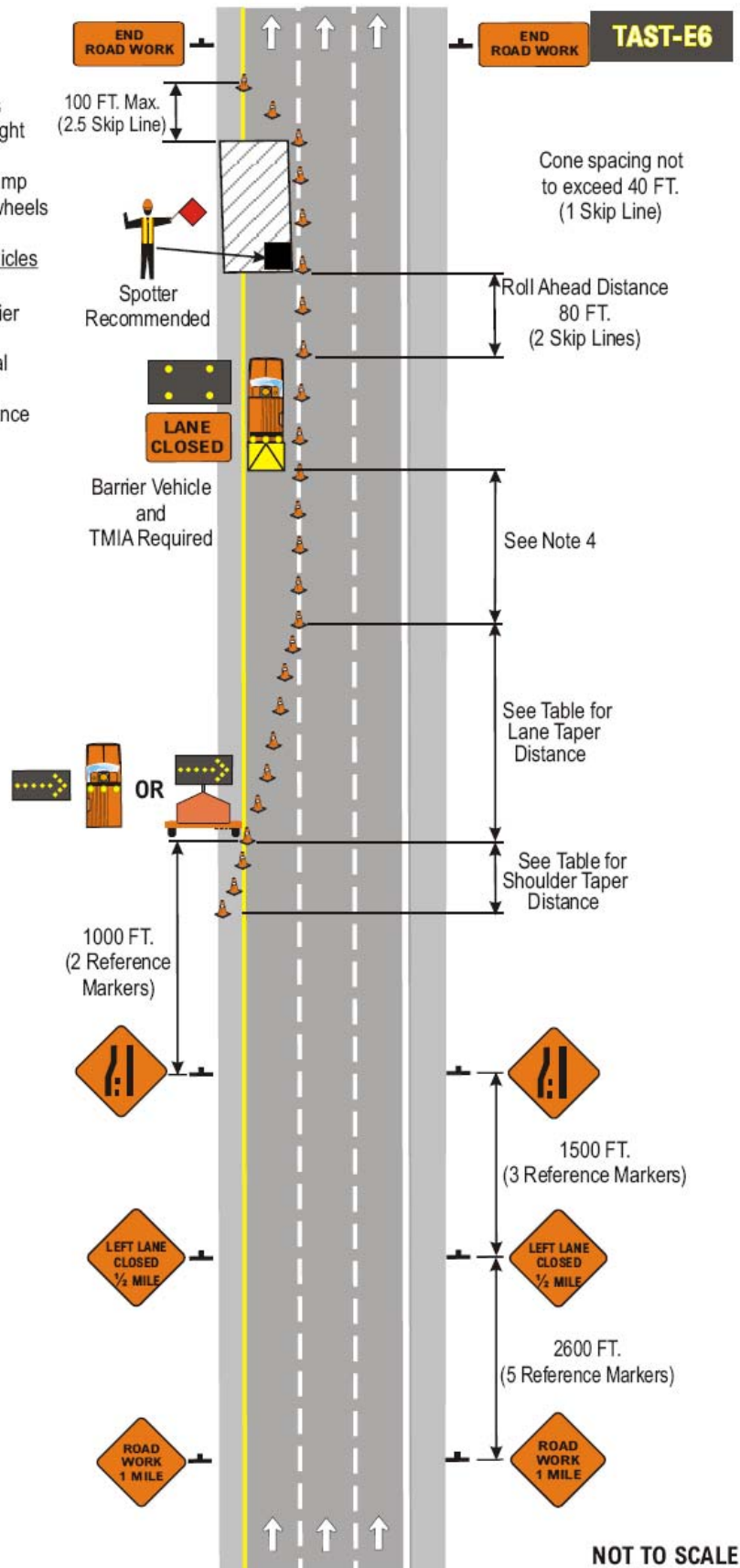
 Barrier Vehicle with TMIA

NYSDOT WORK ZONE TRAFFIC CONTROL

**SHORT-TERM STATIONARY
OPERATION INVOLVING
LEFT LANE CLOSURE
(PAVED SHOULDER LESS THAN 8 FT.)
ON
FREEWAY OR EXPRESSWAY**

AUGUST 2008

TAST-E6



NOT TO SCALE

(continued)

FREEWAY OR EXPRESSWAY

TAST-E7

Notes:

1. Short-term stationary is daytime work that occupies a location for more than 1 hour within a single daylight period.
2. The barrier vehicle shall be an unoccupied large dump truck with the parking brake set and with the front wheels turned away from the employees in the work area.
3. There shall be no workers, equipment, or other vehicles in the buffer space or the roll ahead distance.
4. Any buffer distance provided in advance of the barrier vehicle will add to the safety of the work area.
5. State Law signs (NYR9-11 or NYR9-12) are optional if anticipated work duration is less than 4 hours. If used, State Law sign to be placed 1000 FT. in advance of initial warning sign.

LANE CLOSED NYW8-33
48x24 in.

END ROAD WORK G20-2
48x24 in.

This sign shall be located a Maximum distance of 500' (12 Skip Lines) past the work area.


LANE ENDS MERGE RIGHT W9-2R
48x48 in.

ROAD WORK 1 MILE W20-1
48x48 in.

LEFT TWO LANES CLOSED 1/2 MILE W20-5aL
48x48 in.

ROAD WORK 1/2 MILE W4-2L
48x48 in.

 Work Area

 Arrow Panel
(Caution Mode)

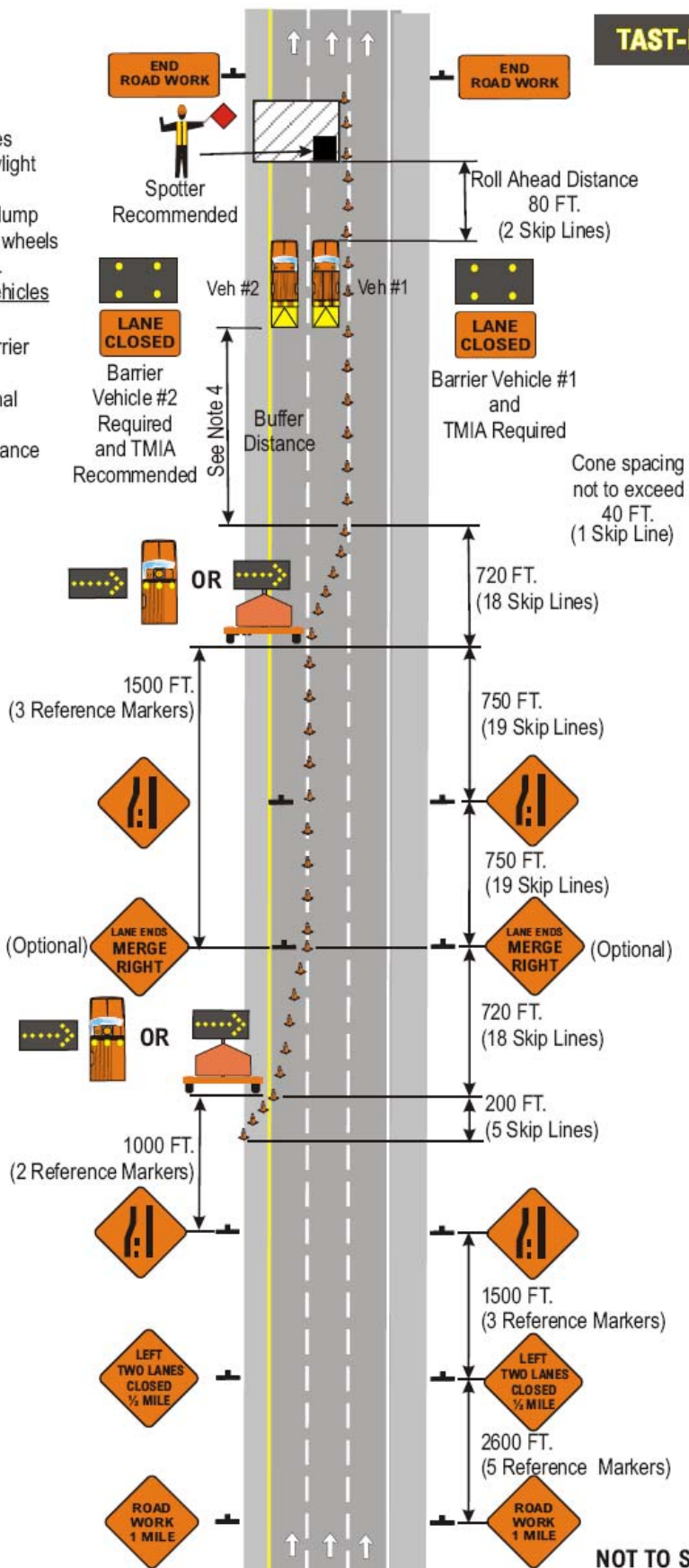
 Barrier Vehicle with TMIA

**NYS DOT
WORK ZONE TRAFFIC CONTROL**

**SHORT-TERM STATIONARY
OPERATION INVOLVING
LEFT TWO LANE CLOSURE
(PAVED SHOULDER LESS THAN 8 FT.)
ON
FREEWAY OR EXPRESSWAY**

AUGUST 2008

TAST-E7



(continued)

OPTIONAL WORK ZONE TRAFFIC CONTROL: (Cont'd)

The contractor shall provide construction signs as specified in Section 619-1 through 619-3 of the Standard Specifications and in the MUTCD. At a minimum the contractor shall install the following permanent construction signs:

SIGN	MINIMUM SIZE	LOCATION
ROAD WORK NEXT _____ MILES	<u>G20-1</u> Conventional 36" X 18" (900 mm X 450 mm) Freeway 48" X 24" (1,200 mm X 600 mm)	On main line upstream of project in each direction
END ROAD WORK	<u>G20-2</u> Conventional 36" X 18" (900 mm X 450 mm) Freeway 48" X 24" (1,200 mm X 600 mm)	On main line after end of project in each direction
ROAD WORK 500 FT.	<u>W20-1</u> Conventional 36" X 36" (900 mm X 900 mm) Freeway 48" X 48" (1,200 mm X 1,200 mm)	On main line 500 feet in advance of project in each direction and on major intersecting roads 300-500 feet in advance of main line. Signs should be covered if in conflict with temporary signing in the vicinity.
DO NOT PASS	<u>R4-1</u> Conventional 24" X 30" (600 mm X 750 mm)	Spaced every 1,000 feet along project in each direction (if centerline tracks are used instead of temporary pavement markings)
NO CENTER STRIPE	<u>W8-12</u> Conventional 36" X 36" (900 mm X 900 mm)	On mainline spaced every 2 miles along project in each direction and after every major intersecting road (if centerline tracks are used instead of temporary pavement markings)

Major intersecting roads are defined as through State, County, Town, Village, or City roads. The contractor may provide portable signs as shown in Figure 6F-2 of the MUTCD and meeting the requirements of Section 619 of the Standard Specifications for lane closures during work hours.

