NEW YORK STATE DEPARTMENT OF TRANSPORTATION  
REQUEST FOR PROPOSALS  
CPA AUDIT (CLOSEOUT) SERVICES FOR NYSDOT  
Contract #C037629

Initial Information for Submittal

A. Please note the following dates and deadlines:
   • October 18, 2017: Deadline for the submission of proposals at 12:00 PM (Eastern Time)
   • September 29, 2017: Deadline for questions about the RFP at 12:00 PM (Eastern Time)

B. Complete proposals are to be submitted to the Designated Contact stipulated in Section 1.4.
RFP RESPONSE FORM

RFP RESPONSE FORM: C037629 - CPA AUDIT (CLOSEOUT) SERVICES FOR NYSDOT

Please review this RFP, complete the following information, and e-mail to the NYSDOT address shown below, by the earliest practical date. This RFP Response form must be submitted along with the two required Procurement Lobbying Law forms (see Section 8.3) before questions or other communications with the Department regarding this solicitation can be initiated.

________________ WE DO INTEND TO SUBMIT A PROPOSAL

________________ WE DO NOT INTEND TO SUBMIT A PROPOSAL FOR THE FOLLOWING REASONS:

Name and Address of Organization (Include Zip Code):

Date: ______________

Typed Name and Title: ____________________________

Telephone: _______________________________

Fax: ___________________________

E-Mail Address: ________________________________________________________

Please e-mail to: Donelle.Mastropietro@dot.ny.gov; or Scott.Nussbaum@dot.ny.gov
### CONSULTANT CHECKLIST FOR PROPOSAL SUBMISSION

**NEW YORK STATE DEPARTMENT OF TRANSPORTATION**  
**REQUEST FOR PROPOSALS**  
**CPA AUDIT (CLOSEOUT) SERVICES FOR NYSDOT**  
**Contract #C037629**

#### Part I - Technical and Management Submittal

- 5 Printed and bound hard copies of Part I plus one copy of Part I on CD/Flashdrive in MS Office 2007 compatible format.
- Securely sealed and clearly labeled with the consultant’s name, address, and telephone number and the words “CPA Audit (Closeout) Services for NYSDOT RFP Part I — Technical and Management Proposal (C037629)”
- Signed Cover Letter on official business letterhead
- Table of Contents identifying each major section and page numbers
- Executive Summary of proposed approach
- Narrative Description
- Audit Services Approach and Management
- Organization and Staffing
- Experience
- Complete and submit Attachment #13: Key Personnel Resume and References

#### Part II – Cost and Administrative Submittal

- 5 Printed and bound hard copies of Part II plus one copy of Part II on CD/Flashdrive, in MS Excel 2007 compatible format
- Securely sealed and clearly labeled with the words “CPA Audit (Closeout) Services for NYSDOT RFP, Part II — Cost and Administrative Proposal (C037629)”
- Required Cost information (complete and submit Attachments 15-15d, Cost Proposal)
- Complete and submit Attachment 2: Consultant Information and Certifications (sign both Sections II and III)
- Complete and submit the Attachment 3: Procurement Lobbying Law Compliance Forms
- Complete and Submit Attachment 6: Diversity Practices Questionnaire
- Complete and submit Attachment 7: M/WBE Participation Information Form
- Complete and submit (if applicable) Attachment 7a: Subconsultant Participation Solicitation Log AND Goal Attainment Explanation Letter
- Complete and submit Attachment 8: SDVOB Participation Information Form
- Complete and submit (if applicable) Attachment 8a: Subconsultant Participation Solicitation Log AND Goal Attainment Explanation Letter
- Complete and submit Attachment 10: New York Business Reporting
- Complete and submit Attachment 11: Form AOR Acknowledgement of Receipt
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REQUEST FOR PROPOSALS
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INTRODUCTION

1.1 Purpose

The New York State Department of Transportation (NYSDOT) is soliciting proposals from certified public accounting (CPA) firms to perform audit services related to business entities participating in NYSDOT programs including, but not limited to:

- engineering firms;
- aviation, railroad, utility, transit operators;
- contractors; and
- municipalities.

The CPA firm(s) selected to provide audit services under this solicitation must be licensed to provide professional audit services in New York State and will be required (as part of this RFP’s evaluation process) to provide current peer review reports. These audit services may include financial audits and attestation engagements, including examinations, reviews, and agreed-upon procedures. The purpose of these services is generally to verify allowability of costs submitted for reimbursement under NYSDOT agreements.

Proposals including subcontracting arrangements, particularly with minority and women-owned business enterprises, are encouraged.

A business enterprise proposed to participate as a subcontractor, including a MBE, SDVOB or WBE, must be registered with the New York State Office of Professions as a certified public accounting firm, or if a sole practitioner, licensed as a certified public accountant authorized to perform public accounting work in New York State.

Proposals from joint ventures are not allowed.

1.2 Background

NYSDOT’s Contract Audit Bureau (CAB) is responsible for providing audit services to support NYSDOT’s contract payment and close-out activities. These services are generally conducted in accordance with Government Auditing Standards promulgated by the United States Government Accountability Office and/or the auditing and attestation standards of the American Institute of Certified Public Accountants (AICPA).

CAB requires the services of CPA firms to supplement its in-house staff. Firms selected will work under the direction of an assigned CAB audit manager.
NYSDOT currently has contracts with four CPA firms to perform the work described in this solicitation and anticipates contracting with up to three CPA firms under this solicitation. The hourly rate range currently paid under these awards is as follows:

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<th>High</th>
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<tbody>
<tr>
<td>Manager</td>
<td>$104</td>
<td>$153</td>
</tr>
<tr>
<td>Senior Auditor</td>
<td>74</td>
<td>93</td>
</tr>
<tr>
<td>Staff Auditor</td>
<td>52</td>
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These rates are for informational purposes only. Rates of new contracts will be based on a competitive Best Value procurement process.

1.3 Minimum RFP Responsiveness

Any firm that does not provide **all** of the following **by the RFP deadline** will be determined to be non-responsive and will be removed from further consideration (prior to the technical evaluation of proposals):

- Part I of the Proposal – Technical and Management submission
- Part II of the Proposal – Cost and Administrative submission
- Completion of all applicable attachments:
  - Attachments 15a-d Cost Proposal Worksheets
  - Attachment 2 Consultant Information and Certification Form
  - Attachment 3 Procurement Lobbying Law Forms
  - Attachment 6 Diversity Practices Questionnaire
  - Attachment 7 MBE and WBE Participation Form
  - Attachment 7a Subconsultant Solicitation Log
  - Attachment 8 SDVOB Participation Information Form
  - Attachment 8a SDVOB Subconsultant Participation Solicitation Log
  - Attachment 10 New York Business Reporting
  - Attachment 11 Form AOR
  - Attachment 12 Non-Collusive Bidding Certification
  - Attachment 13 Key Personnel Resumes and References
  - Attachment 14 Vendor Assurance of No Conflict of Interest or Detrimental Effect

1.4 Designated Contact

Potential responders are advised that under New York State Finance Law Section 139-j, communication on procurements can be made only to designated contact persons. The Department’s Designated Contact for this procurement is:

Primary Contact:
Donelle Mastropietro or Scott Nussbaum
New York State Department of Transportation
Contract Management Bureau
50 Wolf Road, 6th Floor
Albany, NY 12232, USA
E-mail: Donelle.Mastropietro@dot.ny.gov; Scott.Nussbaum@dot.ny.gov
The above named persons, as the Department’s Designated Contact for this procurement, shall be the Department’s only point of contact and source of information for this procurement.

1.5 RFP Modifications

If necessary, NYSDOT will issue Modifications to modify conditions or requirements of this RFP. Proposers are advised to visit the NYSDOT web site (https://www.dot.ny.gov/portal/page/portal/doing-business/opportunities/consult-opportunities) regularly to check for Modifications. The final Modification will be posted on NYSDOT’s web site not later than seven calendar days prior to the Proposal due date. If an additional Modification is required within seven days of the Proposal due date, the Proposal due date shall be revised such that there will be seven days from the final Modification to the Proposal due date.
2 CIVIL RIGHTS REQUIREMENTS

2.1 Disadvantaged Business Enterprise Participation

Not Applicable

2.2 Minority and Women-owned Business Enterprise Participation

While not indicative of a proposer’s individual merit (technical excellence, proposer’s ability, experience, etc.), the NYSDOT encourages the participation of certified Minority Business Enterprises and Women-Owned Business Enterprises in this solicitation. The level of Minority Business Enterprises (MBE) and Women-Owned Business Enterprises (WBE) participation will be relevant to the process of selecting proposals that will best achieve the overall goals of the Department. A directory of certified MBEs and certified WBEs is available at https://ny.newnycontracts.com/

For purposes of this solicitation, New York State hereby establishes an overall goal of 30% percent for MWBE participation, 12% percent for New York State-certified Minority-owned Business Enterprise (“MBE”) participation and 18% percent for New York State-certified Women-owned Business Enterprise (“WBE”) participation (based on the current availability of MBEs and WBEs). Only meaningful participation by either a prime consultant who is certified as an M/WBE or inclusion of subconsultant(s) who is/are certified as an M/WBE counts toward the MWBE, MBE and WBE participation goals. Participation of a firm that is certified as both a MBE and a WBE will only be counted toward one goal, and cannot be divided between the two goals. Meaningful participation is defined as providing commercially useful functions or services. These services should:

- Result in a product or service distinguishable from the Prime Consultant’s product or service or be a part of the services provided by the Prime Consultant,
- Be for scope of service elements which can be and are completely performed, supervised and managed by the MBE and/or WBE consultant, and/or
- Perform significant tasks which can be considered commercially marketable.

Interested proposers should verify their commitments to the above established M/WBE participation goal by completing Attachment 7 M/WBE Participation Information. For participation to count towards the M/WBE goals set for this solicitation, the offered MBE and/or WBE participating firm must be currently certified by Empire State Development. If the proposal does not meet all of the following: MWBE participation goal of 30% percent; MBE participation goal of 12% percent; WBE participation goal of 18% percent, then the firm must provide evidence of a good faith effort by completing Attachment 7a Subconsultant Participation Solicitation Log.

Additionally, if the firm does not meet the specified goals, the firm must include in its submission a Goal Attainment Explanation Letter explaining why the firm was unable to meet the applicable MWBE, MBE or WBE goal (in full or if partially), which serves to substantiate the firm’s good faith effort. The letter should include sufficient justification as to why the goal was not met or was met partially and should at a minimum address the
following factors: the potential firm’s method of accomplishing the work, the subcontracting opportunities associated with the proposed approach and scope of services, and the availability of certified firms for the work to be performed by either a prime consultant or via subcontract.

A prime consultant who does not satisfy the MWBE, MBE and WBE goals through their own meaningful participation must make a good faith effort to include M/WBE subconsultants in their proposal.

The above forms and letter must be included in Part II: Cost and Contract submission. Firms are advised to refer to Section 6.2 for the procedure the Department will follow in evaluating a firm’s proposed MBE and WBE participation.

2.3 Liquidated Damages

In accordance with 5 NYCRR § 142.13, the respondent further acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in a Contract resulting from this RFP, such finding constitutes a breach of contract and NYSDOT may withhold payment as liquidated damages.

Such liquidated damages shall be calculated as an amount equaling the difference between: (1) all sums identified for payment to MWBEs had the Contractor achieved the contractual MWBE goals; and (2) all sums actually paid to MWBEs for work performed or materials supplied under the Contract.

By submitting a bid or proposal, a respondent agrees to demonstrate its good faith efforts to achieve the applicable MWBE participation goals by submitting the Subconsultant Participation Log and Goal Attainment Letter referenced in Section 2.2 above.

2.4 Service-Disabled Veteran-Owned Business Program (SDVOB)

New York State has established a participation goal of 6% for this solicitation. Only meaningful participation by either a prime contractor who is certified as an SDVOB or inclusion of subcontractor(s) who is/are certified by the NYS Division of Service-Disabled Veterans’ Business Development (DSDVBD) as an SDVOB counts toward the SDVOB participation goal. Meaningful participation is defined providing commercially useful functions or services.

These services should:

- Result in a product or service distinguishable from the Prime Contractor’s product or service or be a part of the services provided by the Prime Contractor,
- Be for scope of service elements which can be and are completely performed, supervised and managed by the SDVOB Contractor, and/or
- Perform significant tasks which can be considered commercially marketable.

For a listing of current certified SVDOBs and how a firm can become certified as a SDVOB, please visit the New York State Office of General Services at: http://ogs.ny.gov/core/sdvoba.asp.

Interested proposers should verify their commitments to the above established SDVOB participation goal by completing Attachment 8: SDVOB Participation Information. For
participation to count towards the SDVOB goal set for this solicitation, the offered SDVOB participating firm must be currently certified by Empire State Development. If the proposal does not meet the 6% percent SDVOB participation goal, the firm must provide evidence of a good faith effort by completing **Attachment 8a: SDVOB Subcontractor Participation Solicitation Log.**

**Additionally, if the firm does not meet the specified goal,** the firm must include in its submission a **Goal Attainment Explanation Letter** explaining why the firm was unable to meet the applicable SDVOB (in full or if partially), which serves to substantiate the firm’s good faith effort. The letter should include sufficient justification as to why the goal was not met or was met partially and should at a minimum address the following factors: the potential firm’s method of accomplishing the work, the subcontracting opportunities associated with the proposed approach and scope of services, and the availability of certified firms for the work to be performed by either a prime contractor or via subcontract.

A prime consultant who does not satisfy the SDVOB goals through their own meaningful participation must make a good faith effort to include SDVOB subconsultants in their proposal.

The above forms and letter must be included in Part II: Cost and Administrative submittal. Firms are advised to refer to Section 6.2 for the procedure the Department will follow in evaluating a firm’s proposed SDVOB participation.

### 2.5 Diversity Practices

NYSDOT evaluates the diversity practices of primes to ensure that certified minority and women-owned businesses are given the opportunity for maximum participation in state contracts. Diversity practices are a legal requirement and may include past, present or future actions and policies which show interaction in developing M/WBE firms. Interested proposers should complete Attachment 6, Diversity Practices Questionnaire, which will be evaluated during the procurement process.

### 2.6 Title VI Assurance

The New York State Department of Transportation (NYSDOT), in accordance with Title VI of the Civil Rights Act of 1964, 78 Stat. 252, 42 U.S.C 2000d to 2000d-4 and Title 49, Code of Federal Regulations, U.S. Department of Transportation, Subtitle A, Office the Secretary, Part 21, Nondiscrimination in Federally-assisted programs of the U.S. Department of Transportation and Title 23 Code of Federal Regulations, Part 200, Title VI Program and Related Statutes, as amended, issued pursuant to such Act, hereby notifies all who respond to a written NYSDOT solicitation, request for proposal or invitation for bid that it will affirmatively insure that in any contract entered into pursuant to this advertisement, disadvantaged business enterprises will be afforded full opportunity to submit bids in response to this invitation and will not be discriminated against on the grounds of race, color, national origin, sex, age, disability/handicap and income status in consideration for an award.
2.7 Equal Employment Opportunity – Pay Equity

In Accordance with New York State Executive Order 162, issued on January 9, 2017, the Operator shall provide workforce utilization reports in accordance with RFP Section 8.1 “Draft Contract”, Article 33 and Appendix C.

3 PROJECT AND CONTRACT OBJECTIVES

3.1 Project Objectives
CAB will procure the services of CPA consultant firms to meet NYSDOT’s need for Closeout Audit services.

3.2 Contract Objectives
The Contract Objective is to select responsive, responsible, experienced and knowledgeable consultants via a fair and equitable Best Value Request for Proposal (RFP) process. Terms and conditions will be as stated in section 3.4 and Attachment 1 of this RFP.

NYSDOT has numerous engineering and design related agreements, most of which are funded with federal aid. NYSDOT is required to conduct close-out audits upon completion of projects to provide assurance to the Federal Highway Administration that costs were billed in accordance with contract provisions and Federal Acquisition Regulation (FAR) cost principles. This includes ensuring that consultants and contracting parties have charged the correct cost elements and the amounts are allowable.

Cost elements billed usually consist of direct technical labor, payments to subcontractors, payments to sub-consultants, direct non-salary costs, overhead, equipment, and materials. Consultant agreements for the procurement of inspection, engineering, design, bridge and architectural services, account for most of the closeouts performed. The balance of assignments are made up of rail, utility, aviation and other miscellaneous contracts and grant agreements entered into by NYSDOT.

CAB receives approximately 70 closeout assignments per year. In addition, NYSDOT has a backlog of assignments from prior years. The contracts resulting from this RFP will allow for assignment of those closeout audits to consultant CPA firms.

3.3 Definitions and Acronyms
- **The New York State Department of Transportation:** NYSDOT; used interchangeably with “The Department.”
- **Best-Value:** The basis for awarding contracts for services to the offerer which optimizes quality, cost and efficiency, among responsive and responsible offerer. Such basis shall reflect, wherever possible, objective and quantifiable analysis.
- **CPA firm:** Certified Public Accounting firm.
- **FAR:** Federal Acquisition Regulations
- **Prime Consultant:** The primary proposing entity; the firm with which NYSDOT will have a contract if the firm should be selected; used interchangeably with “Offerer,” “Proposing firm” and “Prime.”
- **Subconsultant:** A CPA firm contracted by a Prime Consultant to provide specific services under a specific contract.
• **Managing Auditor:** An auditor who oversees audit work and has a minimum of five (5) years professional audit experience and minimum of four (4) years of supervisory responsibility for subordinate staff.

• **Senior Auditor:** An auditor with three or more years of professional audit experience.

• **Staff Auditor:** Performs audit work.

• **Capacity:** The ability to hold, receive, contain; for the purposes of this solicitation, capacity represents the maximum amount of assignments the best value firm can accept at the current time and complete within the established time frames as included in the RFP/resulting contract.

• **Managing Partner:** Partner of the Prime Consultant firm who will oversee the work.

### 3.4 Contract Terms and Rate Adjustments

The Department estimates that the work for the successful consultant(s) will commence on or about January 15, 2018. The base term or duration for the contract is three (3) years. The contract may be extended for up to two (2) additional one (1) year periods upon written agreement of both parties and approval by the Office of the State Comptroller.

NYSDOT may award up to three (3) contracts through this solicitation. Fiscal constraints may play a determining factor in the number of contracts awarded through this solicitation. Furthermore, NYSDOT is under no obligation to use any or all of the funding allocated to a particular agreement and is not obligated to make a minimum number of assignments. NYSDOT will only be liable for services it requests and are satisfactorily completed by the CPA firm pursuant to the agreement terms.

It is anticipated that the total value of all contracts awarded through this solicitation will be approximately $400,000 annually (up to 3 contracts may be awarded). Individual contract values will be determined by the final best value ranking. Work will be assigned as explained in section 4.3 of this RFP. Continued use of agreements will be based on resource needs, available funding and the demonstrated abilities of the selected CPA firms to complete assigned work effectively and promptly in accordance with agreement terms, approved audit plans and satisfactory performance.

Each contract awarded will have an estimated amount included as the Maximum Amount Payable and will be based upon estimated usage; with the highest best value ranked firm getting the most funding. *If during the life of the contract the amount awarded to the best value firm has been reached; that agreement may be amended by adding additional funds to that agreement and reducing funds for the lower ranked firms (the mechanism to change values will be discussed during Contract Finalization with the designated firm(s))*.

**NOTE:** NYSDOT is imposing a not to exceed “Composite Rate” of $125.00 (reference **Attachment 15** for more information). A Composite rate exceeding $125.00 will not be considered or evaluated.

If the contract is extended for the optional years, the Producer Price Index (PPI) as published by the U.S. Department of Labor, Bureau of Labor Statistics, or 2%, whichever is lower, will be used as a basis for adjusting the hourly rates and lump sum deliverable amounts. The rate adjustment will be effective on January 15 and calculated using the previous October Index, using Series ID PCU5412115412114 (Offices of certified public
accountants, Financial auditing https://data.bls.gov/timeseries/PCU5412115412114?data_tool=XGtable). If at any time the above Index Series ID is discontinued or becomes unavailable, the State reserves the right to implement a comparable Index.

An example of the rate adjustment calculation is as follows (all numbers and titles used are for illustrative purposes only):

Staff Auditor 1/1/12 - 12/31/12 Billing Rate $70.00/Hour
October 2012 PPI Index (PCU5412115412114) 147.9
October 2011 PPI Index (PCU5412115412114) 144.8
Index Point Change 3.1
Divided by previous Index 144.8
Percent change, rounded to nearest tenth 2.1%
Staff Auditor 1/1/13 – 12/31/13 Billing Rate ($70 x 2%) $71.40/Hour

If the actual start of the contract is substantially different than the above estimated date, then the effective date for the rate adjustment will be similarly changed.

The State reserves the right to negotiate a lower rate adjustment than stated above for the two additional one-year extensions.

3.4.1 Consultant Performance

Consultant performance will be evaluated using Consultant Performance Evaluation Ratings which shall be entered and approved in NYSDOT’s web based application, The Consultant Performance Evaluation System (PERF). Consultant performance evaluations must be completed:

1. Annually, with an initial Interim Evaluation (at one year from the date of the Office of the State Comptroller’s approval signature, or actual start of work) for each Prime and Sub-consultant,
   a. additional Interim Evaluations are accomplished on the yearly anniversary thereafter or whenever there is a material change in the work being done or quality of consultant’s performance, and

2. Completion / Close-out / acceptance of all work
   Final Evaluations are accomplished at the contract end and the completion of all work by the consultant(s) and the contract close-out is to be performed.

4 SCOPE OF SERVICES

4.1 Overview

The CPA firm shall perform audit services in accordance with GAO Government Auditing Standards for Financial Audits or Attestation Engagements and/or AICPA Generally Accepted Auditing Standards or Statements of Standards for Attestation Engagements. These services would include: preparing written audit plans, compiling audit
documentation and preparing written reports, and if requested, attending appeal hearings and meetings to address disagreements related to audit findings.

In addition to competencies and qualifications required for CPA firms to provide auditing services in New York State, firms must demonstrate knowledge and experience with the following regulations and guidance:


- Federal Highway Administration (FHWA) rules for reimbursement of consultant engineering services (23 CFR Part 172 Administration of Engineering and Design Related Services)
  [http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?&c=ecfr&tpl=/ecfrbrowse/Title23/23tab_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?&c=ecfr&tpl=/ecfrbrowse/Title23/23tab_02.tpl)

- American Association of State Highway and Transportation Officials (AASHTO) Uniform Audit and Accounting Guide for audits of Architectural and Engineering (A/E) Consulting Firms*

- Cost Accounting Standards (CAS), (48 CFR Part 99)

- FHWA Rules for Reimbursement of Railroad Work, (23 CFR, Parts 140.9)
  [http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?&c=ecfr&tpl=/ecfrbrowse/Title23/23tab_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?&c=ecfr&tpl=/ecfrbrowse/Title23/23tab_02.tpl)

- FHWA Rules for Utility Reimbursement, (23 CFR, Part 645 - UTILITIES)
  [http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?&c=ecfr&tpl=/ecfrbrowse/Title23/23tab_02.tpl](http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?&c=ecfr&tpl=/ecfrbrowse/Title23/23tab_02.tpl)

- American Association of State Highway and Transportation Officials (AASHTO) Guide for Railroads

  *This guide must be purchased.*

In addition to the above it would be beneficial to demonstrate any experience related to conducting audits of [1] localities which administer Federally-aided highway projects and [2] Statewide Transportation Operating Assistance recipients. Information about these programs can be found at the following web addresses.

- Office of Management and Budget (OMB) Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards (2 CFR 200)
  [https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2 CFR 200_main_02.tpl](https://www.ecfr.gov/cgi-bin/text-idx?tpl=/ecfrbrowse/Title02/2 CFR 200_main_02.tpl)

- NYSDOT Locally Administered Federal-aid Project Manual
4.2 Categorization of Work

The following are typical audit assignments:

**Desk Closeout Audits** - These are attestation agreed-upon procedure assignments performed to provide limited assurance that billed amounts are allowable and supported per agreement terms. These audits will generally consist of the following two types:

- Specific Hourly Rate (SHR) contracts; and
- Non-SHR contracts (e.g. cost plus contracts).

SHR contracts typically require fewer hours to complete because they do not require testing of the individual cost elements of the SHR rate (e.g. no testing of overhead costs or verification of actual direct labor cost incurred).

Outlined below are procedures that NYSDOT and/or its CPA consultants have historically performed on such engagements. **Desk closeout assignments are expected to account for at least 80-90 percent of the assignments made under this contract,** with most of those being closeouts of architectural/engineering agreements.

**Planning**

- Based on review of information referenced below, and other factors as deemed appropriate for the audit, determine the level of risk of overpayment and document the risk assessment in a planning document (in a format provided by CAB).
  
  - Contract documents - understand contract type, dollar amount, effective dates, and relevant terms;
  
  - Auditee history and related audit reports – will be provided by CAB from its audit database;
  
  - The schedule of billed costs (SOBC) submitted by consultant/contractor. Schedule is detailed by cost elements and payment estimate. If SOBC was not required (required for all Architectural/Engineering (A/E) agreements designated after January 1, 2009) or available, develop such a schedule from hard copy payment requests;
  
  - Understanding of consultant job manager (CJM) payment control process and understanding of any CJM payment concerns.

- Modify template desk procedures provided by NYSDOT as warranted based on firm’s risk assessment and other planning information and include in planning document. Submit planning document to NYSDOT for approval.
Planning document includes but is not limited to: procedures for appropriate cost elements; details of planned sampling methodology; and dates for initiating and completing work in accordance with the terms of the contract.

Testing
- Compare labor hours billed to firm payroll/accounting records
- Compare titles to firm accounting records and NYSDOT salary rosters to ensure they are allowable
- Compare labor rates billed to contract maximum rates and firm payroll/accounting records.
- If material, review direct non-salary costs for support and allowability.
- If overhead is an allowable cost element (applicable for non-SHR agreements), compare overhead billed to NYSDOT indirect cost rate evaluations (or consultant submitted audited overhead reports if NYSDOT did not perform such evaluation) and contract terms to determine if any overbilling occurred.
- If fee is an allowable cost element, compare fee to fixed contract allowable amount.

Field Closeout Audits - Field closeout assignments are typically performed when it is determined that an audit cannot effectively be performed on a desk basis, and typically requires more comprehensive audit procedures than a desk audit. These are engagements performed in accordance with Government Auditing Standards for Attestation Engagements or AICPA Statements on Standard for Attestation Engagements attestation standards. They are attestation examination assignments performed to provide reasonable assurance that submitted costs are allowable per contract terms and applicable cost principles. The examination generally includes an audit of direct and indirect costs as well as special agreement terms. Audit procedures will be performed based on risk assessment.

Miscellaneous Audits - Specific criteria and practices will apply to different types of auditees. Utilities and railroads may be subject to periodic examination of controls and billing procedures. Agreed-upon procedures may be assigned to ensure municipal auditee compliance with Office of Management and Budget (OMB) Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards (2 CFR 200). Other work may be assigned using criteria and agreement terms applicable to aviation, State Transportation Operating Assistance, and municipalities. The AASHTO Railroad Audit Guide and the NYSDOT Locally Administered Federal Aid Project Guide are available on the NYSDOT website (link provided above). Federal regulations governing railroad and utility work are available on Federal websites under 23 CFR (see references in Section 4.1).

Other Services – CPA firms may be requested to provide staff resources for specific assignments, e.g. Single Audit sub-recipient monitoring to meet the requirements of (OMB) Uniform Administrative Requirements, Cost Principles and Audit Requirements for Federal Awards (2 CFR 200), reviews of Personal Net Worth (including non-DBE business evaluations) in accordance with Federal Disadvantaged Business Enterprise certification eligibility requirements contained in 49 CFR 26, etc.
NYSDOT will award the contract(s) to the 3 highest ranked best value firms. Audit assignments will be made to the highest ranked best value firm unless the firm’s capacity and any special conditions as outlined below warrant making the assignment to the second best value firm. NYSDOT considers a firm to be at capacity once the firm has reached a maximum of 35* assignments concurrently. If the highest ranked firm is at capacity, the next highest ranked best value firm would be offered the assignment(s). This process will follow through to the lowest ranked best value firm. When CAB makes an assignment, it will adhere to the following procedural steps:

1. Is the highest ranked best value firm at capacity?
   a. If not, assignment designation continues to the highest ranked best value firm and onto step two below.

2. Special conditions (such as the following) apply:
   a. Conflict of Interest Exists – Lack of Independence
   b. Specialized Expertise Required (e.g. fraud allegation)
   c. High Priority/Urgent Assignment

If any “special conditions” apply, the firm will be asked how it will handle the “special conditions.” If CAB determines the firm is not the appropriate firm to handle the assignment, then the assignment will be considered for the next highest best value firm – procedural process will begin again with the next best value firm.

*The maximum number of assignments may be adjusted within a range of 10 assignments, as approved by NYSDOT.

4.4 Audit Assignment Process

CAB will notify the CPA firm in writing to perform assignments under this agreement. NYSDOT will also provide via its TeamMate software (see additional detail on TeamMate in Section 4.6), procedures typically performed for the type of engagement assigned. The CAB reserves the right to make a final decision to apply attestation standards and the right to make final determinations regarding the interpretation of standards regarding work performed under the contract.

Once an assignment is made, the CPA firm must plan its engagement. Unless assigned as a field assignment, the CPA firm shall complete their planning activities and document such in a planning document. The CPA firm must notify its CAB Manager within 30 days of notification of an audit assignment by CAB that the planning document, approved by the CPA firm’s management, is available via TeamMate for CAB approval. NYSDOT will provide a template for the planning document. Modifications to the document must be approved by NYSDOT.

Planning activities typically include, but are not limited to, reviewing work papers, permanent files, and contract and expenditure files as well as the planning procedures outlined in Section 4.2. Periodically, when such records exist only in hard copy format, review of these records must occur at CAB’s office in Albany, New York.

NYSDOT expects designated CPA firms to independently assess and, as warranted based on their risk assessment, recommend modified or additional procedures (from
those typical procedures provided via TeamMate at the time of audit assignment) to improve the efficiency and effectiveness of the audit. Towards that end, the consultant CPA’s planning document must also [1] assert that NYSDOT template procedures will suffice and will be performed [2] specify that NYSDOT template procedures will generally be performed but modifications (specified in the planning document) are proposed or [3] specify alternative procedures to be performed.

The planning document must recommend whether a desk assignment continues to remain appropriate or whether a field assignment is warranted. Audit testing must not be performed until CAB approves the planning document.

**Desk Assignments**

Upon completion of approved audit procedures, the CPA firm shall notify its CAB Manager that a draft audit report is available in TeamMate for CAB for approval. Once approved, the CPA firm must send copies of the draft report to the auditee and any subconsultants of the auditee whose costs were tested\(^a\). The CPA firm will give the auditee and subconsultant(s) 15 calendar days to reply to the draft report, which must indicate the firm’s acceptance or disagreement. The CPA firm may afford one time extension of 15 calendar days, if the consultant requests. Upon fully responding to any comments raised in response to the draft report, the CPA firm shall prepare the final audit report in accordance with applicable reporting standards. The CPA firm shall notify CAB within 90 calendar days from the date of the assignment that copies of the final report and work papers are available in TeamMate.

Desk closeout audits will have pre-determined and agreed-upon budgets (as submitted on proposer’s Attachment 15b) for SHR and non-SHR closeouts respectively. As detailed in Section 5.2.2, additional compensation will be considered when circumstances as described in that section exist.

**Field Audit Assignments**

For engagements requiring field work, the CPA firm shall within 60 days of assignment notification, inform CAB that a completed audit planning memorandum (APM) is in TeamMate for its review and approval. The APM shall include the following:

- The scope of work and audit approach;
- The type of report (examination, review, or agreed upon procedures) to be issued;
- An assignment budget which includes identification of planned hours by job title and individual name; and a total cost estimate (by principal cost categories) including anticipated travel costs;
- Dates for initiating and completing work in accordance with the terms of the contract, including date workpapers and final report will be provided to CAB for final approval and issuance.

\(^a\) Or if directed by NYSDOT, to all subconsultants/subcontractors paid under the contract.
• Identification of control weaknesses about the accounting system identified in prior audit reports or through audit planning and any proposed follow-up actions required;

• Identification of all interim, overhead, sub-consultant, and any other relevant auditors’ reports;

• A summary of billed costs (or recapitulation of costs) to be audited by cost category, Project Identification Numbers, and fiscal year;

• A discussion of sampling approach, including the number and nature of the transactions to be tested; and

• Evaluation and explanation of overall risk and risk for specific cost categories.

If an on-site visit is required to adequately plan the assignment, the CPA firm must notify CAB and obtain pre-approval for the on-site planning visit.

If CAB and the CPA firm cannot agree on an APM, the CAB can recall the assignment. The process and requirements pertaining to recall of an assignment is outlined in the section below.

If CAB accepts the APM and budget, CAB will notify the CPA firm to begin fieldwork. Fieldwork shall not be performed prior to receiving CAB approval. This notification will be transmitted by email and should be retained in the audit work papers.

Upon completion of field work, the CPA firm shall conduct an exit conference with the auditee. Exit conference notes shall be recorded in TeamMate within 15 calendar days of the date of the exit conference. Within 30 calendar days of the exit conference or receipt of additional information from the firm whichever is later, the CPA firm shall complete a draft audit report (including proposed adjustments or other reportable conditions), have it approved by the firm’s management, and notify CAB that it is ready in TeamMate for approval. Upon CAB approval, the draft report must be issued, and the final report be progressed, as described in the “Desk Assignments” sub-section in Section 4.4. Unless otherwise approved, the CPA firm shall notify CAB by the date specified in its approved APM that copies of the final report and work papers are available in TeamMate.
Recall of an Assignment
An assignment may be recalled and appropriate compensation, as deemed by NYSDOT, made for work completed. If NYSDOT notifies a firm that it is recalling an assignment, the CPA firm must submit all work performed on the assignment to date within ten (10) calendar days of the notification. All documents pertaining to the assignment are the property of NYSDOT. To be eligible for compensation for partial work, the CPA firm is required to provide a detailed report from its accounting system (e.g. job cost ledger) of costs incurred on the assignment, including employees who worked, hours, rates, and direct non-salary costs. Any compensation by CAB will not necessarily be for costs incurred. The determination will consider the value of the product(s) received and the efficiency of procedures performed.

C. Audit Appeals

If there is an audit appeal, the CPA firm will be required to prepare a written response for each issue identified in the auditee’s statement of facts. CAB may also request the partner, manager, senior and/or staff who worked on the assignment to attend and/or participate in meetings related to the appeal in Albany, New York.