With prior permission of the State's Resident Engineer or political subdivision's representative, the vendor may provide portable signs as shown in Figure 6F-2 for the above referenced DO NOT PASS and NO CENTER STRIPE signs. Signs left active at night shall be rigid and reflectorized in accordance with the Standard Specifications. The vendor shall be responsible for assuring that these signs will be in their upright, visible positions twenty-four hours a day.

The contractor shall install and maintain temporary pavement markings on any paved surface without permanent pavement markings before opening it to traffic, before nightfall or before the end of the work day, whichever comes soonest except for areas that are open during the work shift with channelizing devices or flaggers. Temporary pavement markings shall meet the requirements of Section 619 of the Standard Specifications. As indicated in Section 619-3.06 C., two-lane, two way highways may be left unmarked for a maximum of 3 calendar days provided that NO CENTER STRIPE (W8-12) and DO NOT PASS (R4-1) signs are used in conjunction with centerline tracks installed on a 40 foot cycle to delineate the centerline location at no additional cost to the state.

All costs for work zone traffic control including flagging, pavement marking, and construction signs are to be included in the prices bid per square yard for optional work zone traffic control.

(continued)

GENERAL INFORMATION (Cont'd)

OPTIONAL WORK ZONE TRAFFIC CONTROL (Cont'd)

Additional Flaggers for Work Zone Traffic Control

If the engineer or agency authorized individual determines that more than 3 flaggers are necessary to properly control traffic on two-way roadways or more than two flaggers are necessary to properly control traffic on one-way roadways and the vendor is responsible for work zone traffic control under this Invitation for Bids, the vendor shall provide additional flaggers under the Additional Flaggers item. The price bid per flagger per day shall include all costs of providing a flagger where directed by the engineer or agency authorized individual with all the necessary safety equipment, i.e. stop/slow paddle, flag, vest, hardhat, etc. Payment shall be by the day for each flagger provided. A day shall be determined as including the time period between the commencement and completion of work on any calendar day. No extra payment shall be provided if the vendor elects to work a longer day than the standard eight-hour work day. Payment shall be made to the nearest quarter day as determined by the engineer or agency authorized individual.

Optional Pilot Vehicles with Drivers

If required by the engineer or agency authorized individual, the vendor shall provide sufficient two-way radio equipped pilot vehicles with drivers to guide traffic around the quick-set slurry seal work zone at a maximum of 20 miles per hour. Payment shall be by the day for each pilot vehicle with driver provided. A day shall be determined as including the time period between the commencement and completion of work on any calendar day. No extra payment shall be provided if the vendor elects to work a longer day than the standard eight hour work day. Payment shall be made to the nearest quarter day as determined by the engineer or agency authorized individual.

The pilot vehicles shall be equipped with construction signs meeting the requirements of Section 6F.54 of the MUTCD:

SIGN	MINIMUM SIZE	LOCATION
PILOT VEHICLE FOLLOW ME	<u>G20-4</u> 36" X 18" (900 mm X 450 mm)	On the back of the pilot vehicle

The pilot vehicles shall have the name of the vendor prominently displayed.

Optional Additional Construction Signs

If the engineer or agency authorized individual determines that more permanent construction signs are necessary than those called out under the Optional Work Zone Traffic Control section and the vendor is responsible for work zone traffic control under this Invitation for Bids, the vendor shall provide additional construction signs under the Optional Additional Construction Signs item. Optional Additional Construction Signs shall be as specified in Sections 619-1 through 619-3 of the Standard Specifications and/or in the MUTCD, or as specified by the engineer or agency authorized individual. The price bid per square foot shall include all costs of providing the signs as indicated by the engineer or agency authorized individual, the sign supports, installation and removal at locations ordered by the engineer or agency authorized individual. Payment shall be made by the square foot of construction sign face, computed to the nearest tenth of a square foot.

(continued)

GENERAL INFORMATION (Cont'd)

OPTIONAL WORK ZONE TRAFFIC CONTROL: (Cont'd)

Abrading Existing Pavement Markings with Work Zone Traffic Control by the Owner:

If the vendor, with the concurrence of the Resident Engineer or agency authorized individual, determines that it is necessary for the performance of the conventional or rubber modified paver placed surface treatment, the vendor shall abrade the existing pavement markings so that at least 75% of the glass beads in the existing pavement markings are removed. The method of abrading may include sand blasting, water blasting, grinding, or other method approved by the engineer or agency authorized individual. Care shall be taken to avoid damage to passing traffic. All damage to passing traffic caused by the vendor's operations shall be the vendor's responsibility. Traffic will be controlled by the owner.

Payment will be made by the linear foot of pavement marking 4 inches wide. Payment for pavement markings wider than 4 inches or for pavement marking symbols will be made by the following method:

$$\frac{\text{Width of marking (inches)} \times \text{Linear Feet}}{4 \text{ inches}}$$

The price bid for pavement marking abrading shall include all labor, materials, and equipment required to abrade the existing pavement markings to the satisfaction of the engineer or agency authorized individual.

Abrading Existing Pavement Markings with Work Zone Traffic Control by the Vendor:

If the vendor, with the concurrence of the Resident Engineer or agency authorized individual, determines that it is necessary for the performance of the conventional or rubber modified paver placed surface treatment, the vendor shall abrade the existing pavement markings so that at least 75% of the glass beads in the existing pavement markings are removed. The method of abrading may include sand blasting, water blasting, grinding, or other methods approved by the engineer or agency authorized individual. Care shall be taken to avoid damage to passing traffic. All damage to passing traffic caused by the vendor's operations shall be the vendor's responsibility. Traffic will be controlled by the vendor.

The vendor shall place temporary pavement markings as specified elsewhere in this Invitation for Bids under optional work zone traffic control, unless the conventional or rubber modified paver placed surface treatment will be placed the same day as pavement markings are abraded. During the pavement markings abrading operation, traffic will be controlled by the vendor in accordance with the MUTCD. The vendor shall submit a proposed Traffic Control Plan to the engineer or agency authorized individual for approval. The plan may be based on the Work Zone Traffic Control drawings included in this Invitation for Bids.

Payment will be made by the linear yard of pavement marking 4 inches wide. Payment for pavement markings wider than 4 inches or for pavement marking symbols will be made by the following method:

$$\frac{\text{Width of marking (inches)} \times \text{Linear Feet}}{4 \text{ inches}}$$

The price bid for pavement marking abrading shall include all labor, materials, and equipment required to abrade the existing pavement markings and to properly control traffic to the satisfaction of the engineer or agency authorized individual.

(continued)

GENERAL INFORMATION (Cont'd)

WORK ZONE INTRUSION INITIATIVE:

As a part of the Department of Transportation's Work Zone Intrusion Initiative, the following countermeasures shall apply to this Invitation For Bids.

Channelizing Device Spacing Reduction:

A maximum channelizing device spacing of 40 feet shall be provided at stationary work sites where workers are exposed to traffic. This spacing shall be maintained a reasonable distance upstream of workers, and shall be used throughout the work zone.

Where tapers are located less than 500 feet from the work site (1,000 feet for high speeds) the 40 foot spacing shall be used in the taper as well.

Drums or vertical panels are preferred for long-term and intermediate term stationary work zones, and at any locations where the risk of intrusion is high. Traffic cones are normally adequate for work zones set up and removed on a daily basis.

In long lane or shoulder closures, at least two channelizing devices shall be placed transversely at maximum 800 foot intervals to discourage traffic from driving through the closed lane.

Frequent checks shall be made to reset channelizing devices dislodged by traffic.

Flagger Station Enhanced Setups:

Additional cones and a flag tree meeting the requirements of Section 6F.57 of the MUTCD shall be used upstream of flagger stations to provide added warning to drivers. These devices shall be used for flagger stations except those that are constantly moving or are in use at one location or no more than a few minutes. If the W20-7a Flagger sign is used, the additional cones and flag tree shall also be used.

For additional details on Flagger Enhanced Setups, see Work Zone Traffic Control drawings in this Invitation for Bids.

(continued)

DETAILED SPECIFICATIONS

18403.221102	Paver Placed Surface Treatment Type A, F1
18403.221202	Paver Placed Surface Treatment Type A, F2
18403.221302	Paver Placed Surface Treatment Type A, F3
18403.222102	Paver Placed Surface Treatment Type B, F1
18403.222202	Paver Placed Surface Treatment Type B, F2
18403.222302	Paver Placed Surface Treatment Type B, F3
18403.223102	Paver Placed Surface Treatment Type C, F1
18403.223202	Paver Placed Surface Treatment Type C, F2
18403.223302	Paver Placed Surface Treatment Type C, F3

DESCRIPTION

The Paver Placed Surface Treatment consists of a warm polymer modified asphalt emulsion coat followed immediately with an ultra thin hot mix asphalt wearing course. Initial pavement cleaning and all necessary pavement repairs, crack sealing, joint sealing, pavement marking removal, utility adjustments and milling of rebates will be paid for under the appropriate items. This specification is for use on highways of all traffic volumes. Refer to Chapter 6 of the NYSDOT Comprehensive Pavement Design Manual for selection of appropriate friction requirements: F1, F2 or F3. Quality Adjustment Factors do not apply for this item.

MATERIALS The requirements of §401-2 Materials apply, except as modified herein.

- A. **Mix Designs.** Formulate a job mix formula that satisfies the design limits listed in Table 1- Mixture Requirements and submit it to the Regional Materials Engineer for approval. The requirements of § 401-2.01, Hot Mix Asphalt Designs, do not apply.

TABLE 1 - MIXTURE REQUIREMENTS⁽¹⁾

Sieve Sizes (mm)	Type A		Type B		Type C	
	Design Limits % Passing	Production Tolerance %	Design Limits % Passing	Production Tolerance %	Design Limits % Passing	Production Tolerance %
3/4"					100	
1/2"			100		85 - 100	± 4
3/8"	100		85 - 100	± 4	60 - 90	± 4
1/4"	85 - 100	± 4	30 - 55	± 4	30 - 55	± 4
#4	40 - 60	± 3	24 - 45	± 3	24 - 45	± 3
#8	21 - 37	± 3	21 - 37	± 3	21 - 37	± 3
#16	16 - 26	± 3	16 - 26	± 3	16 - 26	± 3
#30	12 - 20	± 2	12 - 20	± 2	12 - 20	± 2
#50	8 - 16	± 2	8 - 16	± 2	8 - 16	± 2
#100	5 - 10	± 2	5 - 10	± 2	5 - 10	± 2
#200	5 - 7	± 2	5 - 7	± 2	5 - 7	± 2
% PG Binder	4.9 - 5.3		4.8 - 5.2		4.8 - 5.2 ⁽²⁾	

⁽¹⁾ All aggregate percentages are based on total mass of aggregate.

⁽²⁾ The Director, Materials Bureau, will evaluate Type C designs with asphalt binder percentages between 5.2% and 5.4% at the Contractors request.

- B. **Aggregate.** §401-2.02 except as modified herein. Use coarse aggregate with a minimum coarse-aggregate angularity (CAA) of 90% one fractured face and 85% two fractured faces.

1. Coarse Aggregate Type F1 Conditions.

- Limestone, dolomite or a blend of the two, having an acid-insoluble residue content of not less than 20.0%.
- Sandstone, granite, chert, traprock, ore tailings, slag or other similar non-carbonate materials.

(continued)

DETAILED SPECIFICATIONS (Cont'd)

MATERIALS (Cont'd.)

- c. Gravel, or a natural or manufactured blend of the following types of materials: limestone, dolomite, gravel, sandstone, granite, chert, traprock, ore tailings, slag, or other similar materials meeting the following requirements:
- Type A Mixes – Noncarbonate plus #8 particles must comprise a minimum of 30.0% of the total aggregate (by weight with adjustments to equivalent volumes for materials of different specific gravities). Additionally, a minimum of 95.0% of plus #4 particles must be noncarbonate.
- Type B Mixes – Noncarbonate plus 1/8 inch particles must comprise a minimum of 30.0% of the total aggregate (by weight with adjustments to equivalent volumes for materials of different specific gravities). Additionally, a minimum of 95.0% of plus #4 particles must be noncarbonate.
- Type C Mixes – Noncarbonate plus 1/8 inch particles must comprise a minimum of 30.0% of the total aggregate (by weight with adjustments to equivalent volumes for materials of different specific gravities). Additionally, a minimum of 95.0% of plus 3/8 inch particles must be noncarbonate.

2. Coarse Aggregate Type F2 Conditions.

- a. Limestone, dolomite or a blend of the two having an acid insoluble residue content of not less than 20.0%.
- b. Sandstone, granite, chert, traprock, ore tailings, slag or other similar non-carbonate materials.
- c. Gravel, or a natural or manufactured blend of the following types of materials: limestone, dolomite, gravel, sandstone, granite, chert, traprock, ore tailings, slag, or other similar materials, meeting the following requirements:
- Type A Mixes – Noncarbonate plus #8 particles must comprise a minimum of 10.0% of the total aggregate (by weight with adjustments to equivalent volumes for materials of different specific gravities). Additionally, a minimum of 20.0% of plus #4 particles must be noncarbonate.
- Type B Mixes – Noncarbonate plus 1/8 inch particles must comprise a minimum of 10.0% of the total aggregate (by weight with adjustments to equivalent volumes for materials of different specific gravities). Additionally, a minimum of 20.0% of plus #4 particles must be noncarbonate.
- Type C Mixes – Noncarbonate plus 1/8 inch particles must comprise a minimum of 10.0% of the total aggregate (by weight with adjustments to equivalent volumes for materials of different specific gravities). Additionally, a minimum of 20.0% of plus 3/8 inch particles must be noncarbonate.

3. Coarse Aggregate Type F3 Conditions.

- a. Limestone, or a blend of limestone and dolomite having an acid insoluble residue content of not less than 20.0%.
- b. Dolomite.
- c. Sandstone, granite, chert, traprock, ore tailings, slag or other similar non-carbonate materials.
- d. Gravel, or a natural or manufactured blend of the following types of materials: limestone, dolomite, gravel, sandstone, granite, chert, traprock, ore tailings, slag, or other similar materials, meeting the following requirements:
- Type A Mixes – Noncarbonate plus #8 particles must comprise a minimum of 10.0% of the total aggregate (by weight with adjustments to equivalent volumes for materials of different specific gravities). Additionally, a minimum of 20.0% of plus #4 particles must be noncarbonate.
- Type B Mixes – Noncarbonate plus 1/8 inch particles must comprise a minimum of 10.0% of the total aggregate (by weight with adjustments to equivalent volumes for materials of different specific gravities). Additionally, a minimum of 20.0% of plus #4 inch particles must be noncarbonate.
- Type C Mixes – Noncarbonate plus 1/8 inch particles must comprise a minimum of 10.0% of the total aggregate (by weight with adjustments to equivalent volumes for materials of different specific gravities). Additionally, a minimum of 20.0% of plus 3/8 inch particles must be noncarbonate.

4. Additional Coarse Aggregate Requirements. Coarse aggregate must also meet the requirements listed in Table 2 - Coarse Aggregate Properties.

(continued)

DETAILED SPECIFICATIONS (Cont'd)

MATERIALS (Cont'd.)

TABLE 2 - COARSE AGGREGATE PROPERTIES

Property	Method	Requirement
LA Abrasion Coefficient, maximum % loss	AASHTO T 96	25
Maximum Flakiness Index	NFP 18-561	20
Maximum Flakiness Coefficient (G/E) ⁽¹⁾	NFP 18-561	1.58
Maximum percent passing #30, %	AASHTO T 11, T 27	2

⁽¹⁾ Where G is the smallest square opening the particle can pass through and E is the smallest slot the particle can pass through.

It is recommended that the coarse aggregate portion (plus #8 inch material) meet the gradation requirements given in Table 3 - Recommended Coarse Aggregate Gradation.

TABLE 3 - RECOMMENDED COARSE AGGREGATE GRADATION

Screen Size (in)	Type A (% Passing)	Type B (% Passing)	Type C (% Passing)
3/4	—	—	100
1/2	—	100	85 - 100
3/8	100	85 - 100	25 - 50
1/4	85 - 100	0 - 15	0 - 15
#4	25 - 50	0 - 3	0 - 3
#8	0 - 3	0	0

5. ***Fine Aggregate.*** Use 100% screenings, free from deleterious materials and manufactured from sources of stone or slag meeting the requirements of §703-02, Coarse Aggregate, having a minimum sand equivalent of 60%, as determined by AASHTO T 176, "Plastic Fines in Graded Aggregates and Soils by Use of the Sand Equivalent Test." It is recommended that the fine aggregate portion (minus #4 material) meet the gradation requirements given in Table 4 - Recommended Fine Aggregate Gradation.

TABLE 4 - RECOMMENDED FINE AGGREGATE GRADATION

Sieve Size	Percent Passing
#4	100
#8	90 - 100
#16	60 - 80
#30	45 - 60
#50	30 - 40
#100	20 - 30
#200	15 - 25

- C. ***Mineral Filler.*** § 703-08, Mineral Filler.
- D. ***Asphalt Binder.*** §401-2.04 Performance-Graded Binder.
- E. ***Polymer Modified Asphalt Emulsion.*** § 702 - Bituminous Materials, CRS-1p, Item 702-4701.

(continued)

DETAILED SPECIFICATIONS (Cont'd)

MATERIALS (Cont'd.)

F. Equipment.

1. **Paving.** Use a self-priming paver appearing on the Department's Approved List. The self-priming paver must be capable of spraying the polymer modified asphalt emulsion, applying the hot mix asphalt overlay and smoothing the surface of the mat in one pass at a rate of at least 30 feet/minute. The self-priming paver must be equipped with a receiving hopper, feed conveyor, emulsion storage tank, metered high-pressure emulsion spray bar, and a variable width, heated, ironing-type screed. The screed must have the ability to be crowned at the center both positively and negatively and have vertically adjustable extensions to accommodate the desired pavement profile. Make equipment approval requests to the Director, Materials Bureau, at least 30 days before the start of work.
2. **Compaction.** Use steel wheeled double drum rollers weighing at least 10 tons, equipped with functioning water systems and scrapers to prevent material from adhering to the roller drums.
3. **Hauling.** Use vehicles that meet § 402-3.03, Hauling Equipment, to transport the hot mix asphalt wearing course.

CONSTRUCTION DETAILS

- A. **Hot Mix Production.** The requirements of §401-3, Construction Details apply with the following modifications. If a test value for the #200 sieve, or any sieve larger than 16 varies from the target value by more than 1.5 times the production tolerance given in Table 1 - Mixture Requirements, the Regional Materials Engineer will evaluate the material represented by that test to determine acceptability. If for any sieve, the average absolute difference of [Test Value - Target Value] for a lot exceeds the production tolerance, the Regional Materials Engineer will evaluate the material to determine acceptability.

A delivery ticket must accompany each vehicle supplying HMA. Make one legible copy of the delivery ticket available to the State's paving inspector prior to placement of the mixture. Each delivery ticket shall show all of the following information and identify the type of mix used as outlined in Table 1 - Mixture Requirements.

- A. Ticket number.
- B. Plant identification.
- C. Contract number.
- D. Mix type (A, B, or C), friction requirement (F1 or F2), and performance-graded binder (PG Binder).
- E. Quantity of material in delivery vehicle.
- F. Date and time.

B. Surface Preparation. Perform all surface preparation prior to applying the wearing course.

1. Thoroughly clean the entire area to be overlaid. The surface of the area to be overlaid must be free of dirt, oil, and other foreign materials. Remove all debris and standing water. A damp surface is acceptable if favorable weather conditions are expected during paving operations.
2. Cover all manhole covers, water boxes, catch basins, and other such utility structures within the area to be paved with plastic, building felt, or other material approved by the Engineer. Reference each for location and adjustment after paving. Remove the covers each day.

C. Application. The requirements of § 402-3.01, Weather and Seasonal Limitations apply, except as modified herein. Placement may begin if the surface temperature is at least 45° F and rising.

1. Apply the polymer modified asphalt emulsion at a temperature of 140 - 175° F. Provide a uniform application across the entire width to be overlaid, at a rate of 0.15 - 0.25 gallons/square yard. Continuously monitor the spray rate.
2. No equipment shall come in contact with the polymer modified asphalt emulsion before the hot mix asphalt wearing course is applied.
3. Immediately after applying the polymer modified asphalt emulsion, apply the hot mix asphalt overlay across the full width of the emulsion at a temperature of 290 - 325° F.