D. Confidentiality

The CPA firm explicitly agrees, by responding to this RFP, to maintain the confidentiality of all information pertaining to assigned auditees and to use such information only for the purposes assigned.

As indicated in the Consultant Checklist at the beginning of this solicitation, should this solicitation lead to contract designation(s), the Prime consultant(s) and subconsultant(s) will be required to sign non-disclosure agreements.

4.5 Anticipated Resource Requirements

The anticipated level of effort required annually is approximately 3,000 hours (although the actual level of utilization will vary by contract based on Best Value ranking and the capacity of the Best Value ranked firm). Assignments will be made consistently throughout the year. Resource availability and audit progress should not be negatively impacted by a firm’s “busy season” such as tax season. Proposals should clarify how the firm’s effort will remain consistent during the contract period.

Estimated effort for individual assignments is as follows:

<table>
<thead>
<tr>
<th>Audit Type</th>
<th>Estimated Effort Per Assignment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Desk Closeout audits (Non-SHR Contracts)</td>
<td>60-75 hours</td>
</tr>
<tr>
<td>Desk Closeout audits (Specific Hourly Rate Contracts)</td>
<td>40-45 hours</td>
</tr>
<tr>
<td>Field Closeout Audit</td>
<td>Varies</td>
</tr>
<tr>
<td>Miscellaneous Audits</td>
<td>Varies</td>
</tr>
<tr>
<td>Other Services</td>
<td>Varies</td>
</tr>
</tbody>
</table>
4.6 Electronic Audit Documentation

CAB uses TeamMate software for electronic work papers. CPA firms under contract with NYSDOT must use TeamMate to document NYSDOT assignments. NYSDOT shall provide user access to NYSDOT’s TeamMate environment and applicable software licenses. CAB will have direct access to CPA work recorded on TeamMate. CPA firms must record their work in TeamMate on a contemporaneous basis.

To access TeamMate on NYSDOT’s system the firm will be required to submit a signed Non-Disclosure agreement. TeamMate licenses provided as a result of this RFP will be rescinded via written notice at the end of the contract or earlier if deemed necessary by NYSDOT (determined on a contract by contract basis solely by NYSDOT).

Prior to initial assignment, NYSDOT will provide the necessary training to any Prime firm awarded a contract as a result of this RFP. Prime consultants will be responsible for providing training/support to subconsultants. If a firm/firm team currently uses/has TeamMate it should be clearly specified in the proposal’s audit services approach.

4.7 Oversight and Administration

1. One or more project managers will be designated by CAB to coordinate and monitor work performed by the CPA firms engaged under this RFP. The CPA firm, however, should not consider this individual as a staff resource. The ultimate responsibility for obtaining necessary information and completing each audit is the responsibility of the CPA firm.

2. The CPA firm shall provide by the 5th of the month written monthly progress reports to the CAB showing the status of all on-going and open assignments. The status report shall include the status of each audit (e.g. draft sent/comments received, final, etc.). CAB will provide the specific format and data fields of the report. At its discretion, CAB can modify the data fields and format as its needs warrant, including requiring more frequent reporting and/or supplementing the written report with conference calls. There is no additional payment for this work item.

3. At the completion of each assignment, the CPA firm will be required to submit the actual hours expended to complete the audit. This data will be used for planning future assignments.

4. As described in Section 3.4 of this RFP, CAB will conduct an annual performance evaluation (supplemented by interim reviews as appropriate and at the Department’s discretion) for each firm (prime and subs if applicable) awarded a contract as a result of this solicitation. The performance evaluation will assess the demonstrated abilities to complete assigned work effectively and promptly in accordance with agreement terms and approved audit plans. CAB will notify the CPA firm of any corrective action required. The CPA firm shall respond in a timely manner, as determined by CAB, to acknowledge and complete any corrective action needed and shall provide written notice to CAB of actions taken and follow-up performed. These performance evaluations will be utilized by NYSDOT to assist in determining assignments made to these contracts, whether to exercise its option to extend the contracts and to assist in future procurements for the same/similar service.
PROPOSAL FORMAT AND CONTENTS

For the purposes of evaluation, each proposal must be submitted in two parts, bound separately. Part I shall consist of the Technical and Management submittal. Part II is the Cost and Administrative submittal. Each part of the proposal must be complete in itself in order that the evaluation of both parts can be accomplished independently and concurrently, and the Technical and Management submittal can be evaluated strictly on the basis of its merits. Cost information is not to be included in the Part I submittal. Your proposal should follow the format listed below.

Web links, photographs, and illustrations (except for the organizational chart) are not to be included unless specifically required in this section.

NOTE: NYSDOT will protect confidential and proprietary information from disclosure to the extent permitted by the Freedom of Information Law (“FOIL”), Article 6 of the Public Officers Law. If an offerer believes information included in their proposal is confidential and proprietary, they should identify those page(s) of their proposal which contain such information as “confidential and proprietary”. Additionally, offerers need to explain the reason(s) why this information should be considered exempt from public disclosure under FOIL. This information is to be provided in the Cover Letter.

Note: Cost information is not to be included in the Part I submittal, and Technical and Management information is not to be included in Part II submittal.

5.1 Part I: Technical and Management Submittal

Part I shall include the following sections:

1. Cover Letter, and Title page, indicating:

Name, address and phone number of the proposer, and the name, title, address, email, and telephone number of person(s) with authority to negotiate and who may be contacted during the procurement process. Provide a brief description of the proposed approach, work effort and resulting product. Confidential and proprietary information should also be identified and addressed in this section. Not to exceed a single page.

2. A Table of Contents.

3. Narrative Description

Provide a discussion on the important issues involved in the implementation of this effort. Include enough substantive discussion to demonstrate an understanding of NYSDOT contract objectives and familiarity with applicable laws, rules, etc.

4. Audit Services Approach and Management, Quality Assurance and Scope of Services

a. Audit Services Approach and Management

Provide a narrative of the Proposing firm’s proposed audit approach for the contract auditing services solicited in this RFP. This must be provided by all
proposers. Fully detail and explain your approach and management of the requested audit services. The following should be included in your narrative:

- How the workload assigned under this RFP will be managed;
- How resources will be allocated to the assignments;
- How individual assignments will be supervised;
- Risk factors that will be considered in planning various types of audits;
- Process for reliance on other audit work;
- Use of technology; and,
- Any innovative audit approaches used by the Proposing team.

b. Quality Assurance
Provide a quality assurance plan for the proposed work showing how the proposer complies with the Government Auditing Standards. The plan should indicate how the firm conducts audits in accordance with the Standards and has an appropriate internal quality assurance system in place. Include the firm’s most recent peer review report including any corrective actions taken or planned in response to any reported findings.

Provide the same information (Audit Services Approach and Quality Assurance) for any subconsultants proposed.

5. Organization and Staffing

The qualifications and prior experience of the proposer are of great importance to NYSDOT. The Consultant will create an organization chart that describes reporting relationships of all key personnel identified in this section. The Consultant will be responsible for providing the following key personnel:

Managing Auditor: An auditor who oversees audit work and has a minimum of five (5) years professional audit experience and minimum of four (4) years of supervisory responsibility for subordinate staff.

Senior Auditor: An auditor with three or more years of professional audit experience.

6. Experience of Key Personnel and the Firm

The certifications, knowledge, and prior experience of the proposing firm team and key staff are of great importance to NYSDOT. Considerations important to NYSDOT include:

- a demonstrated working knowledge of Federal Cost Principles,
- prior experience performing closeout audits for a government agency;
- experience with financial and compliance auditing of government contracts and contractor overhead rates;
- ability to complete projects efficiently and within Audit budget and schedule;
- ability to identify unallowable costs;
- a demonstrated working knowledge of Government Auditing Standards and AICPA Statements of Standards for Attestations Engagements;
- experience evaluating and analyzing cost accounting systems and procedures for compliance with contract financial agreement terms and applicable requirements; and
- disclosure of any conflicts or potential conflicts of interest, e.g. your firm or one of the staff you propose perform audit work for a consultant engineering firm with which NYSDOT has contracts.

These considerations must be addressed when the proposing firm/team describes the experience of the key personnel and the experience of the firm(s).

a. Experience of Key Personnel

It is the proposing Prime firm’s responsibility to ensure it proposes staff who are eligible to provide the subject services. Key personnel named in your proposal are those individuals who will be available (committed) to do the work described in this RFP.

Proposers must use Attachment 13 to detail the experience of proposed key personnel. Attachment 13 is required in addition to submission of resumes for key personnel. This information will be used for evaluation of criteria as outlined in Section 6.3 below.

The Key Personnel (as identified in Attachment 13) proposed by the designated Consultant are an important factor in the evaluation of its proposal. Thus, the Department expects that the personnel proposed will be available at the start of the contract term. As a result, any personnel proposed by the designated Consultant that does not perform the required work under the contract for the initial 30 calendar days after the effective date of the Notice to Proceed will, at NYSDOT’s discretion, result in a $10,000 charge per personnel title as Liquidated Damages.

In addition, if at any time during the term of the contract a member of the Consultant’s Key Personnel needs to be replaced, the Consultant shall have 30 calendar days to submit a qualified Candidate (same level of experience and expertise) to NYSDOT for approval. In the event the Consultant is unable to provide a qualified Candidate within 30 calendar days, and NYSDOT must use in-house NYSDOT staffing, or NYSDOT must hire a separate consultant to provide the personnel, NYSDOT will, at its discretion:

- Charge and bill the Consultant $100/hour for the use of in-house NYSDOT personnel, or
- Charge and bill the Consultant a 10% administrative fee on top of and in addition to whatever NYSDOT is billed by an out-of-house consultant. If, for example, NYSDOT must hire a separate consultant to provide a service at $100/hour, NYSDOT will charge and bill the Consultant $110.

The determination that a Candidate is “qualified” is the sole decision of NYSDOT. All amounts specified above will be billed as an off-set against future Consultant invoices.
Incomplete submission of Attachment 13 may result in a determination of non-responsiveness. Resumes submitted for proposed key personnel shall be no more than two pages in length each. It should be clear from Attachment 13 and the resumes if an individual is a current full-time or part-time employee of the Prime or the subconsultant firm. Attachment 13 and the resumes should not offer conflicting information.

If subconsultants are proposed, provide the same information requested for those key personnel as explained above.

Key personnel are defined as managing auditors and senior auditors (described below) who are proposed to do the work outlined in this RFP. Staff auditors to be assigned do not have to be named. Partner experience may be shown.

The minimum experience requirements for managing auditor and senior auditor are as follows:

- Managing Auditor - A minimum of five (5) years professional audit experience with a minimum of four (4) years of supervisory responsibility for subordinate staff.
- Senior Auditor - Three (3) or more years of professional audit experience.
- Account Manager - The Account Manager is responsible for managing all account, invoice and payment activities. The Account Manager will also be responsible for any contractual matters.

Note: The Account Manager and the Managing Auditor may be the same person.

Note: Professional audit experience is defined as experience meeting the requirements established by New York State to be granted a CPA license. This experience is further defined at [http://www.op.nysed.gov/prof/cpa/cpalic.htm#exp](http://www.op.nysed.gov/prof/cpa/cpalic.htm#exp)

The proposing firm is required to submit its proposal in accordance with the above title structure. In addition, the title of staff auditor is required in the cost proposal (see below). Other titles a firm may use, such as “supervisory auditor”, etc. should be re-defined in accordance with the above structure. NYSDOT reserves the right to deem proposals which include a title structure other than the above, which cannot be clearly correlated with those presented above, as non-responsive.

Therefore, the required title structure to use when submitting proposals (for both Prime and Subconsultant firms) in response to this solicitation is.

- Managing Auditor
- Senior Auditor
- Staff Auditor

b. Experience of the Firm
For each office of the firm where proposed staff is located, including subconsultants, affiliates or other personnel, identify the following:

- Offerors permanent office location(s);

- Total annual professional staffing resources (full-time equivalent hours) and the source (staff, out-source, sub-contract) devoted to auditing services, government auditing, and government contract auditing (by category);

- Total professional staff resources available for assignments to be made as a result of this RFP and subsequent contract award;

- Clients serviced currently or during the last three-year period involving government audits or audits of government contracts, including government contract auditing services;

- Clients serviced currently or during the last three-year period involving audits of engineering, railroad, aviation, or utilities industries. Include the nature of services provided (auditing, consulting); and,

- Balance of annual resources devoted to non-audit services (i.e. tax) categorized by type of service, including affiliates.

List three audit projects currently in progress or completed within the last two years which demonstrate your firm's auditing experience in accordance with Government Auditing Standards; auditing Federal or State contracts; and analyzing and evaluating accounting systems and procedures for compliance with cost reimbursement agreement terms and applicable requirements. For three projects listed provide name, address, telephone number and e-mail address for a contact person and an alternate contact person and a description of the project, the duration and the approximate staff resources used (full time equivalent). Please note: Named contact persons must be able to verify the relevance of the project experience offered and their individual relationship to the project. For each of these three projects, the proposer’s project description must include a detailed description of each project including the nature and duration of the work performed and how it is similar to or relates to the work described in this RFP. It should also include the dollar value of cost savings which resulted from the Audit.

If the firm has no direct experience as described above, provide details of three (3) projects and how the firm’s experience relates to the contract auditing services requested in this RFP. Indicate the key personnel (partner, manager and senior level) who worked on such projects.

Please include all relevant experience the firm wants considered in response to this RFP – only information included in a firm’s proposal will be evaluated.

Both NYSDOT and non-NYSDOT experience will be considered and evaluated.

Provide, for any subconsultants proposed, the same information required in Section 5.1.6 above).
c. References

Provide three references for each firm in the team - Prime plus Subconsultant(s). The references must be from three separate entities for each firm proposed under this RFP.

The references will be contacted by NYSDOT to provide information related to the project.

Contact information for references shall include the organization name, contact name, address, telephone number and e-mail address for each organization submitted as a reference firm. It must be clear whether the reference firm will provide a Transportation related reference or non-Transportation related reference. This information will be used for evaluation of criteria as outlined in Section 6.3 below.

Incomplete submission of contact information for the project requirement and/or reference requirement will be reflected in the evaluation and scoring as explained in Section 6.3 of this RFP.

Reference Section 6.3 of this RFP for requirements regarding the reporting of experience history with NYSDOT.

NOTE: The Department reserves the right to contact any references provided by the Proposing team as well as any firms cited in the experience section of a proposal but not offered as a reference. Experience attestations may be confirmed in various ways (e-mail, phone, completion of NYSDOT reference form, etc.) using contact information provided in the proposal and as deemed necessary and appropriate by NYSDOT.

5.2 Part II: Cost and Administrative Submittal

Part II of the proposal consists of two general sections:

- A Cost Proposal, which shall set forth the lump sum amount for performing the work in the scope of services; and

- The Administration Section, which shall specify the proposer’s acceptance of the terms and conditions contained in the draft Contract enclosed as Attachment 1 to this solicitation, as well as host several other administrative items.

The above general sections shall include the following:
1. Cost Proposal

For Lump Sum/Deliverable Based

NYSDOT requires that all cost information be presented using the RFP-provided Microsoft Excel spreadsheets (see Attachments 15-15d, ‘Cost Proposal Workbook’) in both a hardcopy Part II response and an electronic copy on CD/Flashdrive, securely presented in the Part II response. The accuracy of calculations and formulas in the spreadsheet are the sole responsibility of the offeror.

When completing the Excel cost worksheets included in Attachments 15a-15d, offerors shall follow these instructions:
A. The one-time and recurring costs the proposer provides within the Cost Proposal must include ANY AND ALL one-time and recurring fees, charges, or costs for the duration of the contract, including but not limited to:
   a. All direct and indirect costs, all overhead, fees, profit,
   b. Labor, parts, shipping, material and equipment cost;
   c. Software licensing;
   d. Emergency work;
   e. Maintenance services as specified herein;
   f. Repairs and replacement of major or minor parts as necessary;
   g. Administrative, reporting or other requirements;
   h. Travel costs, parking fees, and any other ancillary fees including permits, licenses, insurance, etc., and
   i. Services not explicitly stated in these specifications, but necessarily attendant thereto as applicable to the associated item for which the rate/fee is being quoted.
B. Terminology used in the cost spreadsheets for products and services must be consistent with the terminology used in the technical portion of the response.
C. All worksheets included in Attachments 15a-15d must be completed in order for the response to be considered complete.
D. Proposer should only make entries in highlighted cells in Attachments 15a-15d Excel spreadsheets. Changes should not be made to the spreadsheet format or formulas. Proposers shall not attach any additional or qualifying information.

Cost Proposal Instructions

Use Attachment 15 to complete the Cost Proposal response form. This attachment contains instructions to guide completion of this form. Should any questions arise pertaining to these forms and its instructions, please submit them to the designated NYSDOT contact person before the Question & Answer deadline.

2. Method of Payment

Payments to the firm will be based on a lump sum cost developed for each assignment using the methodology below:

Desk Closeout Assignments - Based on firms’ lump sum prices for the two types of desk closeout audits/reviews (SHR and non-SHR) or as amended by budget
modifications approved by CAB, within the contract’s Maximum Amount Payable unless altered by a Supplemental Agreement.”

**Field Closeout Assignments** - The assignment budget developed by the firm and approved by CAB. Staff hours will be paid at the fully-loaded rate(s) in the contract.

**Miscellaneous Audits and Other Services** - The assignment budget developed by the firm and approved by CAB. Staff hours will be paid at the fully-loaded rate(s) in the contract.

**Note:** Direct reimbursement of the cost of a partner’s time will not be allowed in project budgets; the estimated cost of the partner’s time should be included by the CPA firm in the overhead component of hourly rates for proposed staff titles as listed in Attachment 15a.

Any necessary travel costs will be limited to the prevailing maximum rates based on the Federal rate schedules and New York State travel guidelines. Travel costs must be included in the firm’s audit budget and approved by CAB. Both Federal rate schedules and NYS travel guidelines can be referenced by accessing the links provided below:
- Federal Travel Rate Schedules
  [http://www.gsa.gov/Portal/gsa/ep/home.do?tabId=0](http://www.gsa.gov/Portal/gsa/ep/home.do?tabId=0)
- New York State Travel Guidelines:
  [http://www.osc.state.ny.us/agencies/travel/travel.htm](http://www.osc.state.ny.us/agencies/travel/travel.htm)

**Milestone payments for each assignment will be made based on the following deliverables**

**Field Audit Assignments:**
- Thirty percent (30%) of the lump sum budget total will be paid upon CAB approval of the APM.
- Thirty percent (30%) of the approved lump sum budget total will be paid upon CAB acceptance of the exit conference notes (designating the completion of fieldwork).
- Forty percent (40%) of the approved lump sum budget total will be paid upon CAB acceptance of the final report and work papers.

**Desk Audit Assignments:**
- Sixty percent (60%) of the approved lump sum total will be paid upon issuance of a draft report.
- Forty percent (40%) of the approved lump sum total will be paid upon CAB acceptance of the final report and work papers.

**Budget Modifications**
CAB recognizes that unforeseen circumstances can arise during the course of an assignment which may require significant additional effort beyond the level that was intended in the scope of work outlined in the RFP or when a specific project budget was established. In such circumstances, CAB will consider additional payment to the consultant CPA firm. For NYSDOT to consider such payment, you must notify your CAB manager as soon as you identify such circumstances and as soon as you anticipate that you will exceed the budget hours (for field assignments) or hours proposed for desk assignments (per Attachment 15a or as subsequently agreed to per contract finalization process). You must provide with your notification, the reason(s) that
you require additional audit hours to complete the assignment. At any time NYSDOT requests and upon completion of the project, you must provide a project cost report from your firm’s accounting system which details the employees and their respective hours worked.

**Attending Audit Appeals**
Staff, senior auditor, and manager’s time spent in preparing for and attending the audit appeal will be reimbursed at the contract rates, up to a maximum to be determined by CAB. NYSDOT will reimburse the firm for travel expenses in accordance with New York State Travel Guidelines.

**Payment reduction for significant delay**
If planning and report milestones noted in the table below are not met in accordance within double the allotted time, there will be a 25% reduction in payment. For desk assignments, the 25% payment reduction will be applied to the assignment lump sum cost. For field assignments, the payment reduction will also be applied to the assignment lump sum cost unless only the APM milestone is not met, in which case the payment reduction will only be applied to the 30% APM milestone payment. CAB has the discretion to waive this penalty. We will consider if the CPA consultant firm can demonstrate that it made adequate efforts to achieve the milestone(s) but circumstances beyond its control contributed significantly to the inability to do so.

<table>
<thead>
<tr>
<th>Assignment Type</th>
<th>Milestone</th>
<th>Due Date</th>
<th>Payment Reduction Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Desk</td>
<td>Notify CAB that <strong>planning document</strong> is ready for approval.</td>
<td>30 days from audit assignment</td>
<td>60 days from audit assignment</td>
</tr>
<tr>
<td></td>
<td>Notify CAB that workpapers and <strong>final report</strong> are ready for approval and final issuance.</td>
<td>90 days from audit assignment</td>
<td>180 days from audit assignment</td>
</tr>
<tr>
<td>Field</td>
<td>Notify CAB that <strong>APM</strong> is ready for approval.</td>
<td>60 days from audit assignment</td>
<td>120 days from audit assignment</td>
</tr>
<tr>
<td></td>
<td>Notify CAB that workpapers and <strong>final report</strong> are ready for approval and final issuance.</td>
<td>Date specified in approved APM</td>
<td>Two times the calendar days between audit assignment and final report date per approved APM</td>
</tr>
</tbody>
</table>

The following time will not be counted against the total.

A. Days for which the CPA firm cannot work on the assignment due to waiting on review and approval by NYSDOT (e.g. of the APM or draft report).
B. Time in excess of 15 days the consultant that NYSDOT is auditing takes to review and respond to the draft report (unless they requested an additional 15 days, in which case, time in excess of 30 days the consultant takes to review the draft report).

3. Administration Section
   All signatures on each copy must be an original.

   a) Acceptance of Agreement Terms and Conditions
   Offerors shall complete and submit the “Consultant Information and Certifications Form,” included as Attachment 2 to this RFP, to indicate their acceptance of all of the terms and conditions contained in the draft Agreement (Attachment 1). Attachment 2 also requires the signature of an official authorized to bind the offeror to all of its provisions, a statement certifying that the proposal shall remain valid for at least 365 days, a statement that the firm accepts the RFP’s Scope of Services ‘as-is’, and a statement that, if awarded the contract, the offeror will comply with all the requirements of the RFP, including all of its attachments. Altering this form without the prior expressed written approval of the New York State Department of Transportation is prohibited and may lead to the proposal being deemed non-responsive and subsequently dismissed. No exceptions to any of the draft contract’s terms and conditions will be entertained by NYSDOT. Conditional bids will be deemed non-responsive.

   b) M/WBE/SDVOB Participation
   In Part II of your firm’s proposal, provide the following:

      i. NYSDOT has determined, pursuant to New York State Executive Law Article 15-A, that the assessment of the diversity practices of respondents to this procurement is practical, feasible, and appropriate. Accordingly, respondents to this procurement are required to include as part of their response to this procurement Attachment 6: Diversity Practices Questionnaire. All firms shall submit a completed questionnaire.

      ii. Firms shall separately submit all additional information required by Attachment 6: Diversity Practices Questionnaire, where indicated by the Questionnaire (Questions 1, 4, 5, 6, and 7).

      iii. Complete Attachment 7: M/WBE Participation Information and Attachment 8: SDVOB Participation Information. Provide the legal names of all certified M/WBE and SDVOB consultants (prime and/or subconsultant). The Proposer shall also include completed Attachment 10: New York Business Reporting

      iv. For firms whose M/WBE and SDVOB participation is less than the established goals stated in Section 2 the firm must complete and submit Attachments 7a and 8a: M/WBE Solicitation Log and SDVOB Solicitation Log. Submission of a Goal Attainment
**Explanation Letter** shall be required for proposals with either partial goal attainment or no goal attainment at all.

c) Modification Acknowledgement Forms
The Proposer shall include a completed Attachment 11: Form AOR, acknowledging receipt of any Modifications issued by the Department.

d) Non-Collusion Bidding Certification
All Proposers shall submit a completed Attachment 12: Non-Collusive Bidding Certificate.

e) Vendor Assurance of No Conflict of Interest or Detrimental Effect
All Proposers shall submit a completed Attachment 14: Vendor Assurance of No Conflict of Interest or Detrimental Effect.

f) Procurement Lobbying Law

Filing the two required forms is mandatory for all consultants in order to be considered for contract award. These Forms are:

- **Offerer’s Affirmation of Understanding of and Agreement pursuant to State Finance Law §139-j (3) and §139-j (6) (b)**
- **Offerer Disclosure of Prior Non-Responsibility Determinations**

Failure to submit the required PLL forms with your proposal will result in elimination from consideration for contract award.

Use Contract Number C037629 wherever requested in the forms. Please call or e-mail the individuals identified as the Designated Contacts in section 1.4 of this RFP if you have any questions regarding how to complete this required form.

Per the Procurement/Lobbying Law of 2005, any person who wishes to contact NYSDOT regarding this project during the restricted period (i.e. from advertisement through designation), may only contact the persons noted in Section 1.4 to this solicitation.
For additional information, refer to Attachment 3: Procurement Lobbying Law Compliance.
6   CRITERIA FOR EVALUATION OF PROPOSALS

6.1   General

Proposals shall be pre-screened to determine if they meet the minimum RFP responsiveness (reference Section 1.3). Those which do not shall be deemed non-responsive and shall be removed from further consideration.

Proposals shall then be evaluated by the Department using a Best Value Method evaluation process based on the technical and cost criteria described below. Technical considerations are of greater importance than pricing considerations; however, price is a significant factor in the Department’s evaluation of proposals. Technical proposals will be scored based on the information provided under Section 5.1 in accordance with the pre-established criteria listed in Section 6.3. The cost portion of Section 5.2 will be point scored in accordance with the pre-established criteria listed in Section 6.4.

Technical and Management Proposal evaluation will be accomplished by a representative committee comprised, as appropriate, of technical, program and management personnel. Committee members will score each proposal individually and then meet as a group to discuss the proposals. Evaluators will be allowed to revise scores on the basis of the committee discussions. Only proposals determined to be technically acceptable and susceptible for contract award will be considered further and have their cost proposal included in the selection process. Firms susceptible for contract award shall be those whose proposal receives a minimum raw technical score of 35.00 points or higher (out of the 60 points available) after discussions by the Evaluation Committee. Proposals with raw technical scores lower than 35.00 are considered not susceptible for contract award and will not be considered further in the evaluation process.

Proposers responding to this RFP may be requested to clarify issues or to provide additional insights into their proposal through written clarifications and/or technical interviews. If written clarifications are required to complete the technical evaluation of proposals, evaluators will be allowed to revise their technical scores based on this additional information. Furthermore, the Department reserves the right to ask clarifying questions regarding each cost proposal (Part II) and M/WBE/SDVOB participation as well.

After evaluation of all technical information submitted by competing consultants (i.e. initial written proposals, and written clarifications), NYSDOT will perfect (curve) the written technical proposal scores so that the highest-rated, average weighted written technical proposal score gets changed and assigned a perfect score of 60 points for this solicitation with the other technical scores adjusted proportionately upward. Cost proposals will be evaluated as per Section 6.4 and the resulting cost scores perfected by cost proposal scoring rule (lowest total cost gets a perfect cost score of 40 points). Perfected cost scoring results will be added to the perfected written technical proposal score by firm to generate a tentative final best value scores by firm. Firms shall be ranked in Final Best Value score order highest to lowest.
The Department reserves the right to request Best and Final Offers from firms that are determined to be susceptible for contract award as per Section 6.5.

**Note**: In the event two or more proposals are found to be “substantially equivalent”, the Department reserves the right to award the contract under the terms of State Finance Law §163 (10) (a).

At the conclusion of the evaluation process, an announcement of the Department’s designation(s) will be posted on the NYSDOT web site. All non-designated firms shall be notified in writing regarding the results from the solicitation, and will be offered an opportunity to hold a debriefing. Further, it is expressly understood that this Request for Proposals does not commit the Department to award a contract, pay any costs incurred in the preparation of a proposal to this request, or to procure or contract services or supplies. Further, the Department shall have no obligation or liability whatsoever to the vendor selected as a result of this solicitation unless and until a contract satisfactory to the Department is approved and executed by the vendor and all necessary State officials.

6.2 Pre-Screening of Proposals
NYSDOT will conduct a pre-screening of each proposal to ensure all contents have been submitted in accordance with the minimum proposal responsiveness requirements as specified in the RFP. RFP specifications include that it is NYSDOT’s sole discretionary determination as to whether a proposal is complete (reference “Minimum RFP Responsiveness” Section 1.3). Proposals which do not meet the mandatory specifications in the Minimum RFP Responsiveness section will be deemed non-responsive by NYSDOT and will not be considered further.

As part of the pre-screening process, the proposed MBE, WBE and SDVOB participation percentages offered for M/WBE prime consultants or subconsultants certified by Empire State Development and SDVOB prime consultants or subconsultants certified by the NYS Division of Service-Disabled Veterans’ Business Development (DSDVBD) will be reviewed (Attachment 7 MBE and WBE Participation Information and Attachment 8 SDVOB Participation Information). To count towards the State’s M/WBE participation goals, each M/WBE firm must be currently listed in the NYS Empire State Development M/WBE Directory. If the proposed MBE, WBE and SDVOB participation is less than the established 12% percent MBE goal, 18% percent WBE goal, and 6% percent SDVOB goal then the firm’s evidence of a Good Faith Effort (Attachment 7a and 8a Subconsultant Participation Solicitation Logs) to achieve participation in the goals will be reviewed, along with the firm’s letter of explanation (Goal Attainment Explanation Letter) as to why it was unable to meet the goal(s). During the review process, which will include verification of a firm’s good faith effort evidence, if it is determined by the Department that the firm did not provide an acceptable good faith effort, then the proposal will be deemed non-responsive and will be removed from further consideration.
6.3 Technical and Management

The technical and management proposal will be scored and will represent 60% of the total score for a proposal. The major evaluation criteria are listed in descending order of importance. Sub-criteria within major evaluation factors are also in descending order of importance.

A proposal to be deemed technically acceptable and susceptible to contract award must receive an average raw committee score of 35 points or higher out of a total possible of 60 points.

1. **Experience** (up to 40 points)

A. Experience of Key Personnel (up to 20 points)

1. Extent and relevance of key personnel’s experience (including subconsultants) conducting government contract audits and applying Federal Cost Principles. (up to 8 points)
2. Extent and relevance of key personnel’s (including subconsultants) government and non-government auditing experience. (up to 8 points)
3. Extent to which key personnel (including subconsultants) meet the minimum professional auditing experience (reference Section 5.1.5). (up to 4 points)

B. Experience of Firm (up to 20 points)

1. Quality and relevance of the three (3) verifiable references required for each firm proposed on the team (Prime and Subconsultant(s)) as follows: (up to 6 points)
   a. Two references related to the performance of government contract auditing services provided to NYSDOT and/or other government transportation organizations in the last five years.
      If Prime and/or subconsultant(s) have worked for NYSDOT during the last five (5) years, the NYSDOT CAB Director/Consultant Manager must be submitted by the respective firm(s) as a reference. (up to 4 points)
   b. One non-transportation reference related to the performance of government contract auditing services provided in the last five years. (up to 2 points)

2. Quality, extent and relevance of overall and specific project experience (including subconsultants) providing professional auditing services related to the government and contract auditing experience outlined in Section 4 (Scope of Services). (Up to 14 points)
Factors to be considered shall include but not be limited to:
- Evidence of cost savings;
- Level of contract audit experience
- Ability to meet Audit budgets and schedules

2. **Audit Services Approach and Management (up to 13 points)**

   A. Appropriateness and effectiveness of work load management, resource allocation and supervision of assignments. (up to 7 points)

   B. Relevance and appropriateness of risk factors considered when planning the various audits described in the Scope of Services. (up to 6 points)

3. **Quality Assurance and Innovative Approach (up to 7 points)**

   A. Completeness and clarity of quality assurance plan and its relevance to the proposed work. Appropriateness of any corrective action needed to address any significant findings. The firm’s (including subconsultants) most recent peer review report. (up to 4 points)

   B. Application and appropriateness of innovative techniques/approaches being used in providing audit services including the application of technology to facilitate the audit process (e.g. data analysis software, etc.). (up to 3 points)

Only firms which are susceptible for contract award will have their cost proposal considered in the Cost and Administrative Proposal scoring analysis.

6.4 **Cost**

**Cost and Administrative (up to 40 points)**

The cost portion of the Cost and Administrative Proposal will be point scored and will represent up to 40 percent of the total proposal score. The calculation of a cost score will be determined by comparing the total cost of the base term (“Base Term Total Value Cost Proposal”) of technically acceptable (short-listed) proposals as provided by each proposing Prime consultant on Attachment 15d.

The proposal with the lowest total cost of the base term of technically acceptable (short-listed) proposals as presented on Attachment 15d, will receive a perfected cost score of 40 points. Other offers with higher-priced cost proposals will receive proportionately lower cost scores.

**REMINDER NOTE:** Proposals submitted with composite rates exceeding $125.00 will NOT be considered or evaluated.
6.5 Best & Final Offer (BAFO; Optional) & Proposal Withdrawal

The Department reserves the right to request at least one Best and Final Offer (BAFO) from firms offering proposals. Any BAFO request may ask additional further clarifying technical and/or cost proposal questions of firms to further clarify their submitted proposals. NYSDOT also may request a cost only BAFO. Should NYSDOT opt to request BAFOs, all proposing firms will receive a BAFO request. Responding firms will be allowed to submit a Best and Final Offer (technical and/or cost); firms may opt to not submit a BAFO. Evaluators will be allowed to revise their technical scores for the written proposal based on their consideration of any new or changed Technical proposal information contained in any Best and Final Offer (will re-sign/re-date the applicable hardcopy scoresheets). If changes to a firm’s Technical Proposal lead to corresponding, necessary revisions to their Cost Proposal (or should a firm opt to clarify their cost proposal) or should the Department opt to request cost-only BAFOs, the Department’s Contract Management representative shall make the necessary, appropriate adjustments to that firm’s cost proposal evaluation.