(continued)

DETAILED SPECIFICATIONS (Cont'd)

CONSTRUCTION DETAILS: (Cont'd)

C. Application (Cont'd.)

4. Apply the hot mix asphalt at a rate within the appropriate application range, listed in Table 5. The finished treatment has a minimum thickness of 1/2 inch for Type A, and 5/8 inch for Types B and C.
5. Paver Placed Surface Treatment shall not be applied to freshly placed concrete surfaces. Concrete surfaces must cure for a minimum of 90 days before being overlaid.

Table 5 - Wearing Course Application Ranges

Type	Minimum (lb/sy)	Maximum (lb/sy)
A	55	66
B	59	70
C	63	74

D. Compaction. Begin compaction immediately after application of the wearing course. Use a minimum of two static passes. Avoid using vibratory compaction. The roller(s) will not be allowed to stop on the freshly placed wearing course. Use an adequate number of rollers to complete compaction before the pavement temperature falls below 185° F. Protect the wearing course from traffic until the rolling operation is complete and the material has cooled sufficiently to resist damage.

E. Paver and Equipment Cleaning. The requirement of § 402-3.12, Paver and Equipment Cleaning apply.

F. Coring. The Engineer will require four cores from each section of compacted paver placed surface treatment applied below the appropriate minimum application rate listed in Table 5. The Engineer will randomly locate the four core locations. Core the pavement. The Engineer will determine the thickness of the paver placed surface treatment and reject sections not meeting the required minimum thickness.

The Engineer may require four cores from each section of compacted paver placed surface treatment exceeding the appropriate maximum application rate, listed in Table 5, to determine the thickness of the paver placed surface treatment. The Engineer may stop paving operations immediately if the over application of the paver placed surface treatment will create problems, such as, but not limited to, reducing overhead clearance, curb reveal or guiderail height. The Engineer and Vendor will agree upon and document a maximum application rate and maximum thickness to prevent problems created by over applying the paver placed surface treatment. Resume paving. The Engineer will reject any additional paver placed surface treatment sections determined to exceed the maximum agreed upon application rate and thickness.

Coring is not required for sections paved within the appropriate application range, listed in Table 5 - Wearing Course Application Ranges.

All labor, materials and equipment associated with required pavement coring, including maintenance and protection of traffic and filling core holes, will be done at the Vendor's expense.

(continued)

DETAILED SPECIFICATIONS

18403.221102R	Rubber Modified Paver Placed Surface Treatment Type A, F1
18403.221202R	Rubber Modified Paver Placed Surface Treatment Type A, F2
18403.221302R	Rubber Modified Paver Placed Surface Treatment Type A, F3
18403.222102R	Rubber Modified Paver Placed Surface Treatment Type B, F1
18403.222202R	Rubber Modified Paver Placed Surface Treatment Type B, F2
18403.222302R	Rubber Modified Paver Placed Surface Treatment Type B, F3
18403.223102R	Rubber Modified Paver Placed Surface Treatment Type C, F1
18403.223202R	Rubber Modified Paver Placed Surface Treatment Type C, F2
18403.223302R	Rubber Modified Paver Placed Surface Treatment Type C, F3

DESCRIPTION

The Rubber Modified Paver Placed Surface Treatment consists of a warm polymer modified asphalt emulsion coat followed immediately with a rubber modified ultra thin hot mix asphalt-wearing course. Initial pavement cleaning and all necessary pavement repairs, crack sealing, joint sealing, pavement marking removal, utility adjustments and milling of rebates will be paid for under the appropriate items. This specification is for use on highways of all traffic volumes. Refer to Chapter 6 of the NYSDOT Comprehensive Pavement Design Manual for selection of appropriate friction requirements: F1, F2 or F3. Quality Adjustment Factors do not apply for this item.

MATERIALS The requirements of §401-2 Materials apply, except as modified herein.

- A. **Mix Designs.** Formulate a job mix formula that satisfies the design limits listed in Table 1- Mixture Requirements and submit it to the Regional Materials Engineer for approval. The requirements of § 401-2.01, Hot Mix Asphalt Designs, do not apply.

TABLE 1 - MIXTURE REQUIREMENTS⁽¹⁾

Sieve Sizes	Type A		Type B		Type C	
	Design Limits % Passing	Production Tolerance %	Design Limits % Passing	Production Tolerance %	Design Limits % Passing	Production Tolerance %
3/4					100	
1/2			100		85 - 100	± 4
3/8	100		85 - 100	± 4	60 - 90	± 4
1/4	85 - 100	± 4	30 - 55	± 4	30 - 55	± 4
#4	40 - 60	± 3	24 - 45	± 3	24 - 45	± 3
#8	21 - 37	± 3	21 - 37	± 3	21 - 37	± 3
#16	16 - 26	± 3	16 - 26	± 3	16 - 26	± 3
#30	12 - 20	± 2	12 - 20	± 2	12 - 20	± 2
#50	8 - 16	± 2	8 - 16	± 2	8 - 16	± 2
#100	5 - 10	± 2	5 - 10	± 2	5 - 10	± 2
#200	5 - 7	± 2	5 - 7	± 2	5 - 7	± 2
% PG Binder	5.8 – 6.4		5.8 – 6.4		5.8 – 6.4	

(1) All aggregate percentages are based on total mass of aggregate.

(2) Gradation data for Design / Monitoring shall be determined by AASHTO T 27 and AASHTO T 11

- B. **Aggregate.** §401-2.02 except as modified herein. Use coarse aggregate with a minimum coarse-aggregate angularity (CAA) of 90% one fractured face and 85% two fractured faces.

1. Coarse Aggregate Type F1 Conditions.

- Limestone, dolomite or a blend of the two, having an acid-insoluble residue content of not less than 20.0%.
- Sandstone, granite, chert, traprock, ore tailings, slag or other similar non-carbonate materials.
- Gravel, or a natural or manufactured blend of the following types of materials: limestone, dolomite, gravel, sandstone, granite, chert, traprock, ore tailings, slag, or other similar materials meeting the following requirements:

(continued)

DETAILED SPECIFICATIONS (Cont'd)

MATERIALS (Cont'd.)

Type A Mixes – Noncarbonate plus #8 inches particles must comprise a minimum of 30.0% of the total aggregate (by weight with adjustments to equivalent volumes for materials of different specific gravities). Additionally, a minimum of 95.0% of plus #4 inches particles must be noncarbonate.

Type B Mixes – Noncarbonate plus #60 inches particles must comprise a minimum of 30.0% of the total aggregate (by weight with adjustments to equivalent volumes for materials of different specific gravities). Additionally, a minimum of 95.0% of plus #4 inches particles must be noncarbonate.

Type C Mixes – Noncarbonate plus #60 inches particles must comprise a minimum of 30.0% of the total aggregate (by weight with adjustments to equivalent volumes for materials of different specific gravities). Additionally, a minimum of 95.0% of plus 3/8 inches particles must be noncarbonate.

2. Coarse Aggregate Type F2 Conditions.

- a. Limestone, dolomite or a blend of the two having an acid insoluble residue content of not less than 20.0%.
- b. Sandstone, granite, chert, traprock, ore tailings, slag or other similar non-carbonate materials.
- c. Gravel, or a natural or manufactured blend of the following types of materials: limestone, dolomite, gravel, sandstone, granite, chert, traprock, ore tailings, slag, or other similar materials, meeting the following requirements:

Type A Mixes – Noncarbonate plus #8 inches particles must comprise a minimum of 10.0% of the total aggregate (by weight with adjustments to equivalent volumes for materials of different specific gravities). Additionally, a minimum of 20.0% of plus #4 inches particles must be noncarbonate.

Type B Mixes – Noncarbonate plus #60 inches particles must comprise a minimum of 10.0% of the total aggregate (by weight with adjustments to equivalent volumes for materials of different specific gravities). Additionally, a minimum of 20.0% of plus #4 inches particles must be noncarbonate.

Type C Mixes – Noncarbonate plus #60 inches particles must comprise a minimum of 10.0% of the total aggregate (by weight with adjustments to equivalent volumes for materials of different specific gravities). Additionally, a minimum of 20.0% of plus 3/8 inches particles must be noncarbonate.

3. Coarse Aggregate Type F3 Conditions.

- a. Limestone, or a blend of limestone and dolomite having an acid insoluble residue content of not less than 20.0%.
- b. Dolomite.
- c. Sandstone, granite, chert, traprock, ore tailings, slag or other similar non-carbonate materials.
- d. Gravel, or a natural or manufactured blend of the following types of materials: limestone, dolomite, gravel, sandstone, granite, chert, traprock, ore tailings, slag, or other similar materials, meeting the following requirements:

Type A Mixes – Noncarbonate plus #8 inches particles must comprise a minimum of 10.0% of the total aggregate (by weight with adjustments to equivalent volumes for materials of different specific gravities). Additionally, a minimum of 20.0% of plus #4 inches particles must be noncarbonate.

Type B Mixes – Noncarbonate plus #60 inches particles must comprise a minimum of 10.0% of the total aggregate (by weight with adjustments to equivalent volumes for materials of different specific gravities). Additionally, a minimum of 20.0% of plus #4 inches particles must be noncarbonate.

Type C Mixes – Noncarbonate plus #60 inches particles must comprise a minimum of 10.0% of the total aggregate (by weight with adjustments to equivalent volumes for materials of different specific gravities). Additionally, a minimum of 20.0% of plus 3/8 inches particles must be noncarbonate.

4. Additional Coarse Aggregate Requirements. Coarse aggregate must also meet the requirements listed in Table 2 - Coarse Aggregate Properties.

(continued)

DETAILED SPECIFICATIONS (Cont'd)

MATERIALS (Cont'd.)

TABLE 2 - COARSE AGGREGATE PROPERTIES

Property	Method	Requirement
LA Abrasion Coefficient, maximum % loss	AASHTO T 96	25
Maximum Flakiness Index	NFP 18-561	20
Maximum Flakiness Coefficient (G/E) ⁽¹⁾	NFP 18-561	1.58
Maximum percent passing 600 µm, %	AASHTO T 11, T 27	2

⁽¹⁾ Where G is the smallest square opening the particle can pass through and E is the smallest slot the particle can pass through.