Should any firm withdraw their proposal after a possible BAFO request, NYSDOT will remove that firm’s technical and cost information from the relative Best Value evaluation documentation and shall recalculate the remaining field’s technical and cost scores (without the withdrawn firm’s information).
7 ADMINISTRATIVE SPECIFICATIONS

7.1 Proposal Submission
   i. The proposal shall be signed by an official authorized to bind the offeror.

   ii. Proposers shall submit 5 copies of Part I and two copies of Part II.

   iii. Your proposal must be received by NYSDOT by Noon on October 18, 2017. The proposal must be addressed to:
       Donelle Mastropietro/Scott Nussbaum
       NYS Department of Transportation
       50 Wolf Road, 6th floor
       Albany, New York 12232
       Attention: #C037629 CPA Audit (CLOSEOUT) Services for NYSDOT

7.2 State’s Rights
   All proposals, upon submission to NYSDOT, shall become its property for use as deemed appropriate. By submitting a proposal, the consultant covenants not to make any claim for or have any right to damages because of any misinterpretation or misunderstanding of the specification, or because of any misinformation or lack of information. With regard to proposal submitted, NYSDOT asserts the following prerogatives with regard to proposals submitted:

   a. To accept or reject any or all proposals;
   b. To correct any arithmetic errors in any or all proposals;
   c. To change the proposal’s due date upon appropriate notification to interested firms;
   d. To eliminate any mandatory RFP requirement or specification unmet by all offerors in the evaluation of received proposals;
   e. To adopt any or all of a successful offeror’s proposal;
   f. To negotiate modifications to the scope, milestone payment schedule and total cost, and contract terms and conditions with the selected offeror prior to contract award only if it is in the best interest of the state to do so;
   g. To disqualify an offeror from receiving the award if such offeror, or anyone in the offeror’s employ, has previously failed to perform satisfactorily in connection with public bidding or contracts;
   h. To revise/amend any provision of this RFP by written notification to offerors, prior to proposal submission;
   i. To eliminate any requirement that is found to be unmet by all offerors;
   j. To make inquiries, by means it may choose, into the offeror’s background or statements made in the proposal to determine the truth and accuracy of all statements made therein;
   k. To select and award the contract to the offeror whose proposal represents the best value to NYSDOT;
   l. Should NYSDOT determine that the negotiations with the selected offeror will not result in a contract, to begin contract negotiations with the next-best-value offeror(s) responsive to this RFP — without again requesting proposals;
m. Any contract entered into pursuant to an award of this solicitation shall contain a provision which grants the option to extend the terms and conditions of such contract to any other New York state agency. However, any response to this solicitation shall be based solely on the purpose of this solicitation and shall not factor in the possibility that this contract may, in the future, be applicable to other state agencies. Please be advised that any award made pursuant to this solicitation shall be based on the specific requirements of this solicitation only.

7.3 Consultant Responsibility when Proposing Former NYSDOT Employees

It is the consultant’s responsibility to ensure they propose staff that is eligible to work on the proposed project. It is an individual’s responsibility to comply with the Public Officer’s Law.

The following procedure applies if either of the following criteria is met.

- It is two years or less between the date that the individual is proposed and the individual’s date of separation from the State.
- The individual proposed has worked on the project while employed by NYSDOT regardless of how long ago they left NYSDOT.

Procedure

- Before the consultant proposes an individual, the individual must obtain an opinion from the New York State Joint Commission on Public Ethics (http://www.jcope.ny.gov/) that approves their participation in the project as they are proposed.
- A copy of this opinion must be on file in the consultant's office and available for review by NYSDOT if requested.
- Failure to obtain New York State Joint Commission on Public Ethics approval for an individual’s participation in a project may jeopardize the firm's designation for that project.

7.4 Method of Payment

Payment for services provided under the agreement resulting from this RFP will be fixed for the duration of the agreement unless changed by an executed supplemental agreement. The Consultant will designate a Billing Representative who will be responsible for resolving any invoicing issues during the term of the Contract.

Lump Sum Payment will be based on the acceptance of completed deliverables, by phase, identified in the RFP.

Requests for progress and final payments shall be made by the designated consultant on standard payment request forms (FIN 421). Use proper procedure for billing each deliverable: Submit a draft billing to NYSDOT’s assigned Project Manager via the following sample electronic billing: https://www.dot.ny.gov/main/business-center/consultants/forms-publications-and-instructions. The sample spreadsheet contains all of the proper, required billing forms, as well as a sample billing. The Project Manager will respond via e-mail either with comments/corrections or with an approval to submit the final billing via signed hardcopy. The last and final payment will become due.
and payable within thirty (30) days after delivery of the final deliverable(s) and a standard NYS FIN 421 payment request forms.

7.5 Information for the Selected Consultant

7.5.1 Vendor Responsibility

In accordance with the NYS Finance Law, NYSDOT will only make contract award to vendors that are determined to be responsive and responsible. All selected offerors of contracts valued at $100,000 or more will be required to submit a Vendor Responsibility Questionnaire through the Office of the State Comptroller website via http://www.osc.state.ny.us/vendrep/index.htm before negotiation of a contract. Offerors must certify the accuracy of the information they provide in the questionnaire. In addition, any subconsultant providing services valued at $100,000 or more is required to submit Vendor Responsibility Questionnaire through the Office of the State Comptroller website.

7.5.2 Registration with NYSDOT

Consultant firms entering into contracts with the New York State Department of Transportation (NYSDOT) as prime consultants, joint venture partners or subconsultants, are required to electronically register their firm using the Consultant Selection System web application (CSSWeb). All consultant firms entering into Non-Architectural/Non-Engineering agreements are required to create and register an account to: 1) Create and assign Consultant Identification Numbers (CINs) for each office registered by the firm; and 2) Provide general firm information including, but not limited to: legal firm name; Federal Identification Number (FEIN); ownership type; DBE, MBE and/or WBE status; firm principals; and office(s) address information. All consultant firms participating in a potential agreement (negotiations) must be registered electronically with NYSDOT prior to that agreement being forwarded to the Office of the State Comptroller for approval. Registered firms are responsible for verifying and updating their registration information for the duration of the agreement.


Questions regarding the CSSWeb application and firm registration should be directed to the CSSWeb Administrator by email at css@dot.state.ny.us or by telephone at 518-457-2600.

7.5.3 Registration with Statewide Financial System (SFS)

Should this solicitation lead to a designation, the Prime consultants will be required to electronically register with the Statewide Financial System (SFS) - if not already registered. NYSDOT will initiate the registration process in the SFS application and then contact the Prime consultant to provide them with further direction for completion of the registration process. The result of this process is an established SFS vendor number assigned to the Prime consultant. If a firm has already registered in SFS in connection with another procurement effort, it will likely not need to re-register for this opportunity. However, a SFS vendor number is firm name specific. Since many firms have different variations
of their business identities, firms will be required to register in the name of the business entity that NYSDOT is doing business with.

7.5.4 Consultant Employment Disclosure Requirements of this Project

Go to Office of the State Comptroller’s Web site (http://www.osc.state.ny.us/procurement/consultantdisclosure.doc) to become familiar with Consultant Employment Disclosure requirements, which went into effect June 19, 2006. The Consultant selected for this solicitation shall be required to complete “State Consultant Services – Contractor’s Planned Employment” (Form A, Attachment 4) and submit when the contract is signed. For each contract year thereafter, the Consultant shall complete the “State Consultant Services Contractor’s Annual Employment Report” (Form B, Attachment 4) and submit copies to the Office of the State Comptroller, the Department of Civil Service, and the Department of Transportation on or before May 15th of each year the contract is in effect.

7.5.5 Insurance Requirements of this Project

Please carefully read the terms and conditions of the draft Contract appended as Attachment 1 of this RFP. Your attention is drawn to the insurance requirements for this Project that are contained in Article 12 of the draft Contract. These insurances are mandatory for the firm(s) selected as a result of this solicitation and will not be waived.

7.5.6 Contractor Tax Certification

Per Section 5-a of the NYS Tax Law, all vendors selected for contracts in excess of $100,000 for the sale of goods or services must complete and submit Forms ST-220-TD and ST-220-CA (Contractor Certifications) prior to negotiation of a contract with State agencies. You should make yourself familiar with these forms by visiting the following Web sites: http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf (Form ST-220-CA) and http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf (Form ST-220-TD)

7.6 Inquiries and Information

All questions concerning this solicitation must be directed only to the individual specified in Section 1.4 of this RFP. The last date to submit questions for this solicitation is stated in Section 7.8 below.

Responses to all questions of a substantive nature, as well as copies of the questions, will be posted to the NYSDOT web site.

7.7 Protest Procedure

The New York State Department of Transportation (NYSDOT) has established a protest procedure to be utilized when an interested party challenges a Non-Engineering consultant designation by NYSDOT. The complete procedure can be accessed via: https://www.dot.ny.gov/main/business-center/consultants/general-info

7.8 Tentative Schedule of Key Events

NYSDOT will attempt to adhere to the following tentative schedule with regard to progressing this solicitation:
<table>
<thead>
<tr>
<th>Event</th>
<th>Date/Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>RFP Release Date</td>
<td>September 18, 2017</td>
</tr>
<tr>
<td>Question Submittal Deadline</td>
<td>September 29, 2017</td>
</tr>
<tr>
<td>Proposals Due</td>
<td>October 18, 2017, 12 noon Eastern Time</td>
</tr>
<tr>
<td>Recommendation &amp; Designation</td>
<td>Approximately November 15, 2017</td>
</tr>
<tr>
<td>Contract Finalizing</td>
<td>Two weeks</td>
</tr>
<tr>
<td>Contract Award</td>
<td>4–6 weeks after completion of contract finalizing</td>
</tr>
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</table>
ATTACHMENT 1: DRAFT CONTRACT

ATTACHMENT ____

Draft Contract

NEW YORK STATE DEPARTMENT OF TRANSPORTATION

F. A. NO.: _____________        P.I.N.: _____________

COMPTROLLER'S CONTRACT NO. _________

PROJECT: ________________________________

This Agreement made this ______ day of __________________, 201_ pursuant to Section 14 of the Transportation Law, by and between THE PEOPLE OF THE STATE OF NEW YORK (hereinafter referred to as the "STATE") acting by and through the Department of Transportation (hereinafter referred to as "STATE") whose office is at 50 Wolf Road, in the County of Albany, State of New York 12232, and

CONSULTANT FIRM NAME
CONSULTANT FIRM ADDRESS
(hereinafter referred to as "CONSULTANT")

WITNESSETH:

WHEREAS, the STATE desires the CONSULTANT because of its ability and reputation, to perform the services hereinafter mentioned upon the PROJECT which is fully described in SCHEDULE A and the CONSULTANT agrees to provide these services.

NOW, THEREFORE, the parties hereto, for the consideration hereinafter named, do agree as follows:

ARTICLE 1. PERFORMANCE OF WORK.

The CONSULTANT shall perform all of the work described in SCHEDULE A and cause such work to be performed in an efficient and expeditious manner and in accordance with all of the terms and provisions of this AGREEMENT. The CONSULTANT shall perform the work in accordance with professional standards and with the diligence and skill expected of a company with extensive experience in the performance of work of the type described in SCHEDULE A. The CONSULTANT shall furnish such personnel and shall procure such materials, machinery, supplies, tools, equipment and other items as may reasonably be necessary or appropriate to perform the work in accordance with this AGREEMENT. It is understood and agreed that __________________ shall serve as the CONSULTANT's Project Manager and as such shall have the responsibility for the overall supervision and conduct of the work on behalf of the CONSULTANT and that the persons described in SCHEDULE A shall serve in the capacities described therein. Any change of key project personnel by the CONSULTANT shall be subject to the prior written approval of the STATE. The STATE reserves the option to extend the terms and conditions of this AGREEMENT to any other state agency in New York subject to the approval of all necessary state officials.
The CONSULTANT will commence work no later than ten (10) days after receiving notice to proceed from the STATE.

**ARTICLE 2. DOCUMENTS FORMING THE AGREEMENT.**

The contract documents shall be deemed to include this AGREEMENT (including EXHIBITS), the provisions required by state and federal law to be inserted in the AGREEMENT as set forth in APPENDIX A, APPENDIX A-1, APPENDIX B, APPENDIX C and APPENDIX D, SCHEDULE A (including EXHIBITS), SCHEDULE B (including EXHIBITS), the STATE’s Request for Proposals (RFP; dated ____ ) incorporated by reference, and the CONSULTANT’s Proposal (dated ____ ) incorporated by reference.

**ARTICLE 3. INSPECTION.**

The duly authorized representatives of the STATE, and on Federally aided projects, representatives of the Federal Highway Administration, shall have the right at all times to inspect the work of the CONSULTANT.

**ARTICLE 4. TERM OF THE AGREEMENT.**

The CONSULTANT agrees to complete all the work of this AGREEMENT as required by this AGREEMENT within a ____-month base term for this AGREEMENT, which shall commence on ________________, ____, and end on ________________, ____. The AGREEMENT may be extended for up to two (2) one-year periods as may be agreed upon by the parties to the AGREEMENT and as approved by the Office of the State Comptroller.

**ARTICLE 5. MAXIMUM AMOUNT**

**Item I** The maximum aggregate amount payable by the State to the CONSULTANT hereunder for the performance and completion of the work is $_____________ unless increased by a supplemental agreement. It is understood and agreed that the STATE will only reimburse the CONSULTANT for approved costs incurred in the performance of authorized project tasks.

**Item II** The CONSULTANT specifically agrees that the AGREEMENT shall be deemed executory only to the extent of the monies available, and no liability shall be incurred by the STATE beyond the monies available for the purpose.

**ARTICLE 6. PROVISION FOR PAYMENT.**

**Item I** The STATE shall pay to the CONSULTANT and the CONSULTANT agrees to accept as full compensation for its services under this Agreement, a price of __________ unless revised by a Supplemental Agreement.

**Item II** The CONSULTANT specifically agrees that the AGREEMENT shall be deemed executory only to the extent of the monies available, and no liability shall be incurred by the STATE beyond the monies available for the purpose. In no event, however, will monies be deleted from this Agreement except pursuant to ARTICLE 16 hereof, entitled Termination.

**Item III** If the AGREEMENT is extended beyond 36 months then any and all salary rates shown in SCHEDULE B, EXHIBIT ____ may be adjusted annually by the lower of either the percent change for the Producer Price Index – Architectural, Engineering and Related Services (Series ID: PCU5413-5413--) for the most recent 12 month period as calculated by the U.S. Department of Labor.
– Bureau of Labor Statistics, or 1.5 percent, all depending upon current market conditions. If at any time the above Index Series ID is discontinued or becomes unavailable, the STATE reserves the right to implement a comparable Index.

Item IV The number of months of training provided under Special Provision 11 in Appendix C is _____.

ARTICLE 7. PARTIAL PAYMENTS.

The CONSULTANT shall be paid in progress payments based on allowable costs incurred during the period in accordance with Article 6 of this Agreement established by the Project Manager and the CONSULTANT, as follows:

(To be Negotiated) as per Schedule B

The STATE will make payments to the CONSULTANT in accordance with Section 179(f) of the State Finance Law. Payments are subject to the approval of the STATE’s Project Manager, or their successor as identified by the STATE. Payments shall not be withheld unreasonably.

The CONSULTANT shall maintain and update once each month, if changes have taken place or are anticipated, the Project Schedule contained in SCHEDULE A hereto.

The CONSULTANT will not include any provisions in their subcontracts that would circumvent the intent of 49 CFR 26.29 to require the CONSULTANT to make partial payments to subcontractors and subconsultants within ten (10) days after receipt of payment from the STATE.

ARTICLE 8. CONTRACT PAYMENT.

The CONSULTANT shall provide complete and accurate billing invoices to the STATE in order to receive payment. Billing invoices submitted to the STATE must contain all information and supporting documentation required by the Contract, the STATE and the State Comptroller. Payment for invoices submitted by the CONSULTANT shall only be rendered electronically unless payment by paper check is expressly authorized by the New York State Department of Transportation Commissioner (hereinafter referred to as “COMMISSIONER”), in the COMMISSIONER’S sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The CONSULTANT shall comply with the State Comptroller’s procedures to authorize electronic payments. Authorization forms are available at the State Comptroller’s website at www.osc.state.ny.us/epay/index.htm, by email at epunit@osc.state.ny.us, or by telephone at 518-474-4032. CONSULTANT acknowledges that it will not receive payment on any invoices submitted under this contract if it does not comply with the State Comptroller’s electronic payment procedures, except where the COMMISSIONER has expressly authorized payment by paper check as set forth above.

ARTICLE 9. FINAL PAYMENT.

a) Section 179 of the State Finance Law requires the STATE to make final payment within thirty (30) calendar days after receipt of an invoice which is properly prepared and submitted. The STATE in accordance with the provisions of the State Finance Law has determined that the STATE will require a 60 calendar day audit period for final payments at which time the 30 calendar day interest-free period will commence. The CONSULTANT is required to make final payment to all Sub Contractors and Sub Consultants within ten (10) calendar days of receipt of final payment from the STATE.
The CONSULTANT is required, if it is a "foreign" (Out of State) corporation or entity, to obtain and submit the required "Tax Clearance" certificate to the STATE at the time of contract signing and again before processing the final payment. It should be noted that any time taken to satisfy or furnish this Tax Clearance certificate shall extend the required payment date by an equal period of time. The Tax Clearance certificate can be obtained by mailing a request to:

New York State Department of Taxation and Finance
Tax Status Unit
Building 8, Room 938
State Office Building Campus
Albany, NY 12227

Alternatively, it may be obtained by phoning the Corporation Tax Information Center at 1-888-698-2908 and making the request there. The certificate content is public information and the certificate is free of charge.

The acceptance by the CONSULTANT of the final payment shall operate as and shall be a release to the STATE from all claims and liability to the CONSULTANT, its representatives and assigns for any and all things done, furnished for or relating to the services rendered by the CONSULTANT under or in connection with this Agreement or for any part thereof except as otherwise provided in ARTICLE 8 (b).

b) The CONSULTANT shall maintain all books, documents, papers, accounting records and other evidence pertaining to cost incurred and make such materials available at its office at all reasonable times during the period of this Agreement and for the period of time specified in Clause No. 10, "Records" of APPENDIX A, for inspection by the STATE, Federal Highway Administration, or any authorized representatives of the Federal Government and copies thereof shall be furnished if requested.

ARTICLE 10. EXTRA WORK.

a) If the CONSULTANT believes that any work is or may be beyond the scope of the Agreement (extra work), or that additional work is necessary, the CONSULTANT shall notify the STATE, in writing, of this fact prior to beginning any of the work. The notification shall include all information required by the Department. The STATE shall be the sole judge as to whether or not such work is in fact beyond the scope of this Agreement and constitutes extra work. No extra or additional work shall be started prior to written authorization from the STATE. The STATE shall be under no obligation to reimburse the CONSULTANT for any extra or additional work performed without the prescribed notification and authorization. The STATE will not allow fixed fee for any extra work undertaken without prescribed notification and authorization. In the event that the STATE determines that such work does constitute extra work, the STATE shall provide extra compensation to the CONSULTANT in a fair and equitable manner. If necessary, a Supplemental Agreement providing the compensation and describing the work authorized shall be issued by the STATE to the CONSULTANT for execution after approvals have been obtained from necessary State officials and, if required, from the Federal Highway Administration.

b) In the event of any claims being made or any actions being brought in connection with the PROJECT, the CONSULTANT agrees to render to the STATE all assistance required by the STATE. Work which the CONSULTANT is obligated to perform in accordance with Article 9 hereof shall be performed without cost to the STATE. Compensation for other work performed and costs incurred in connection with this requirement shall be made in a fair and equitable manner. In all cases provided for in this AGREEMENT for the additional services above described, the STATE’s directions shall be exercised by the issuance of a separate Agreement, if necessary.

ARTICLE 11. CONSULTANT LIABILITY.
To the fullest extent permitted by law, the Consultant shall indemnify and save harmless the State, and/or any municipality, public benefit corporation, railroad, and/or public utility whose property or facilities are affected by the work, from suits, claims, actions, damages and costs, of every name and description arising from the work under its contract during its prosecution and until the final acceptance thereof. The Consultant and any assigns, heirs, or successors in interest shall also indemnify and save harmless, to the fullest extent permitted by law, the inspecting engineer or inspector working for the State relative to the project from suits, claims, actions, damages and costs involving personal injury and property damage arising from the Consultant’s work under the contract during its prosecution and until the final acceptance thereof. The State may retain such monies from the amount due the Consultant as may be necessary to satisfy any claim for damages recovered against the State, any municipality and/or any public benefit corporation, railroad or public utility whose property or facilities are affected by the work or consultant inspecting engineers or inspectors working for the State relative to the project. The Consultant’s obligation under this paragraph shall not be deemed waived by the failure of the State to retain the whole or any part of such monies due the Consultant, nor where such suit, action, damages and/or costs have not been resolved or determined prior to release of any monies to the Consultant under the contract, nor shall such obligation be deemed limited or discharged by the enumeration or procurement of any insurance for liability for damages imposed by law upon the Consultant, Subconsultant or the State, any municipality and/or any public benefit corporation, railroad or public utility whose property or facilities are affected by the work, or for any consultants working for the State. It is understood by the State and the Consultant that the Consultant’s Professional Liability/Errors and Omissions policy required in the Article of this Contract entitle “Insurance” shall be utilized for claims involving the Consultant’s professional negligence.

The Consultant has the obligation, at its own expense, for the defense of any action or proceeding which may be brought against the parties specified in this Section. This obligation shall include the cost of attorneys’ fees, disbursements, costs and other expenses incurred in connection with such action or proceeding. Such obligation to indemnify in the foregoing paragraph does not extend to those suits, actions, damages and costs of every name that arise out of the sole negligence of the State, or the negligence of any municipality and/or any public benefit corporation, railroad or public utility whose property or facilities are affected by the contract work, or the negligence of any consultants working for the State, their agents or employees, relative to the construction, alteration, or repair or maintenance of a building, highway or structure or appurtenances and appliances thereof including moving, demolition and excavating connected therewith. Notwithstanding the foregoing, the parties being defended by the Consultant may elect to join any action or tender their own defense, at their sole expense and discretion.

**ARTICLE 12. INSURANCE.**

The Consultant shall procure, at its own sole cost and expense, and shall maintain in force at all times during the term of this contract including any extensions or renewals until satisfactory completion of all work under the contract, the policies of insurance covering all operations under the contract whether performed by it or its subconsultants as herein below set forth, written by companies authorized by the New York State Insurance Department to issue insurance in the State of New York and that have an A.M. Best Company rating of (A-) or better or approved by the Department. The Department may, at its sole discretion, permit the placement of policies with a non-authorized carrier or carriers upon request by the Consultant accompanied by the documentation required by 11 NYCRR §27.0 et seq.; provided that nothing herein shall be construed to require the Department to accept insurance placed with a non-authorized carrier under any circumstances. The Consultant shall deliver to the Department evidence of such policies as the Department deems necessary to verify that the required insurance is in effect. If policies are changed or canceled, the CONSULTANT shall inform the STATE immediately. The STATE will determine whether to issue an order to the CONSULTANT to stop work.
A. Conditions Applicable to Insurance. All policies of insurance required by this agreement must meet the following requirements:

1. Coverage Types and Policy Limits. The types of coverage and policy limits required from the Consultant are specified in Paragraph B, Insurance Requirements, below. General liability insurance shall apply separately on a per-job or per-project basis.

2. Policy Forms. Except as may be otherwise specifically provided herein or agreed in writing by the Department, policies must be written on an occurrence basis. In the event that occurrence-based coverage is not commercially available, claims-made policy forms will be considered provided that, at minimum, it includes provisions that allow for (a) reporting circumstances or incidents that may give rise to future claims and (b) an extended reporting period of not less than three (3) years with respect to events that occurred but were not reported during the term of the policy. **Insurance policies that remove or restrict blanket contractual liability located in the “insured contract” definition (as stated in Section V, Number 9, Item f in the ISO CGL policy) or that remove or modify the “insured contract” exception to the employers liability exclusion so as to limit coverage for claims that arise out of contract work, or that do not cover the additional insured for claims involving injury to employees of the named insured or subcontractors, are not acceptable.** Policy forms must be provided to the Department upon request.

3. Certificates of Insurance/Notices. Consultant shall provide a Certificate or Certificates of Insurance, in a form satisfactory to the Commissioner, before commencing any work under this contract. Certificates or transmittal correspondence shall reference the NYSDOT Contract Number. Consultant is strongly encouraged to transmit certificates and other materials concerning insurance coverage, referencing the Contract Number and the name of the Consultant in the Subject Line, by email to: **Insur.consult.contr@dot.ny.gov**

Certificates may be mailed to the:

**New York State Department of Transportation**  
**Contract Management Bureau**  
**50 Wolf Road, Sixth Floor**  
**Albany, NY 12232**

Unless otherwise agreed, policies shall be written so as to require that the policy will not be (i) canceled, (ii) materially changed or (iii) permitted to expire or lapse for any reason except upon ten (10) days' prior written notice to the Department by Certified Mail, Return Receipt Requested at the address stated above. In addition, if required by the Department, the Consultant shall deliver to the Department within ten (10) work days of such request a copy of any or all policies of insurance not previously provided, certified by the insurance carrier as true and complete. Certificates of Insurance shall:

- a. Be in a form satisfactory to the Department. The ACORD 25 Certificate must be accompanied by an ACORD 855 “New York Construction Addendum” completed to indicate information about the liability insurance.
- b. Be signed and dated by an authorized representative of the insurance carrier or producer.
- c. Disclose any deductible, self-insured retention, aggregate limit.
- d. Refer to this Contract by number on the face of the certificate.

If at any time during the term of this contract, it shall come to the attention of the Department that required insurance is not in effect or that adequate proof of insurance has not been provided, the Department may, at its option:
a. Direct the Consultant to suspend work and not re-enter the premises with no additional payment or extension of time due on account thereof, or
b. May withhold further contract payments in accordance with Article 8 No Payment Due to Consultant’s Non-Compliance of the contract agreement, or
c. Treat such failure as a breach or default of the contract.

4. Additional Insureds. All insurance policies required by these specifications, except workers’ compensation and professional liability shall be endorsed to provide coverage to “The State of New York/New York State Department of Transportation, any municipality in which the work is being performed, any public benefit corporation, railroad, or public utility whose property or facilities are affected by the work, and their agents or employees” with respect to any claim arising from the Consultant’s Work under this contract or as a result of the Consultant’s activities. The endorsement shall be effected by endorsement of the applicable policy using ISO form CG 20 10 11 85, CG 20 37 07 04, CG 20 33 07 98 when used in combination with CG 20 37 07 04, or CG 20 33 10 01 or a form(s) that provides equivalent coverage.

5. Primary Coverage. The liability and protective liability insurance policies shall provide primary and non-contributory coverage to the Department for any claim arising from the Consultant’s Work under this contract, or as a result of the Consultant’s activities.

6. Waiver of Subrogation. As to every type and form of insurance coverage required from the Consultant, there shall be no right of subrogation against the State of New York/New York State Department of Transportation, its agents or employees. To the extent that any of Consultant’s policies of insurance prohibit such a waiver of subrogation, Consultant shall secure the necessary permission to make this waiver.

7. Policy Renewal/Expiration. At least ten (10) calendar days prior to the expiration of any policy required by this contract, evidence of renewal or replacement policies of insurance with terms no less favorable to the Department than the expiring policies shall be delivered to the Department in the manner required for service of notice in Paragraph A.3. Certificates of Insurance/Notices above.

8. Self-Insured Retention/Deductibles. Consultants utilizing self-insurance programs are required to provide a description of the program for Department approval. Collateralized deductible and self-insured retention programs administered by a third party may be approved. Except as may be specifically provided in the Contract Documents of a particular project, the Consultant or third-party-administered insurance deductible shall be limited to the amount of the bid deposit or $100,000, whichever is less. Security is not required if it is otherwise provided to an administrator for an approved risk management program. The Department will not accept a self-insured retention program without security being posted to assure payment of both the self-insured retention limit and the cost of adjusting claims. The Consultant shall be solely responsible for all claim expense and loss payments within any permitted deductible or self-insured retention. If the Consultant’s deductible in a self-administered program exceeds the amount of the bid deposit, the Consultant shall furnish an irrevocable Letter of Credit as collateral to guarantee its obligations. Such Letter of Credit or other collateral as may be approved by Department must be issued by a guarantor or surety with an AM Best Company rating of (A-) or better. If, at any time during the term of this agreement, the Department, in its sole discretion, determines that the Consultant is not paying its deductible, it may require the Consultant to collateralize all or any part of the deductible or self-insured retention on any or all policies of insurance or, upon failure to promptly do so, the same may be withheld from payments due the Consultant.
9. **Waiver of Indemnities.** The Consultant waives any right of action it and/or its insurance carrier might have against the Department (including its employees, officers, commissioners, or agents) for any loss that is covered by a policy of insurance that is required by this contract. The Consultant waives any right of action it and/or its insurance carrier might have against the Department (including its employees, officers, commissioners, or agents) for any loss, whether or not such loss is insured.

10. **Subconsultant’s Liability Insurance.** In the event that any portion of the work described in this contract is performed by an approved subconsultant, the insurance requirements of this Article shall be incorporated into the subcontract agreement. Subconsultant insurance requirements shall include the requirements for Workers’ Compensation, Commercial General Liability, and, if applicable, Commercial Auto and/or Professional Liability. Excess or umbrella insurance is not required for subconsultants. Consultant shall require that Certificates of Insurance, meeting the requirements of the Department are provided to the Department documenting the insurance coverage for each and every subconsultant employed by them to do work under this contract.

B. **Insurance Requirements.** The types of insurance and minimum policy limits shall be as follows:

1. **Workers’ Compensation and Disability Insurance.** As required by State Finance Law §142, the Consultant shall maintain in force workers’ compensation insurance upon forms required by or acceptable to the Workers Compensation Board for all of Consultant’s employees. Consultant shall also maintain disability insurance as required by the Disability Benefits Law of the State of New York.

2. **Commercial General Liability Insurance.** The Consultant shall maintain an occurrence form commercial general liability policy or policies insuring against liability arising from premises (including loss of use thereof), personal injury or death, advertising injury, liability insured under an insured contract (including the tort liability of another assumed in a business contract) occurring on or in any way related to the premises or occasioned by reason of the operations of Consultant. Such coverage shall be written on an ISO occurrence form (ISO Form CG 00 01 12 07 or a policy form providing equivalent coverage) in an amount of not less than $1,000,000.00 per occurrence and not less than $2,000,000.00 aggregate. Unless otherwise provided, the policy or policies of insurance providing the liability coverage shall include:
   a. Coverage for contractual liability assumed by the Consultant insured under an insured contract (including the tort liability of another assumed in a business contract).
   b. All insurance policies required by these specifications except workers’ compensation and professional liability shall be endorsed to provide coverage to “the State of New York/New York State Department of Transportation, any municipality in which the work is being performed, any public benefit corporation, railroad, or public utility whose property or facilities are affected by the work, or any consultant inspecting engineer or inspector working for or on the project, and their agents or employees” using ISO form CG 20 10 11 85, CG 20 37 07 04, CG 20 33 07 98 when used in combination with CG 20 37 07 04, or CG 20 33 10 01 or a policy form or forms providing equivalent coverage.
   c. Products-Completed Operations Coverage, as provided in the General Liability Policy, or in certain instances through ISO form CG 26 11 09 99 or suitable equivalent.
d. Where contract work will be performed by unregistered off-road equipment, Consultant shall provide documentation of a blanket Pollution Liability policy, or an endorsement to cover short-term pollution events, ISO form CG 04 33 10 01 or equivalent.

e. Coverage for claims for bodily injury asserted by an employee of an additional insured and any Employer Liability Exclusion which may otherwise operate to exclude such coverage shall be voided in this respect.

f. Explosion, Collapse and Underground Hazards coverage (“XCU”) (for contracts that call for the performance of excavating, underground work, and/or the use of blasting equipment).

3. Special Protective and Highway Liability Policy. (applicable to any project where Consultant is required to conduct field work where Consultant controls the field location for the work). The Consultant shall maintain, separate and apart from its umbrella policy, a policy issued to and covering the liability of the People of the State of New York, The State of New York, the Commissioner of Transportation, all employees of the Department of Transportation, any municipality in which the work is being performed, any public benefit corporation, railroad, or public utility whose property or facilities are affected by the work, against damages that the insureds may be held legally liable to pay for property damage, personal injuries, or death that is caused by any occurrence that takes place within any location where work is to be or is being performed by Consultant, including at the location of any of the work. This should be ISO form CG 00 14 12 or a policy form providing equivalent coverage along with mandatory New York endorsements. Coverage shall be in an amount of not less than $1,000,000 per occurrence and at least $2,000,000 for each aggregate limit.

4. Commercial Automobile Insurance including liability and required coverage for New York. (applicable to any project where automobiles or other vehicles will be employed to complete the work). In the event that automobiles are used in connection with Consultant’s business or operations with the Department, the Consultant shall maintain a commercial or other automobile policy or policies insuring against liability for bodily injury, death, or damage to property and other mandatory coverages, relating to the use, operation, loading or unloading of any of Consultant’s automobiles (including owned, hired and non-owned vehicles) on and around the project. This may be ISO form CA 00 01 10 01, CA 00 01 01 87 or a policy form providing equivalent coverage along with mandatory New York endorsements. Coverage shall be in an amount of not less than $1,000,000 each accident.

5. Umbrella or Excess Liability Insurance. The Consultant shall maintain an occurrence form umbrella liability policy or policies insuring against liability arising from premises (including loss of use thereof), operations, independent Consultants, products-completed operations, personal injury and advertising injury, and liability insured under an insured contract (including the tort liability of another assumed in a business contract) occurring on or in any way related to the premises or occasioned by reason of the operations of Consultant or arising from automobile liability as described above. Such coverage shall be written on an ISO occurrence form CU 00 01 12 07 or a policy form providing equivalent coverage. In the event that umbrella coverage is unavailable, equivalent excess coverage may be substituted. The minimum required limits for the umbrella/excess coverage shall be sufficient to provide a total of not less than $5,000,000 per occurrence/aggregate.

6. Consultant’s Risks. (applicable to all contracts). The Consultant shall be responsible for obtaining any insurance it deems necessary to cover its own risks, including without limitation: (a) business interruption, such as gross earnings, extra expense, or similar
coverage, (b) personal property, and/or (c) automobile physical damage and/or theft. In no event shall the Department be liable for any damage to, or loss of, personal property, or damage to, or loss of, an automobile that is covered by a policy of insurance that is required by this agreement, even if such loss is caused by the negligence of the Department.