C. Mineral Filler. § 703-08, Mineral Filler.

D. Asphalt Binder. The rubber-modified binder shall consist of a blend of Performance-Graded Binder and crumb rubber meeting the following specification for Terminal Blend Crumb Rubber (TBR) or the specification for ASTM D-6114 for Asphalt Rubber Binder (ARB) Table I, Type II. The Performance Graded Binder (PGB) shall conform to 702-5828, 702-6422 or 702-6428.

1. Terminal Blend Crumb Rubber (TRB). The percent of crumb rubber shall be 12% (+/-3%) by total weight of reacted PGB and ground rubber. The rubber shall conform to ASTM D6114, section 3.2, Ground Recycled Tire Rubber, with the following additions:

The ground rubber shall be vulcanized rubber produced from the ambient temperature processing of scrap, pneumatic tires. The ground rubber shall meet the following gradations:

Sieve Size	% Passing
#30	100
#40	45-100

The use of rubber of multiple types from multiple sources is acceptable provided that the overall blend of rubber meets the gradation requirements. The rubber shall be accepted by certification from the rubber supplier.

Physical Requirements for TBR Binder

	min	max
Penetration @ 77° 100g, 5s:	30	75
Softening Point °F (Test Method D 36)	130	-
Elastic Recovery @ 50°F (ASTM D6084)	65	-

2. Asphalt Rubber Binder (ARB). The ARB shall be blended and interacted to conform to ASTM D6114 Table I, Type II.

Anti-stripping Agent. If required, an anti-stripping agent that is heat stable and approved for use by the Agency shall be incorporated into the rubber-modified binder at the dosage required by the job-mix formula (up to 1.0% by weight of PGB). It shall be added to the PGB prior to blending with the ground rubber.

E. Polymer Modified Asphalt Emulsion. § 702 - Bituminous Materials, CRS-1p, Item 702-4701.

(continued)

DETAILED SPECIFICATIONS (Cont'd)

MATERIALS (Cont'd.)

F. Equipment.

1. **Paving.** Use a self-priming paver appearing on the Department's Approved List. The self-priming paver must be capable of spraying the polymer modified asphalt emulsion, applying the hot mix asphalt overlay and smoothing the surface of the mat in one pass at a rate of at least 10 m/minute. The self-priming paver must be equipped with a receiving hopper, feed conveyor, emulsion storage tank, metered high-pressure emulsion spray bar, and a variable width, heated, ironing-type screed. The screed must have the ability to be crowned at the center both positively and negatively and have vertically adjustable extensions to accommodate the desired pavement profile. Make equipment approval requests to the Director, Materials Bureau, at least 30 days before the start of work.
2. **Compaction.** Use steel wheeled double drum rollers weighing at least 10 tons, equipped with functioning water systems and scrapers to prevent material from adhering to the roller drums.
3. **Hauling.** Use vehicles that meet § 402-3.03, Hauling Equipment, to transport the hot mix asphalt-wearing course.

CONSTRUCTION DETAILS

- A. Hot Mix Production.** The requirements of §401-3, Construction Details apply with the following modifications. If a test value for the 0.075 inches sieve, or any sieve larger than 1.18 inches varies from the target value by more than 1.5 times the production tolerance given in Table 1 - Mixture Requirements, the Regional Materials Engineer will evaluate the material represented by that test to determine acceptability. If for any sieve, the average absolute difference of [Test Value - Target Value] for a lot exceeds the production tolerance, the Regional Materials Engineer will evaluate the material to determine acceptability.

A delivery ticket must accompany each vehicle supplying HMA. Make one legible copy of the delivery ticket available to the State's paving inspector prior to placement of the mixture. Each delivery ticket shall show all of the following information and identify the type of mix used as outlined in Table 1 - Mixture Requirements.

- a. Ticket number.
- b. Plant identification.
- c. Contract number.
- d. Mix type (A, B, or C), friction requirement (F1 or F2), and performance-graded binder (PG Binder).
- e. Quantity of material in delivery vehicle.
- f. Date and time.

- B. Surface Preparation.** Perform all surface preparation prior to applying the wearing course.

1. Thoroughly clean the entire area to be overlaid. The surface of the area to be overlaid must be free of dirt, oil, and other foreign materials. Remove all debris and standing water. A damp surface is acceptable if favorable weather conditions are expected during paving operations.
2. Cover all manhole covers, water boxes, catch basins, and other such utility structures within the area to be paved with plastic, building felt, or other material approved by the Engineer. Reference each for location and adjustment after paving. Remove the covers each day.

- C. Application.** The requirements of § 402-3.01, Weather and Seasonal Limitations apply, except as modified herein. Placement may begin if the surface temperature is at least 45°F and rising.

1. Apply the polymer modified asphalt emulsion at a temperature of 140 - 176°F. Provide a uniform application across the entire width to be overlaid, at a rate of 0.15 - .24 Gals/y². Continuously monitor the spray rate.
2. No equipment shall come in contact with the polymer modified asphalt emulsion before the hot mix asphalt-wearing course is applied.
3. Immediately after applying the polymer modified asphalt emulsion, apply the hot mix asphalt overlay across the full width of the emulsion at a temperature of 293 - 338°F.

(continued)

DETAILED SPECIFICATIONS (Cont'd)

CONSTRUCTION DETAILS (Cont'd.)

C. Application (Cont'd.)

4. Apply the hot mix asphalt at a rate within the appropriate application range, listed in Table 5. The finished treatment has a minimum thickness of 1/2 inch for Type A, and 5/8 inches for Types B and C.
5. Paver Placed Surface Treatment shall not be applied to freshly placed concrete surfaces. Concrete surfaces must cure for a minimum of 90 days before being overlaid.

Table 5 - Wearing Course Application Ranges

Type	Minimum (lb/y ²)	Maximum (lb/y ²)
A	55	75
B	60	80
C	65	85

- D. Compaction.** Begin compaction immediately after application of the wearing course. Use a minimum of two static passes. Avoid using vibratory compaction. The roller(s) will not be allowed to stop on the freshly placed wearing course. Use an adequate number of rollers to complete compaction before the pavement temperature falls below 185°F. Protect the wearing course from traffic until the rolling operation is complete and the material has cooled sufficiently to resist damage.
- E. Paver and Equipment Cleaning.** The requirement of § 402-3.12, Paver and Equipment Cleaning apply.
- F. Coring.** The Engineer will require four cores from each section of compacted rubber modified paver placed surface treatment applied below the appropriate minimum application rate listed in Table 5. The Engineer will randomly locate the four core locations. Core the pavement. The Engineer will determine the thickness of the rubber modified paver placed surface treatment and reject sections not meeting the required minimum thickness.

The Engineer may require four cores from each section of compacted rubber modified paver placed surface treatment exceeding the appropriate maximum application rate, listed in Table 5, to determine the thickness of the rubber modified paver placed surface treatment. The Engineer may stop paving operations immediately if the over application of the rubber modified paver placed surface treatment will create problems, such as, but not limited to, reducing overhead clearance, curb reveal or guide rail height. The Engineer and Vendor will agree upon and document a maximum application rate and maximum thickness to prevent problems created by over applying the rubber modified paver placed surface treatment. Resume paving. The Engineer will reject any additional rubber modified paver placed surface treatment sections determined to exceed the maximum agreed upon application rate and thickness.

Coring is not required for sections paved within the appropriate application range, listed in Table 5 - Wearing Course Application Ranges.

All labor, materials and equipment associated with required pavement coring, including maintenance and protection of traffic and filling core holes, will be done at the Vendor's expense.

(continued)

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

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Bidder

Location of Storage Facility - Street Address: _____
City: _____ NYSDOT Hot Mix Asphalt Facility No.: _____
NYSDOT Liquid Asphalt Facility No.: _____
State and Zip Code: _____ County: _____

PAVER PLACED SURFACE TREATMENT

Item 18403.221102 Type A F1

5,000 to 15,000 SQ. YD./Day	\$ _____/SQ. YD.
15,001 to 30,000 SQ. YD./Day	\$ _____/SQ. YD.
Over 30,000 SQ. YD./Day	\$ _____/SQ. YD.

Item 18403.222102 Type B F1

5,000 to 15,000 SQ. YD./Day	\$ _____/SQ. YD.
15,001 to 30,000 SQ. YD./Day	\$ _____/SQ. YD.
Over 30,000 SQ. YD./Day	\$ _____/SQ. YD.

Item 18403.223102 Type C F1

5,000 to 15,000 SQ. YD./Day	\$ _____/SQ. YD.
15,001 to 30,000 SQ. YD./Day	\$ _____/SQ. YD.
Over 30,000 SQ. YD./Day	\$ _____/SQ. YD.

Item 18403.221202 Type A F2

5,000 to 15,000 SQ. YD./Day	\$ _____/SQ. YD.
15,001 to 30,000 SQ. YD./Day	\$ _____/SQ. YD.
Over 30,000 SQ. YD./Day	\$ _____/SQ. YD.

Item 18403.222202 Type B F2

5,000 to 15,000 SQ. YD./Day	\$ _____/SQ. YD.
15,001 to 30,000 SQ. YD./Day	\$ _____/SQ. YD.
Over 30,000 SQ. YD./Day	\$ _____/SQ. YD.

Item 18403.223202 Type C F2

5,000 to 15,000 SQ. YD./Day	\$ _____/SQ. YD.
15,001 to 30,000 SQ. YD./Day	\$ _____/SQ. YD.
Over 30,000 SQ. YD./Day	\$ _____/SQ. YD.

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Bidder

Location of Storage Facility - Street Address: _____
City: _____ NYSDOT Hot Mix Asphalt Facility No.: _____
NYSDOT Liquid Asphalt Facility No.: _____
State and Zip Code: _____ County: _____

PAVER PLACED SURFACE TREATMENT

Item 18403.221302 Type A F3

5,000 to 15,000 SQ. YD./Day	\$ _____/SQ. YD.
15,001 to 30,000 SQ. YD./Day	\$ _____/SQ. YD.
Over 30,000 SQ. YD./Day	\$ _____/SQ. YD.

Item 18403.222302 Type B F3

5,000 to 15,000 SQ. YD./Day	\$ _____/SQ. YD.
15,001 to 30,000 SQ. YD./Day	\$ _____/SQ. YD.
Over 30,000 SQ. YD./Day	\$ _____/SQ. YD.

Item 18403.223302 Type C F3

5,000 to 15,000 SQ. YD./Day	\$ _____/SQ. YD.
15,001 to 30,000 SQ. YD./Day	\$ _____/SQ. YD.
Over 30,000 SQ. YD./Day	\$ _____/SQ. YD.

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Bidder

Location of Storage Facility - Street Address: _____
City: _____ NYSDOT Hot Mix Asphalt Facility No.: _____
NYSDOT Liquid Asphalt Facility No.: _____
State and Zip Code: _____ County: _____

RUBBER MODIFIED PAVER PLACED SURFACE TREATMENT

Item 18403.221102R Type A F1

5,000 to 15,000 SQ. YD./Day	\$ _____/SQ. YD.
15,001 to 30,000 SQ. YD./Day	\$ _____/SQ. YD.
Over 30,000 SQ. YD./Day	\$ _____/SQ. YD.

Item 18403.222102R Type B F1

5,000 to 15,000 SQ. YD./Day	\$ _____/SQ. YD.
15,001 to 30,000 SQ. YD./Day	\$ _____/SQ. YD.
Over 30,000 SQ. YD./Day	\$ _____/SQ. YD.

Item 18403.223102R Type C F1

5,000 to 15,000 SQ. YD./Day	\$ _____/SQ. YD.
15,001 to 30,000 SQ. YD./Day	\$ _____/SQ. YD.
Over 30,000 SQ. YD./Day	\$ _____/SQ. YD.

Item 18403.221202R Type A F2

5,000 to 15,000 SQ. YD./Day	\$ _____/SQ. YD.
15,001 to 30,000 SQ. YD./Day	\$ _____/SQ. YD.
Over 30,000 SQ. YD./Day	\$ _____/SQ. YD.

Item 18403.222202R Type B F2

5,000 to 15,000 SQ. YD./Day	\$ _____/SQ. YD.
15,001 to 30,000 SQ. YD./Day	\$ _____/SQ. YD.
Over 30,000 SQ. YD./Day	\$ _____/SQ. YD.

Item 18403.223202R Type C F2

5,000 to 15,000 SQ. YD./Day	\$ _____/SQ. YD.
15,001 to 30,000 SQ. YD./Day	\$ _____/SQ. YD.
Over 30,000 SQ. YD./Day	\$ _____/SQ. YD.

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Bidder

Location of Storage Facility - Street Address: _____
City: _____ NYSDOT Hot Mix Asphalt Facility No.: _____
NYSDOT Liquid Asphalt Facility No.: _____
State and Zip Code: _____ County: _____

RUBBER MODIFIED PAVER PLACED SURFACE TREATMENT

Item 18403.221302R Type A F3

5,000 to 15,000 SQ. YD./Day	\$ _____/SQ. YD.
15,001 to 30,000 SQ. YD./Day	\$ _____/SQ. YD.
Over 30,000 SQ. YD./Day	\$ _____/SQ. YD.

Item 18403.222302R Type B F3

5,000 to 15,000 SQ. YD./Day	\$ _____/SQ. YD.
15,001 to 30,000 SQ. YD./Day	\$ _____/SQ. YD.
Over 30,000 SQ. YD./Day	\$ _____/SQ. YD.

Item 18403.223302R Type C F3

5,000 to 15,000 SQ. YD./Day	\$ _____/SQ. YD.
15,001 to 30,000 SQ. YD./Day	\$ _____/SQ. YD.
Over 30,000 SQ. YD./Day	\$ _____/SQ. YD.

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Bidder

Location of Storage Facility - Street Address: _____
City: _____ NYSDOT Hot Mix Asphalt Facility No.: _____
NYSDOT Liquid Asphalt Facility No.: _____
State and Zip Code: _____ County: _____

ADDITIONAL PRICE/SQ. YD. FOR MOBILIZATION FROM CONTRACTOR'S LOCATION TO PROJECT LOCATION

<u>MILES</u>	TOTAL PROJECT SIZE		
	SQ. YDS. OF CONVENTIONAL/RUBBER MODIFIED PAVER PLACED SURFACE TREATMENT		
	<u>5,000-15,000 SQ. YDS.</u>	<u>15,001-30,000 SQ. YDS.</u>	<u>OVER 30,000 SQ. YDS.</u>
0-30	\$_____/SQ. YD.	\$_____/SQ. YD.	\$_____/SQ. YD.
31-60	\$_____/SQ. YD.	\$_____/SQ. YD.	\$_____/SQ. YD.
61-90	\$_____/SQ. YD.	\$_____/SQ. YD.	\$_____/SQ. YD.
91+	\$_____/SQ. YD.	\$_____/SQ. YD.	\$_____/SQ. YD.

ADDITIONAL PRICE/SQ. YD. FOR OPTIONAL WORK ZONE TRAFFIC CONTROL

<u>ROADWAYS</u>	AVERAGE PRODUCTION		
	SQ. YDS/DAY OF CONVENTIONAL/RUBBER MODIFIED PAVER PLACED SURFACE TREATMENT		
	<u>5,000-15,000 SQ. YDS.</u>	<u>15,001-30,000 SQ. YDS.</u>	<u>OVER 30,000 SQ. YDS.</u>
One-way	\$_____/SQ. YD.	\$_____/SQ. YD.	\$_____/SQ. YD.
Two-way	\$_____/SQ. YD.	\$_____/SQ. YD.	\$_____/SQ. YD.

Price additional for additional flaggers per day per flagger \$_____/Day

Price additional for Pilot vehicle per day per vehicle with driver \$_____/Day

Price additional for Optional Additional Construction Signs per square foot \$_____/SQ.FT.

Price additional for work on weekends: \$_____/Saturday

\$_____/Sunday

Price additional per linear foot for abrading existing pavement markings
by the vendor, with Work Zone Traffic Control by owner agency \$_____/LIN.FT.

Price additional per linear foot for abrading existing pavement markings by
the vendor, with Work Zone Traffic Control by vendor \$_____/LIN.FT.

Price additional per linear foot for optional overlay splices,
with Work Zone Traffic Control by owner agency \$_____/LIN.FT.

Price additional per linear foot for optional overlay splices,
with Work Zone Traffic Control by vendor \$_____/LIN.FT.

(continued)

**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/VA 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.
- Does bidder offer Electronic Access Ordering (EDI)?
- If awarded a contract, will bidder accept the New York State Procurement Card for orders not to exceed \$15,000.00?
- 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:

_____ YES _____ NO

_____ YES _____ NO

_____ YES _____ NO

\$ _____

_____ %

(continued)

**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:

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

Name:

Title:

Telephone Number:

Fax Number:

Pager Number:

Cellular Telephone Number:

E-Mail Address:

(continued)

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.

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

*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.

(continued)

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

(continued)

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?

If yes, please answer the following question:

_____ YES _____ NO

- 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)

(continued)

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

⇒ ⇒ ⇒ ⇒ ⇒ ⇒

Bidder

BID SUBMISSION CHECK-OFF:

The following identifies some of the requirements for this solicitation. Bidder is to check submissions made. An “M” in parenthesis next to the item indicates a mandatory requirement.

Face page of IFB (M):

Bid Deviations, if applicable (M):

Pages with Bid Prices, (M):

Proof of Insurability – Certificate of Insurance
(Please see ‘CONTRACTOR INSURANCE’ clause) (M):

“Questions” Pages (M)

“NOTES TO BIDDERS”:

“BIDDERS PLEASE ANSWER THE FOLLOWING QUESTIONS”:

Appendix 1 - New York State Standard Vendor Responsibility Questionnaire (M):

Appendix 2 - Contractor Certification to Covered Agency (ST-220-CA) (M):

Completed and Submitted:

_____ YES NO _____

_____ YES NO _____

_____ YES NO _____

_____ YES NO _____

_____ YES NO _____

_____ YES NO _____

_____ YES NO _____

_____ YES NO _____

NOTE: Submit ST-220-TD directly to NYS Dept. of Taxation & Finance
under separate cover.

Please **DO NOT** send ST-220-TD with your bid to OGS.

Please **DO NOT** send pages from the bid that are not written on by
bidder. These include Appendix A, Appendix B and Group
Specification. The only pages that should be included in the bid
submission are the IFB cover (signatory) page, bid price pages,
bidder questions pages, Appendices 1 and 2 (SVRQ and ST-220-CA),
and the signatory page(s) from any and all purchasing memoranda.

(continued)

Appendix 1

{Revised: March 2009}

New York State

Standard Vendor Responsibility Questionnaire

(Use the Uniform Contracting Questionnaire CCA-1, for all construction contracts)

Each Contracting Agency conducts a review of prospective contractors (“vendors”) to provide reasonable assurances that the vendor is responsible. This questionnaire is used for all non-construction contracts with a contract value of \$100,000.00 or more and is designed to provide information to assess a vendor’s authorization to do business in New York State, as well as your business integrity, financial and organizational capacity, and performance history. (Review of construction contractors will be based upon the Uniform Contracting Questionnaire developed by the Council of Contracting Agencies.)

Each vendor must answer every question contained in this questionnaire. Where a response requires additional information, the vendor must attach a written response that adequately details the requested information. Please number each response to match the question number. The completed questionnaire and attached responses will become part of the procurement record.

In order to expedite the required review, when providing additional information for a “YES” answer to Questions 14 a-s, or any other response which requires additional explanation, your information and responses should address the relationship of the issue to the proposed contract. Be brief, concise and to the point. Discuss as appropriate the following:

- Provide a description of the issue and identify the actions taken or currently being implemented to ensure that the issue will not occur again.
- State whether the staff and/or organizational component involved in the identified issue(s) will work on the proposed contract. If so, provide information to assure the agency that the issue will not be repeated.
- Identify the relationship (or lack thereof) between the product/services involved in the issue and the type of product/services proposed for this contract.
- State whether the issue will affect your financial or organizational ability to perform under the proposed contract.
- Provide copies of relevant documents or any other information that would assist the agency in its vendor responsibility evaluation.

It is imperative that the person completing the vendor responsibility questionnaire be knowledgeable about the proposing vendor’s business and operations, as an owner or officer of the vendor must attest to the questionnaire information. Please be advised that at the end of this questionnaire, you must certify, under oath, all responses given.