7. Professional Liability/Errors and Omissions. *(applicable to professional services requiring the signature, stamp or certification of a licensed professional, including, without limitation, erection plans, demolition plans, containment plans, coffer dams, and temporary sheeting.)* The Consultant shall maintain at its own expense or shall require to be maintained, such insurance as is customary to compensate the Department for any claims or losses that occur because of Consultant’s errors, omissions, malpractice or breach of professional obligations. Such policy or policies may be written on a claims-made form so long as coverage is maintained to be in effect to cover claims arising from the performance of services under this contract. Said coverage may be subject to a deductible or self-insured retention level of no more than $250,000. subject to approval by the Department, such approval not to be unreasonably withheld, except that it is also agreed that the Department may withhold payment for services rendered under this contract in the event, and to the extent of any deductible in the event that a claim is asserted. Such coverage shall be written on a claims-made basis (or a policy form providing equivalent coverage) in an amount of no less than $1,000,000 per claim and $1,000,000 in the aggregate.

8. Railroad Protective Liability Insurance. *(applicable to any consulting work where the consultant is entering railroad right-of-way independent of a construction contract described in §105-09).* The Consultant shall maintain at its own expense railroad protective liability policy of insurance in the name of the affected railroad and with limits of coverage as specified in the Special Notes on Railroad Insurance, or if no limits of coverage are specified, the limits shall be not less than $5,000,000 combined Bodily Injury Liability and/or Property Damage for each occurrence with a $10,000,000 aggregate Limit applying separately to each annual period. Said policy shall be subject to the approval of the railroad and comply with 23 CFR 646 Subpart A.

9. Marine Protection & Indemnity. *(applicable to any consulting work that necessitates the consultant’s use of barges or other watercraft independent of a construction contract).* Anytime the activity involves work on navigable water or the work is connected to water related activities, Marine Protection & Indemnity and Hull and Machinery coverage is required. Hull and Machinery coverage shall be provided for the total value of the watercraft or equipment. The Consultant shall obtain Protective and Indemnity Liability insurance for all marine operations under the Agreement, with a minimum ($1,000,000) limit. The policy shall be endorsed to add the Department as an Additional Insured.

**ARTICLE 13. INTERCHANGE OF DATA.**

All technical data in regard to the PROJECT existing in the office of the STATE or existing in the offices of the CONSULTANT shall be made available to the other party to this Agreement without expense to such other party.

**ARTICLE 14. DISPOSITION OF DATA.**

At the time of completion of the work, the CONSULTANT shall make available to the STATE all documents and data pertaining to the work or to the PROJECT which materials at all times shall be the property of the STATE. It is agreed that the CONSULTANT may maintain copies of all documents and data. Or in the event that this Agreement is terminated for any reason, then, within ten (10) days
after such termination, the CONSULTANT shall make available to the STATE the aforementioned data and material.

ARTICLE 15. DAMAGES AND DELAYS.

The CONSULTANT agrees that no charges or claim for damages shall be made by them for any delays or hindrances from any cause whatsoever during the progress of any portion of the services specified in this AGREEMENT. Such delays or hindrances, if any, shall be compensated for by an extension of time for such reasonable period as the STATE may decide, it being understood however, that the permitting of the CONSULTANT to proceed to complete any services or any part of them after the date of completion or after the date to which the time of completion may have been extended, shall in no way operate as a waiver on the part of the STATE of any of its rights herein. Nothing in this ARTICLE will prevent the CONSULTANT from exercising its rights under ARTICLE 8 of this AGREEMENT.

ARTICLE 16. NOTICE OF BANKRUPTCY, VENUE, AUDITS.

If, prior to final audit, CONSULTANT files for relief pursuant to Title 11 of the United States Code under the Bankruptcy Laws or a successor statute, this AGREEMENT shall be treated as an executory contract under 11 USC S365 of the Bankruptcy Laws or successor statute, and be subject to assumption or rejection by the debtor within the time permitted by law.

The CONSULTANT must immediately send written notice to Contract Management of the New York State Department of Transportation at its main office in Albany and send all relevant pleading of the voluntary or involuntary filing of a Bankruptcy proceeding by the CONSULTANT, its subsidiary, its principals and officers or a related entity whether or not the CONSULTANT believes that any debt is owed to the State by final audit or otherwise.

The determination of any rights under this AGREEMENT shall be adjudicated in a State or Federal Court with jurisdiction over the matter, and venue for the determination of such rights shall be in Albany, New York.

The CONSULTANT agrees that the automatic stay under 11 USC S362 or a successor statute shall be deemed inapplicable or that this agreement shall constitute consent to the lifting of the stay with respect to the State’s performance of or completion of any audit pursuant to the terms of this AGREEMENT.

ARTICLE 17. TERMINATION.

The STATE shall have the absolute right to terminate this Agreement, and such action shall in no event be deemed a breach of contract:

(a) If a termination is brought about for the convenience of the STATE and not as a result of unsatisfactory performance on the part of the CONSULTANT, final payment shall be made based on the percentage of work satisfactorily completed by the CONSULTANT, as determined by the STATE, times the Lump Sum amount.

(b) If the termination is brought about as a result of unsatisfactory performance on the part of the CONSULTANT, the value of the work performed by the CONSULTANT prior to termination shall be established by the STATE.

(c) The STATE reserves the right to terminate this AGREEMENT in the event it is found that the certification filed by the CONSULTANT in accordance with the requirements contained in State Finance Law §139-k was intentionally false or intentionally incomplete. Upon such finding, the
STATE may exercise its termination right by providing written notification to the CONSULTANT in accordance with the written notification terms of the AGREEMENT.

ARTICLE 18. DEATH OR DISABILITY OF THE CONSULTANT.

In case of the death or disability of one or more but not all the persons herein referred to as CONSULTANT, the rights and duties of the CONSULTANT shall devolve upon the survivors of them, who shall be obligated to perform the services required under this AGREEMENT, and the STATE shall make all payments due to them.

In case of the death or disability of all the persons herein referred to as CONSULTANT, all data and records pertaining to the PROJECT shall be delivered within (60) days to the STATE or its duly authorized representative. In case of the failure of the CONSULTANT’S successors or personal representatives to make such delivery on demand, then in that event the representatives of the CONSULTANT shall be liable to the STATE for any damages it may sustain by reason thereof. Upon the delivery of all such data to the STATE, the STATE will pay to the representatives of the CONSULTANT all amounts due the CONSULTANT, including retained percentages to the date of the death of the last survivor.

ARTICLE 19. INDEPENDENT CONTRACTOR.

The CONSULTANT, in accordance with their status as an independent contractor, covenants and agrees that they will conduct themselves consistent with such status, that they will neither hold themselves out as, nor claim to be, an officer or employee of the STATE by reason hereof, and that they will not, by reason hereof, make any claim, demand or application to or for any right or privilege applicable to an officer or employee of the STATE, including but not limited to Worker's Compensation coverage, Unemployment Insurance benefits, Social Security coverage or Retirement membership or credit.

ARTICLE 20. COVENANT AGAINST CONTINGENT FEES.

The CONSULTANT warrants that they have not employed or retained any company or person, other than a bona fide employee working for the CONSULTANT, to solicit or secure this AGREEMENT, and that they have not paid or agreed to pay any company or person, other than a bona fide employee, any fee, commission, percentage, brokerage fee, gift, or any other consideration, contingent upon or resulting from the award or making of this AGREEMENT. For breach or violation of this warranty, the STATE shall have the right to annul this AGREEMENT without liability, or, in its discretion, to deduct from the AGREEMENT price or consideration, or otherwise recover, the full amount of such fee, commission, percentage, brokerage fee, gift, or contingent fee.

ARTICLE 21. TRANSFER OF AGREEMENT.

The CONSULTANT specifically agrees, as required by the State Finance Law, Section 138, that they are prohibited by law from assigning, transferring, conveying, subletting or otherwise disposing of the AGREEMENT or of their right, title or interest therein, or their power to execute such AGREEMENT, to any other person, company or corporation, without the previous consent in writing of the STATE.

If this provision of the law be violated, the STATE shall revoke and annul the Agreement and the STATE shall be relieved from any and all liability and obligations thereunder to the person, company or corporation to whom the CONSULTANT shall assign, transfer, convey, sublet or otherwise dispose of the Agreement, and such transferee shall forfeit and lose all moneys therefore assigned under said Agreement, except so much as may be required to pay his employees.
ARTICLE 22. PROPRIETARY RIGHTS.

The CONSULTANT agrees that if copyrights, patentable discoveries or inventions or rights in data should result from work described herein, all rights accruing from such discoveries or inventions shall be the sole property of the CONSULTANT. However, the CONSULTANT agrees to and does hereby grant to the United States Government and the State of New York an irrevocable, nonexclusive, nontransferable, paid-up license to reproduce, publish, make, use, and sell each subject invention throughout the world by and on behalf of the Government of the United States and States and domestic municipal governments, all in accordance with the provisions of 48 CFR 1-27, and other applicable Federal laws, rules and regulations.

ARTICLE 23. SUBCONTRACTORS/SUBCONSULTANTS.

All subcontractors and subconsultants performing work on this project shall be bound by the same required contract provisions as the prime CONSULTANT. All agreements between the prime CONSULTANT and a subcontractor or subconsultant shall include all standard required contract provisions, and such agreements shall be subject to review by the State.

ARTICLE 24. ORDER OF PRECEDENCE.

In the event of any inconsistency between or among the provisions and contents of this AGREEMENT, it is agreed that such inconsistency shall be resolved in the following descending order of precedence:

1. APPENDIX A,
2. The provisions required by state and federal law to be inserted in the AGREEMENT as set forth in APPENDIX A-1, APPENDIX B, and APPENDIX C;
3. This AGREEMENT, including Signature Page, Notary Page and Exhibits;
4. SCHEDULE A (including Exhibits);
5. SCHEDULE B (including Exhibits);
6. The STATE's Request for Proposals; and
6. The CONSULTANT's Proposal.

ARTICLE 25. CERTIFICATION REQUIRED BY 49CFR, PART 29.

The signatory to this Agreement, being duly sworn, certifies that, EXCEPT AS NOTED BELOW, its company and any person associated therewith in the capacity of owner, partner, director, officer, or major stockholder (five percent or more ownership):

1) is not currently under suspension, debarment, voluntary exclusion, or determination of ineligibility by any federal agency;

2) has not been suspended, debarred, voluntarily excluded or determined ineligible by any federal agency within the past three years;

3) does not have a proposed debarment pending; and

4) has not been indicted, convicted, or had a civil judgment rendered against it by a court of competent jurisdiction in any matter involving fraud or official misconduct within the past three years.

EXCEPTIONS: -

ARTICLE 26. CERTIFICATION FOR FEDERAL-AID CONTRACTS.
The prospective participant certifies, by signing this Agreement to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriate funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any Federal agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering this transaction imposed by Section 1352, Title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

The prospective participant also agrees by submitting his or her bid or proposal that he or she shall require that the language of this certification be included in all lower tier subcontracts, which exceed $100,000 and that all such subrecipients shall certify and disclose accordingly.

ARTICLE 27. RESPONSIBILITY OF THE CONSULTANT.

(a) The CONSULTANT shall be responsible for the professional quality, technical accuracy, and the coordination of all services furnished by the CONSULTANT under this AGREEMENT. The CONSULTANT shall, without additional compensation, correct or revise any errors or deficiencies in its services. However, the STATE may in certain circumstances, provide compensation for such work.

(b) Neither the STATE’s review, approval or acceptance or, nor payment for, the services required under this AGREEMENT shall be construed to operate as a waiver of any rights under this AGREEMENT or of any cause action arising out of the performance of this AGREEMENT, and the CONSULTANT shall be and remain liable to the STATE in accordance with applicable law for all damages to the STATE caused by the CONSULTANT’s negligent performance or breach of contract of any of the services furnished under this AGREEMENT.

(c) The rights and remedies of the STATE provided for under this AGREEMENT are in addition to any other rights and remedies provided by law.

(d) If the CONSULTANT is comprised of more than one legal entity or any group of partners or joint venturers associated for the purposes of undertaking this agreement, each such entity acknowledges and hereby affirmatively represents and agrees that each has the power to bind the CONSULTANT and each of the others hereunder; and as such, each acts both as principal and agent of the CONSULTANT and of each of the others hereunder. Each further acknowledges and agrees that all such entities, partners or joint venturers associated for the purposes of undertaking this agreement shall be jointly and severally liable to third parties, including but not limited to the STATE, for the acts or omissions of the CONSULTANT or any other entity, partner or joint venturer hereunder.
(e) If the CONSULTANT is comprised of more than one legal entity or any group of partners or joint venturers associated for the purposes of undertaking this agreement, each such entity acknowledges and hereby affirmatively represents and agrees that the respective rights, duties and liabilities of each hereunder shall be governed by the laws of the State of New York, including but not limited to the New York Partnership Law.

ARTICLE 28. SECURITY AND CONFIDENTIALITY OF INFORMATION.

Information received as part of this AGREEMENT shall be considered Confidential Information. The CONSULTANT warrants that it will take the appropriate steps as to its personnel, agents, officers and any SUBCONTRACTOR/SUBCONSULTANTS regarding the obligations arising under this clause to insure such confidentiality. The CONSULTANT shall have written policies and/or business procedures in place which will protect Confidential Information from unauthorized disclosure, use, access, loss, alteration or destruction. The CONSULTANT may disclose to other parties, as authorized by the NYSDOT Project Manager, or as described in the scope of services, only the information necessary to perform services under this AGREEMENT. However, the CONSULTANT shall in no circumstance, communicate with the public or news media without prior authorization from the States designee. Neither shall the CONSULTANT disclose information deemed confidential by the State nor shall the CONSULTANT disclose any other information obtained or developed in the performance of services under this agreement without the written authorization of the State. This warranty shall survive termination of this AGREEMENT.

The CONSULTANT shall comply with the provisions of the New York State Information Security Breach and Notification Act, including General Business Law Section §889-aa and State Technology Law §208 as enacted by such Act or subsequently amended. In the event of an information security breach resulting in the unauthorized disclosure of personal information, CONSULTANT shall be liable for the costs associated with such breach if caused by CONSULTANT’s negligent or willful acts or omissions, or the negligent or willful acts or omissions of the CONSULTANT’s agents, officers, employees or SUBCONSULTANTS.

ARTICLE 29. VENDOR RESPONSIBILITY.

The Department of Transportation has undertaken an affirmative review of the proposed consultant’s responsibility in accordance with the applicable standards outlined in Comptroller’s ‘Guide to Financial Operations’, and based upon such review, reasonable assurance that the proposed contractor is responsible has been determined.

a). General Responsibility. The Consultant shall, at all times during the Agreement, remain responsible. The Consultant agrees, if requested by the Commissioner of NYSDOT or his or her designee, to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance, and organizational and financial capacity.

b). Suspension of Work (for Non-Responsibility). The Commissioner of NYSDOT (or his or her designee), in his or her sole discretion, reserves the right to suspend any or all activities under this Agreement at any time when he or she discovers information that calls into question the responsibility of the Consultant. In the event of such suspension, the Consultant will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, the Consultant shall comply with the terms of the suspension order. Contract activity may resume at such time as the Commissioner of NYSDOT (or his or her designee) issues a written notice authorizing the resumption of performance under the Agreement.
c). Termination (for Non-Responsibility). Upon written notice to the Consultant, and a reasonable opportunity to be heard with appropriate NYSDOT or staff, the Agreement may be terminated by Commissioner of NYSDOT (or his or her designee) at the Consultant’s expense where the Consultant is determined by the Commissioner of NYSDOT (or his or her designee) to be non-responsible. In such event, the Commissioner of NYSDOT (or his or her designee) may complete the contractual requirements in any manner he or she may deem advisable and pursue available legal or equitable remedies for breach.

ARTICLE 30. CONSULTANT DISCLOSURE LEGISLATION.

In accordance with Chapter 10 of the Laws of 2006, the CONSULTANT shall complete the “State Consultant Services Contractor’s Annual Employment Report” (Form B, Attachment 4) and submit copies to the Office of the State Comptroller, the Department of Civil Service, and the Department of Transportation on or before May 15th of each year the contract is in effect. The CONSULTANT shall provide information regarding all employees providing service under this contract, whether employed by the CONSULTANT or any subconsultant or subcontractor. Form B will capture historical information, detailing actual employment data for the most recently concluded State fiscal year (April 1st to March 31st). Annual employment reports should be submitted to the following three agencies. It is recommended, however, that consultants check the agency websites annually to confirm the addresses.

By mail:

NYS Office of the State Comptroller  
Bureau of Contracts  
110 State Street, 11th Floor  
Albany, N. Y. 12236  
Attn: Consultant Reporting

NYS Department of Civil Service  
Alfred E. Smith Building  
Albany, N. Y. 12239  
Attn: Chapter 10 Counsel’s Office

NYS Department of Transportation:  
Reports that are submitted to the NYS Department of Transportation must be submitted electronically, preferably as a Word, Excel or pdf file via email to: consultantdisclosure@dot.ny.gov.

ARTICLE 31. NOTICES.

Item 1. All notices permitted or required hereunder shall be in writing and shall be transmitted either:

(a) via certified or registered United States mail, return receipt requested;
(b) by facsimile transmission;
(c) by personal delivery;
(d) by expedited delivery service; or
(e) by e-mail.

Such notices shall be addressed as follows or to such different addresses as the parties may from time-to-time designate:

8.1.1.1.1 New York State Department of Transportation:
8.1.1.1.2 Consultant’s Name:

Contact Person’s Name:
Title:
Address:
Telephone Number:
Facsimile Number:
E-Mail Address:

Item 2. Any such notice shall be deemed to have been given either at the time of personal delivery or, in the case of expedited delivery service or certified or registered United States mail, as of the date of first attempted delivery at the address and in the manner provided herein, or in the case of facsimile transmission or email, upon receipt.