(continued)

New York State
Standard Vendor Responsibility Questionnaire

1. LEGAL BUSINESS NAME: _____
2. FEDERAL EMPLOYER ID NO. (FEIN): _____
3. D/B/A — Doing Business As (if applicable): _____
COUNTY FILED: _____
4. WEBSITE ADDRESS (if applicable): _____
5. PRINCIPAL PLACE OF BUSINESS ADDRESS: _____
6. TELEPHONE NUMBER: _____ 7. FAX NUMBER: _____
8. AUTHORIZED CONTACT FOR THIS QUESTIONNAIRE:
Name: _____
Title: _____
Telephone Number: _____ Fax Number: _____
E-mail: _____
9. TYPE OF BUSINESS: (please check appropriate box and provide additional information)
 - a) ☐ Corporation State of Incorporation: _____
 - b) ☐ Sole Proprietor State/County filed in: _____
 - c) ☐ General Partnership State/County filed in: _____
 - d) ☐ Not-for-Profit Corporation Charities Registration Number: _____
 - e) ☐ Limited Liability Company (LLC) Jurisdiction filed: _____
 - f) ☐ Limited Partnership State/County filed in: _____
 - g) ☐ Other — Specify: _____ Jurisdiction Filed (if applicable) _____
10. IF NOT INCORPORATED OR FORMED IN NEW YORK STATE, PLEASE PROVIDE A CURRENT CERTIFICATE OF GOOD STANDING FROM YOUR STATE OR APPLICABLE LOCAL JURISDICTION.
11. LIST NAME AND TITLE OF EACH PRINCIPAL, OWNER, OFFICER, MAJOR STOCKHOLDER (10% OR MORE OF THE VOTING SHARES FOR PUBLICLY TRADED COMPANIES, 25% OR MORE OF THE SHARES FOR ALL OTHER COMPANIES), DIRECTOR AND MEMBER, as applicable:
 - a) _____
 - b) _____
 - c) _____
 - d) _____
 - e) _____
 - f) _____
 - g) _____
 - h) _____
12. AUTHORIZED CONTACT FOR THE PROPOSED CONTRACT:
Name: _____
Title: _____
Telephone Number: _____ Fax Number: _____
E-mail: _____

(continued)

New York State
Standard Vendor Responsibility Questionnaire

VENDOR FEIN: _____

13. DOES THE VENDOR USE, OR HAS IT USED IN THE PAST FIVE (5) YEARS, ANY OTHER BUSINESS NAME, FEIN, OR D/B/A OTHER THAN WHAT IS LISTED IN QUESTIONS 1-3 ABOVE?

☐ Yes ☐ No

If yes, provide the name(s), FEIN(s) and d/b/a(s) and the address for each such company and d/b/a on a separate piece of paper and attach to this response.

14. WITHIN THE PAST FIVE (5) YEARS, HAS THE VENDOR, ANY PRINCIPAL, OWNER, OFFICER, MAJOR STOCKHOLDER (10% OR MORE OF THE VOTING SHARES FOR PUBLICLY TRADED COMPANIES, 25% OR MORE OF THE SHARES FOR ALL OTHER COMPANIES), AFFILIATE¹ OR ANY PERSON INVOLVED IN THE BIDDING, CONTRACTING OR LEASING PROCESS BEEN THE SUBJECT OF ANY OF THE FOLLOWING:

- (a) a judgment or conviction for any business related conduct constituting a crime under federal, state or local government law including, but not limited to, fraud, extortion, bribery, racketeering, price-fixing or bid collusion or any crime related to truthfulness and/or business conduct?

☐ Yes ☐ No

- (b) a criminal investigation or indictment for any business related conduct constituting a crime under federal, state or local government law including, but not limited to, fraud, extortion, bribery, racketeering, price-fixing or bid collusion or any crime related to truthfulness and/or business conduct?

☐ Yes ☐ No

- (c) an unsatisfied judgment, injunction or lien for any business related conduct obtained by any federal, state or local government agency including, but not limited to, judgments based on taxes owed and fines and penalties assessed by any federal, state or local government agency?

☐ Yes ☐ No

- (d) an investigation for a civil or criminal violation for any business related conduct by any federal, state or local agency?

☐ Yes ☐ No

- (e) a grant of immunity for any business-related conduct constituting a crime under federal, state or local governmental law including, but not limited to, fraud, extortion, bribery, racketeering, price-fixing, bid collusion or any crime related to truthfulness and/or business conduct?

☐ Yes ☐ No

- (f) a federal, state or local government suspension or debarment from the contracting process?

☐ Yes ☐ No

- (g) a federal, state or local government contract suspension or termination for cause prior to the completion of the term of a contract?

☐ Yes ☐ No

- (h) a federal, state or local government denial of a lease or contract award for non-responsibility?

☐ Yes ☐ No

- (i) an administrative proceeding or civil action seeking specific performance or restitution in connection with any federal, state or local contract or lease?

☐ Yes ☐ No

¹"Affiliate" meaning: (a) any entity in which the vendor owns more than 50% of the voting stock; (b) any individual, entity or group of principal owners or officers who own more than 50% of the voting stock of the vendor; or (c) any entity whose voting stock is more than 50% owned by the same individual, entity or group described in clause (b). In addition, if a vendor owns less than 50% of the voting stock of another entity, but directs or has the right to direct such entity's daily operations, that entity will be an "affiliate" for purposes of this questionnaire.

New York State
Standard Vendor Responsibility Questionnaire

VENDOR FEIN: _____

- (j) a federal, state or local determination of a willful violation of any public works or labor law or regulation? ☐ Yes ☐ No
- (k) a sanction imposed as a result of judicial or administrative proceedings relative to any business or professional license? ☐ Yes ☐ No
- (l) a consent order with the New York State Department of Environmental Conservation, or a federal, state or local government enforcement determination involving a violation of federal, state or local environmental laws? ☐ Yes ☐ No
- (m) an Occupational Safety and Health Act citation and Notification of Penalty containing a violation classified as serious or willful? ☐ Yes ☐ No
- (n) a rejection of a bid on a New York State contract or a lease with the State for failure to comply with the MacBride Fair Employment Principles? ☐ Yes ☐ No
- (o) a citation, violation order, pending administrative hearing or proceeding or determination issued by a federal, state or local government for violations of:
- health laws, rules or regulations ☐ Yes ☐ No
 - unemployment insurance or workers' compensation coverage or claim requirements ☐ Yes ☐ No
 - ERISA (Employee Retirement Income Security Act) ☐ Yes ☐ No
 - human rights laws ☐ Yes ☐ No
 - federal U.S. Citizenship and Immigration Services laws ☐ Yes ☐ No
 - Sherman Act or other federal anti-trust laws ☐ Yes ☐ No
- (p) entered into an agreement to a voluntary exclusion from contracting with a federal, state or local governmental entity? ☐ Yes ☐ No
- (q) a denial, decertification, revocation or forfeiture of Women's Business Enterprise, Minority Business Enterprise or Disadvantaged Business Enterprise status? ☐ Yes ☐ No
- (r) a rejection of a low bid on a federal, state or local contract for failure to meet statutory affirmative action or Minority or Women's Business Enterprise or Disadvantaged Business Enterprise status requirements on a previously held contract? ☐ Yes ☐ No
- (s) a finding of non-responsibility by an agency or authority due to a violation of State Finance Law §139-j? ☐ Yes ☐ No

FOR EACH YES ANSWER TO QUESTIONS 14 a-s, PROVIDE DETAILS ON ADDITIONAL SHEETS REGARDING THE FINDING, INCLUDING BUT NOT LIMITED TO CAUSE, CURRENT STATUS, RESOLUTION, ETC.

15. DURING THE PAST THREE YEARS, HAS THE VENDOR FAILED TO:

- (a) FILE RETURNS OR PAY ANY APPLICABLE FEDERAL, STATE OR LOCAL GOVERNMENT TAXES? ☐ Yes ☐ No

If yes, identify the taxing jurisdiction, type of tax, liability year(s) and tax liability amount the company failed to file/pay and the current status of the liability:

- (b) FILE RETURNS OR PAY NEW YORK STATE UNEMPLOYMENT INSURANCE? ☐ Yes ☐ No

If yes, indicate the years the company failed to file/pay the insurance and the current status of the liability:

(continued)

New York State
Standard Vendor Responsibility Questionnaire

VENDOR FEIN: _____

16. HAVE ANY BANKRUPTCY PROCEEDINGS BEEN INITIATED BY OR AGAINST THE VENDOR OR ITS AFFILIATES WITHIN THE PAST SEVEN YEARS (WHETHER OR NOT CLOSED) OR IS ANY BANKRUPTCY PROCEEDING PENDING BY OR AGAINST THE VENDOR OR ITS AFFILIATES, REGARDLESS OF THE DATE OF FILING?

☐ Yes ☐ No

If yes, indicate if this is applicable to the submitting vendor or one of its affiliates: _____

If it is an affiliate, include the affiliate's name and FEIN: _____

Provide the court name, address and docket number: _____

Indicate if the proceedings have been initiated, remain pending or have been closed: _____

If closed, provide the date closed: _____

17. DOES VENDOR HAVE THE FINANCIAL RESOURCES NECESSARY TO FULFILL THE REQUIREMENTS OF THE PROPOSED CONTRACT?

☐ Yes ☐ No

(continued)

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)

(continued)



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

518/474-7273

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.

(continued)

Page 2 of 4 **ST-220-TD** (5/07)

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)

(continued)

Schedule A - Listing of each entity (contractor, affiliate, or subcontractor) exceeding \$300,000 cumulative sales threshold

List the contractor, or affiliate, or subcontractor in Schedule A only if such entity exceeded the \$300,000 cumulative sales threshold during the specified sales tax quarters. See directions below. For more information, see Publication 223.

A Relationship to Contractor	B Name	C Address	D Federal ID Number	E Sales Tax ID Number	F Registration In Progress

Column A - Enter **C** in column A if the contractor; **A** if an affiliate of the contractor; or **S** if a subcontractor.

Column B - Name - If the entity is a corporation or limited liability company, enter the exact legal name as registered with the NY Department of State, if applicable. If the entity is a partnership or sole proprietor, enter the name of the partnership and each partner's given name, or the given name(s) of the owner(s), as applicable. If the entity has a different DBA (doing business as) name, enter that name as well.

Column C - Address - Enter the street address of the entity's principal place of business. Do not enter a PO box.

Column D - ID number - Enter the federal employer identification number (EIN) assigned to the entity. If the entity is an individual, enter the social security number of that person.

Column E - Sales tax ID number - Enter only if different from federal EIN in column D.

Column F - If applicable, enter an X if the entity has submitted Form DTF-17 to the Tax Department but has not received its certificate of authority as of the date of this certification.

(continued)

Page 4 of 4 **ST-220-TD (5/07)**

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:

[Mark an **X** in the appropriate box and complete the accompanying statement.]

☐ (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 a _____
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. _____

(continued)

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	
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 NYS Office of General Services		
Covered agency address 38th Floor Corning Tower, ESP, Albany, NY 12242				Covered agency telephone number 518/474-7273

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:

- The procuring entity is a *covered agency* within the meaning of the statute (see Publication 223, Q&A 5);
- The contractor is a *contractor* within the meaning of the statute (see Publication 223, Q&A 6); and
- 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).

(continued)

Page 2 of 2 **ST-220-CA** (6/06)

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:

[Mark an **X** in the appropriate box and complete the accompanying statement.]

- ☐ (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.

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; telephone 1 800 225-5829. From areas outside the United States and outside Canada, call (518) 485-6800.

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. 1 800 698-2931

To order forms and publications: 1 800 462-8100

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.

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

GROUP SPECIFICATION

COMMODITY GROUPS: 31501, 31505, 31506, 31507, 31508, 31509 LIQUID BITUMINOUS MATERIALS	DATE OF ISSUE	September 16, 2008
	NO. OF PAGES	4
	SPECIFICATION NO.	913 (Supersedes SPEC-910 dated August 29, 2007)

BIDDERS ARE REQUESTED TO RETAIN THIS SPECIFICATION FOR FUTURE REFERENCE

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GENERAL INFORMATION**MATERIALS:**

Materials offered must be from a NYS Dept. of Transportation approved location. Materials offered from other than approved locations will not be considered for award and will be sufficient cause for rejection of bid.

Inspection of storage locations not currently approved may be requested directly from NYSDOT and subsequently certified for consideration in future IFBs.

SAMPLING, TESTING, INSPECTING AND REPORTING:

All liquid bituminous material intended for use on State agency and non-State agency projects shall be sampled, tested, inspected, certified and shipped in accordance with NYSDOT Materials Method N.Y. 8.1, 8.2 and 8.3 and addenda. The State reserves the right to inspect liquid bituminous material supply facilities and the equipment of any successful bidder at any time for conformance with the requirements listed herein; if deficiencies are found, such deficiencies shall be corrected within 10 days or the contractor will be considered in default.

APPROVED LIST CRITERIA:

The NYSDOT will perform the necessary inspections of the primary source and/or supplier facility to determine conformance with these requirements and establish the approved list of primary sources. Copies of the approved list and written procedures for achieving and maintaining approved list status are available from NYSDOT Materials Bureau, 50 Wolf Road, Pod 3-4, Albany, NY 12232.

REQUIRED QUALIFICATIONS:

The firm submitting the bid must meet the following conditions:

1. The firm's storage facility shall have been approved by the Director, Materials Bureau, within the 12-month period prior to the bid opening date.
2. The liquid bituminous material shall be obtained from a primary source listed on the NYSDOT approved list of primary sources. An approved primary source is a firm that samples, tests, and certifies that the materials are in conformance with the NYSDOT materials specifications. Primary sources may be refineries, terminals, emulsion manufacturing plants, line-blend plants, intermediate storage facilities or other similar plants, that sample, test and certify the materials.
3. Asphalt emulsions as defined in Table 1, Definition of Asphalt Emulsion Types, shall be stored in an approved facility having a minimum of one permanent storage tank for each type of asphalt emulsion bid. The tank(s) shall have a storage capacity of at least 10,000 gallons each and have equipment capable of heating the material to the proper application temperature prior to shipment. These tanks shall be equipped with a sampling valve and thermometer. The sampling valve shall be so designed and installed as to be non-clogging and safe. The type of valve and its general location shall comply with written instructions by the NYSDOT.

TABLE 1

DEFINITION OF ASPHALT EMULSION TYPES

<u>Type</u>	<u>Material Designation</u>
Anionic Rapid Setting	702-3001, 702-3002, 702-3101, 702-3102, 702-3701, 702-3801
Anionic Medium Setting	702-3201, 702-3301, 702-3401, 702-3402
Anionic Slow Setting	702-3501, 702-3601
Cationic Rapid Setting	702-4001, 702-4002, 702-4101, 702-4701, 702-4702
Cationic Medium Setting	702-4201, 702-4301
Cationic Slow Setting	702-4401, 702-4501
Cationic Quick Setting	702-4601, 702-4801

NOTE: If tack coat, Material Designation 702-90, is stored in a permanent tank, this tank shall have agitating equipment in addition to the above tank requirements. The tack coat will be classified as the type of emulsion used to manufacture the tack coat.

GENERAL INFORMATION (Cont'd)

REQUIRED QUALIFICATIONS: (Cont'd.)

4. The quantity of liquid bituminous material shall be measured with an accurate truck scale or meter(s) and the quantity shall be ticket printed by machine. The firm shall have evidence available to show that the scale or meter(s) have been tested for accuracy by one of the following three; a competent scale technician recognized by NYSDOT, a representative of NYSDOT, or the County Sealer of Weights and Measures. This accuracy check shall be performed in the current calendar year before any material is supplied. If during the calendar year the accuracy of the measuring device becomes suspect, it shall be recalibrated before any additional material is supplied.
5. The truck scale or meter(s) shall meet the requirements of National Bureau of Standards Handbook 44. The meter(s) shall be equipped with automatic temperature compensation devices to provide quantity in 60° F gallons.

The ticket printer shall meet the following requirements:

- A. Truck Scales: The ticket printer shall machine print in digital form a minimum of two of the following:
 - (1) Tare weight
 - (2) Gross weight
 - (3) Net weightThe scale system shall be interlocked to allow printing only when the scale has come to a complete rest.
- B. Meters: The ticket printer shall machine print in digital form a minimum of two of the following:
 - (1) beginning meter reading
 - (2) ending meter reading
 - (3) total gallons at 60° F
- C. If a meter is used, it shall be permanently installed to connect it with the approved storage tank(s), and shall be used to measure all quantities.

A truck scale shall be located at the storage facility unless the following conditions are met:

- (a) The firm owns the truck scale or has full control of the weighing operations. The scale shall be located in close proximity (approximately 1,000 feet or less) to the storage tanks. The acceptability of the distance will be determined by the NYSDOT.
 - (b) The firm provides written proof to the NYSDOT that it has complete access to the truck scale 24 hrs./day, 7 days/week.
 - (c) The firm is responsible for calibration and repairs of the weighing equipment.
6. The contractor shall have equipment required to complete the work of the item(s) requiring applicators as follows:
 - A. For item(s) requiring distributors, at least one distributor for each 100,000 total gallons of liquid bituminous material to be applied.

The distributor shall meet the requirements of the NYS DOT Standard Specifications, Section 410, Bituminous Surface Treatment. The distributor minimum capacity shall be 2,000 gallons.

Each distributor shall be equipped with a calibrated measuring stick to measure the actual quantity used when only a portion of the original quantity of liquid bituminous material is used at the project site. The measuring stick is to be calibrated such that quantity can be determined within an accuracy of ± 25 gallons when the distributor is in a level position.

GENERAL INFORMATION (Cont'd)

REQUIRED QUALIFICATIONS: (Cont'd.)

- B. For item(s) requiring aggregate spreaders, at least one aggregate spreader for each 100,000 total gallons of liquid bituminous material to be applied and covered with aggregate. The aggregate spreader shall be self-propelled unit capable of uniformly spreading the aggregate at a rate specified by the engineer with an allowable variation not to exceed 0.5 pounds per square yard. The spreader hopper shall have a minimum spread width of 12 feet. Gate openings shall be graduated so that spread widths can be adjusted in 6-inch increments beyond the minimum spread width of 12 feet. The spreader shall be equipped with a self-locking hitch with a minimum 1 inch vertical movement.
- C. For item(s) requiring pugmill mixers, at least one pugmill mixer for each 200,000 total gallons of liquid bituminous material.

The pugmill mixer shall be a rotating paddle shaft mixer meeting the requirements of NYSDOT Standard Specifications, Section 302, Bituminous Stabilized course.

DELIVERY TICKET:

A delivery ticket shall be provided with each load of bituminous material and filler for joints stating the following:

1. Storage facility identification
2. Ticket Number
3. Date/time
4. Item Number and Type
5. Quantity ticket printed by machine
6. Quantity in 60° F gallons for emulsions.

STORAGE FACILITY:

The bidder shall supply liquid bituminous material in the quantity and date specified on the order. The storage facility shall be approved by NYSDOT in the current calendar year before liquid bituminous material can be supplied.

NOTE TO BIDDERS:

All construction and materials quantities specified are in U.S. Customary Units, and should be bid accordingly.

References are made herein to New York State Department of Transportation, Standard Specifications, Construction and Materials, dated May 1, 2008. A copy may be obtained through the Department's publication unit. Call 518-457-2124 for information.

For information regarding how to become an approved facility, or, to make arrangements for inspection of materials or equipment when required, contact the Materials Bureau of the Department of Transportation at 518-457-3240.

DETAILED SPECIFICATIONS

All Liquid Bituminous Materials furnished and/or applied, shall be in accordance with Specifications for Bituminous Materials in the book entitled New York State Department of Transportation, Standard Specifications, Construction and Materials, dated May 1, 2008; and Engineering Instruction 07-020.

* * * * *

APPENDIX A

STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS

PLEASE RETAIN THIS DOCUMENT
FOR FUTURE REFERENCE.

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2. Non-Assignment Clause
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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, licensor, 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 previous consent, in writing, of the State and any attempts to assign the contract without the State's written consent are null and void. The Contractor may, however, assign its right to receive payment 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.

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) **FEDERAL EMPLOYER IDENTIFICATION NUMBER and/or FEDERAL SOCIAL SECURITY NUMBER.** All invoices or New York State standard vouchers submitted for payment for the sale of goods or services or the lease of real or personal property to a New York State agency must include the payee's identification number, i.e., the seller's or lessor's identification number. The number is either the payee's Federal employer identification number or Federal social security number, or both such numbers when the payee has both such numbers. Failure to include this number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on its invoice or New York State standard voucher, 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 New York State's Central Accounting System by the Director of Accounting Operations, 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, 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:

(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, 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; or (iii) banking services, insurance policies or the sale of securities. 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 Governor's Office 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 State Finance Law §165. (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. PURCHASES OF APPAREL. In accordance with State Finance Law 162 (4-a), the State shall not purchase any apparel from any vendor unable or unwilling to certify that: (i) such apparel was manufactured in compliance with all applicable labor and occupational safety laws, including, but not limited to, child labor laws, wage and hours laws and workplace safety laws, and (ii) vendor will supply, with its bid (or, if not a bid situation, prior to or at the time of signing a contract with the State), if known, the names and addresses of each subcontractor and a list of all manufacturing plants to be utilized by the bidder.

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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 Orders 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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