Item 3. The parties may, from time to time, specify any new or different address in the United States as their address for purpose of receiving notice under this Agreement by giving fifteen (15) days written notice to the other party sent in accordance herewith. The parties agree to mutually designate individuals as their respective representatives for the purposes of receiving notices under this Agreement. Additional individuals may be designated in writing by the parties for purposes of implementation and administration/billing, resolving issues and problems and/or for dispute resolution.

ARTICLE 32. TITLE VI ASSURANCE.

During the performance of this contract, the consultant or contractor, for itself, its assignees and successors in interest (hereinafter referred to as the "contractor") agrees as follows:

(1) Compliance with Regulations: The contractor shall comply with the Regulation relative to nondiscrimination in Federally-assisted programs of the Department of Transportation of the United States, Title 49, Code of Federal Regulations, Part 21, and the Federal Highway Administration (hereinafter “FHWA”) Title 23, Code of Federal Regulations, Part 200 as they may be amended from time to time, (hereinafter referred to as the Regulations), which are herein incorporated by reference and made a part of this contract.

(2) Nondiscrimination: The Contractor, with regard to the work performed by it during the contract, shall not discriminate on the grounds of race, color, or national origin, sex, age, and disability/handicap in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The contractor shall not participate either directly or indirectly in the discrimination prohibited by 49 CFR, section 21.5 of the Regulations, including employment practices when the contract covers a program set forth in Appendix B of the Regulations.

(3) Solicitations for Subcontractors, Including Procurements of Materials and Equipment: In all solicitations either by competitive bidding or negotiation made by the contractor for work to be performed under a subcontract, including procurements of materials or leases of
equipment, each potential subcontractor or supplier shall be notified by the contractor of the contractor's obligations under this contract and the Regulations relative to nondiscrimination on the grounds of race, color, or national origin, sex, age, and disability/handicap.

(4) Information and Reports: The contractor shall provide all information and reports required by the Regulations or directives issued pursuant thereto, and shall permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by NYSDOT or the FHWA to be pertinent to ascertain compliance with such Regulations, orders and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish this information the contractor shall so certify to NYSDOT's Office of Civil Rights or FHWA, as appropriate, and shall set forth what efforts it has made to obtain the information.

(5) Sanctions for Noncompliance: In the event of the contractor's noncompliance with the nondiscrimination provisions of this contract, NYSDOT shall impose such contract sanctions as it or the FHWA may determine to be appropriate, including, but not limited to:

(a.) withholding of payments to the contractor under the contract until the contractor complies, and/or
(b.) cancellation, termination or suspension of the contract, in whole or in part.

(6) Incorporation of Provisions: The contractor shall include the provisions of paragraphs (1) through (6) in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Regulations, or directives issued pursuant thereto.

The contractor shall take such action with respect to any subcontract or procurement as NYSDOT or the FHWA may direct as a means of enforcing such provisions including sanctions for non-compliance: Provided, however, that, in the event a contractor becomes involved in, or is threatened with, litigation with a subcontractor or supplier as a result of such direction, the contractor may request NYSDOT to enter into such litigation to protect the interests of NYSDOT, and, in addition, the contractor may request the United States to enter into such litigation to protect the interests of the United States.

ARTICLE 33. ENSURING PAY EQUITY BY STATE CONSULTANTS /CONTRACTORS.

In accordance with Executive Order 162, issued on January 9, 2017, the consultant shall provide detailed workforce utilization reports of the CONSULTANT and each subconsultant – or subcontractor – that include, in addition to equal employment opportunity information, the job title and salary of each employee directly performing work on a STATE contract.

If the CONSULTANT cannot identify the individuals working directly on a State contract, then the CONSULTANT and each subconsultant shall provide such information of each employee in the CONSULTANT'S entire workforce. Such information shall be reported to the Department at quarterly intervals.

The reporting period shall be on a quarterly basis (January 1 through March 31, April 1 through June 30, July 1 through September 30 and October 1 through December 31). The reporting requirement shall begin on the effective date of the contract and continue for the duration of the contract term. Reports shall be submitted within 15 calendar days from the end of each reporting period. This provision is in effect for the quarterly reporting period ending December 31, 2017, or the quarterly reporting period that is immediately subsequent to the effective date of the contract, whichever date is later.
Detailed workforce utilization reports, as required above, shall be submitted in such form and in such manner as shall be required by the Department and as in accordance with Consultant Instruction 17-01.

The consultant shall include this provision in every subcontract so that such provisions shall be binding upon each subconsultant, if the subcontract is in excess of $25,000.

ARTICLE 34. CONFLICTS OF INTEREST.

The CONSULTANT has provided a form (Vendor Assurance of No Conflict of Interest or Detrimental Effect), signed by an authorized executive or legal representative attesting that the CONSULTANT’s performance of the services does not and will not create a conflict of interest with, nor position the CONSULTANT to breach any other contract currently in force with the State of New York, that the CONSULTANT will not act in any manner that is detrimental to any STATE project on which the CONSULTANT is rendering services.

The CONSULTANT hereby reaffirms the attestations made in its proposal and covenants and represents that there is and shall be no actual or potential conflict of interest that could prevent the CONSULTANT’s satisfactory or ethical performance of duties required to be performed pursuant to the terms of this AGREEMENT. The CONTRACTOR shall have a duty to notify the STATE immediately of any actual or potential conflicts of interest.

In conjunction with any subcontract under this AGREEMENT, the CONSULTANT shall obtain and deliver to the STATE, prior to entering into a subcontract, a Vendor Assurance of No Conflict of Interest or Detrimental Effect form, signed by an authorized executive or legal representative of the subconsultant/subcontractor. The CONSULTANT shall also require in any subcontracting agreement that the subconsultant/subcontractor, in conjunction with any further subcontracting agreement, obtain and deliver to the STATE a signed and completed Vendor Assurance of No Conflict of Interest or Detrimental Effect form for each of its subconsultants/subcontractors prior to entering into a subcontract.

The STATE and the CONSULTANT recognize that conflicts may occur in the future because the CONSULTANT may have existing, or establish new, relationships. The STATE will review the nature of any relationships and reserves the right to terminate this AGREEMENT for any reason, or for cause, if, in the judgment of the STATE, a real or potential conflict of interest cannot be cured.

ARTICLE 35. ETHICS REQUIREMENTS.

The Consultant and its Subconsultants/Subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the “Ethics Requirements’). The Consultant certifies that all of its employees and those of its Subconsultants/Subcontractors who are former employees of the State and who are assigned to perform services under this Contract shall be assigned in accordance with all Ethics Requirements. During the Term, no person who is employed by the Consultant or its Subconsultants/Subcontractors and who is disqualified from providing services under this Contract pursuant to any Ethics Requirements may share in any net revenues of the Consultant or its Subconsultants/Subcontractors derived from this Contract. The Consultant shall
identify and provide the State with notice of those employees of the Consultant and its Subconsultants/Subcontractors who are former employees of the State that will be assigned to perform services under this Contract, and make sure that such employees comply with all applicable laws and prohibitions. The State may request that the Consultant provide it with whatever information the State deems appropriate about each such person’s engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. The State shall have the right to withdraw or withhold approval of any Subconsultant/Subcontractor if utilizing such Subconsultant/Subcontractor for any work performed hereunder would be in conflict with any of the Ethics Requirements. The State shall have the right to terminate this Contract at any time if any work performed hereunder is in conflict with any of the Ethics Requirements.

ARTICLE 36. SUBCONTRACTING.

The CONSULTANT agrees not to subcontract any of its services, unless as indicated in its proposal, without the prior written approval of the STATE. Approval shall not be unreasonably withheld upon receipt of written request to subcontract.

The CONSULTANT may arrange for a portion/s of its responsibilities under this AGREEMENT to be subcontracted to qualified, responsible subconsultants/subcontractors, subject to approval of the STATE. If the CONSULTANT determines to subcontract a portion of the services, the subconsultants/subcontractors must be clearly identified and the nature and extent of its involvement in and/or proposed performance under this AGREEMENT must be fully explained by the CONSULTANT to the STATE. As part of this explanation, the subconsultant/subcontractor must submit to the STATE a completed Vendor Assurance of No Conflict of Interest or Detrimental Effect form, as required by the CONSULTANT prior to execution of this AGREEMENT.

The CONSULTANT retains ultimate responsibility for all services performed under the AGREEMENT.

All subcontracts shall be in writing and shall contain provisions, which are functionally identical to, and consistent with, the provisions of this AGREEMENT including, but not limited to, the body of this AGREEMENT, Appendix A – Standard Clauses for New York State Contracts and the advertisement for proposals. Unless waived in writing by the STATE, all subcontracts between the CONSULTANT and subconsultants/subcontractors shall expressly name the STATE, through the Department of Transportation, as the sole intended third party beneficiary of such subcontract. The STATE reserves the right to review and approve or reject any subcontract, as well as any amendment to said subcontract(s), and this right shall not make the STATE a party to any subcontract or create any right, claim, or interest in the subconsultant/subcontractor or proposed subconsultant/subcontractor against the STATE.

The STATE reserves the right, at any time during the term of the AGREEMENT, to verify that the written subcontract between the CONSULTANT and subconsultants/subcontractors is in compliance with all of the provisions of this Section and any subcontract provisions contained in this AGREEMENT.

The CONSULTANT shall give the STATE immediate notice in writing of the initiation of any legal action or suit which relates in any way to a subcontract with a subconsultant/subcontractor or which may affect the performance of the CONSULTANT’s duties under the AGREEMENT. Any subcontract shall not relieve the CONSULTANT in any way of any responsibility, duty and/or obligation of the AGREEMENT.
If at any time during performance under this AGREEMENT total compensation to a subconsultant/subcontractor exceeds or is expected to exceed $100,000, that subconsultant/subcontractor shall be required to submit and certify a Vendor Responsibility Questionnaire.
IN WITNESS WHEREOF, this Contract No. C__________ has been executed by the STATE, acting by and through the Commissioner of Transportation, and the CONSULTANT has duly executed this Agreement effective the day and year first above written.

In addition to the acceptance of this Agreement, the Department also certifies that original copies of this signature page will be attached to all other exact copies of this Agreement.

RECOMMENDED BY        FOR THE PEOPLE OF THE STATE OF NEW YORK
___________________________________    By: __________________________________
CONTRACT MANAGEMENT       DEPARTMENT OF TRANSPORTATION
DATE: ____________________                 DATE: __________________

CONSULTANT Certifications: I certify that all the information with respect to the “Vendor Responsibility Questionnaire” submitted by (CONSULTANT FIRM NAME) on the __________ day of ________________, 201___ pursuant to the requirements set forth in OSC’s Guide to Financial Operations is complete true and accurate. I additionally certify nothing has occurred since the date of that submission that would result in requiring a change or alteration to any of the answers provided on the “Vendor Responsibility Questionnaire” submitted that date.

I certify that all information provided to the STATE with respect to the requirements contained in State Finance Law Sections 139j & 139k is complete, true and accurate.

By _____________________________________    Date: ___________________________

FIRM

-----PROJECT TITLE ----

APPROVALS

ATTORNEY GENERAL    THOMAS P. DI NAPOLI

STATE COMPTROLLER

By

__________________________________

Date

__________________________________
Acknowledgement for Contract #________

For contracts signed in New York State

State of New York   )
County of           ) ss.:

On the __________ day of ______________ in the year 201____, before me the undersigned, personally appeared ______________________, personally known to me or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is (are) subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their capacity(ies), and that by his/her/their signature(s) on the instrument, the individual(s), or the person upon behalf of which the individual(s) acted, executed the instrument.

_________________________________
 NOTARY PUBLIC

My Commission Expires:

For contracts signed outside New York State

State of )
County of ) ss.:

On the __________ day of ______________ in the year 201____ before me, the undersigned, personally appeared ______________________, personally known to me or proved to me on the basis of satisfactory evidence to be the individual(s) whose name(s) is (are) subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their capacity(ies), that by his/her/their signature(s) on the instrument, the individual(s), or the person upon behalf of which the individual(s) acted, executed the instrument, and that such individual made such appearance before the undersigned in ____________________________ (insert the city or other political subdivision and the state or country or other place the acknowledgement was taken).

_________________________________
 NOTARY PUBLIC

(Signature and office of individual taking acknowledgement.)

My Commission Expires:
APPENDIX A

STANDARD CLAUSES FOR NEW YORK STATE 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 State’s previous written consent, and attempts to do so are null and void. Notwithstanding the foregoing, such prior written consent of an assignment of a contract let pursuant to Article XI of the State Finance Law may be waived at the discretion of the contracting agency and with the concurrence of the State Comptroller where the original contract was subject to the State Comptroller’s approval, where the assignment is due to a reorganization, merger or consolidation of the Contractor’s business entity or enterprise. The State retains its right to approve an assignment and to require that any Contractor demonstrate its responsibility to do business with the State. The Contractor may, however, assign its right to receive payments without the State’s prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.

3. **COMPTROLLER’S APPROVAL.** In accordance with Section 112 of the State Finance Law (or, if this contract is with the State University or City University of New York, Section 355 or Section 6218 of the Education Law), if this contract exceeds $50,000 (or the minimum thresholds agreed to by the Office of the State Comptroller for certain S.U.N.Y. and C.U.N.Y. contracts), or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds $10,000, it shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office. Comptroller’s approval of contracts let by the Office of General Services is required when such contracts exceed $85,000 (State Finance Law Section 163.6-a). However, such pre-approval shall not be required for any contract established as a centralized contract through the Office of General Services or for a purchase order or other transaction issued under such centralized contract.

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 (including gender identity or expression), national origin, sexual orientation, military status, age, disability, predisposing genetic characteristics, marital status or domestic violence victim status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale
or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of $50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

6. WAGE AND HOURS PROVISIONS. If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law. Additionally, effective April 28, 2008, if this is a public work contract covered by Article 8 of the Labor Law, the Contractor understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by the State of any State approved sums due and owing for work done upon the project.

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

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

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

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

11. **IDENTIFYING INFORMATION AND PRIVACY NOTIFICATION.**

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

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

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

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

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

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

Contractor will include the provisions of "a", "b", and "c" above, in every subcontract over $25,000.00 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work") except where the Work is for the beneficial use of the Contractor. Section 312 does not apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State. The State shall consider compliance by a contractor or subcontractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this section. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Department of Economic Development's Division of Minority and Women's Business Development pertaining hereto.

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

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

15. LATE PAYMENT. Timeliness of payment and any interest to be paid to Contractor for late payment shall be governed by Article 11-A of the State Finance Law to the extent required by law.
16. **NO ARBITRATION.** Disputes involving this contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized), but must, instead, be heard in a court of competent jurisdiction of the State of New York.

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

18. **PROHIBITION ON PURCHASE OF TROPICAL HARDWOODS.** The Contractor certifies and warrants that all wood products to be used under this contract award will be in accordance with, but not limited to, the specifications and provisions of Section 165 of the State Finance Law, (Use of Tropical Hardwoods) which prohibits purchase and use of tropical hardwoods, unless specifically exempted, by the State or any governmental agency or political subdivision or public benefit corporation. Qualification for an exemption under this law will be the responsibility of the contractor to establish to meet with the approval of the State. In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in Section 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
  Albany, New York 12245
  Telephone: 518-292-5100
  Fax: 518-292-5884
  email: opa@esd.ny.gov

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

- NYS Department of Economic Development
  Division of Minority and Women's Business Development
  633 Third Avenue
  New York, NY 10017
The Omnibus Procurement Act of 1992 requires that by signing this bid proposal or contract, as applicable, Contractors certify that whenever the total bid amount is greater than $1 million:

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

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

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

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

21. RECIPROCITY AND SANCTIONS PROVISIONS. Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

22. COMPLIANCE WITH NEW YORK STATE INFORMATION SECURITY BREACH AND NOTIFICATION ACT. Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208).

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

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

25. CERTIFICATION OF REGISTRATION TO COLLECT SALES AND COMPENSATING USE TAX BY CERTAIN STATE CONTRACTORS, AFFILIATES AND SUBCONTRACTORS. To the extent this agreement is a contract as defined by Tax Law Section 5-a, if the contractor fails to make the certification required by Tax Law Section 5-a or if during the term of the contract, the Department of Taxation and Finance or the covered agency, as defined by Tax Law 5-a, discovers that the certification, made under penalty of perjury, is false, then such failure to file or false certification shall be a material breach of this contract and this contract may be terminated, by providing written notification to the Contractor in accordance with the terms of the agreement, if the covered agency determines that such action is in the best interest of the State.

26. IRAN DIVESTMENT ACT. By entering into this Agreement, Contractor certifies in accordance with State Finance Law Section 165-a that it is not on the “Entities Determined to be Non-Responsive Bidders/Offerers pursuant to the New York State Iran Divestment Act of 2012” (“Prohibited Entities List”) posted at: http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf

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

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

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

Updated January 2014
During the performance of this contract, the contractor, for itself, its assignees and successors in interest (hereinafter referred to as the "contractor") agrees as follows:

(1) **Compliance with Regulations:** The contractor shall comply with the Regulation relative to nondiscrimination in Federally-assisted programs of the Department of Transportation of the United States, Title 49, Code of Federal Regulations, Part 21, and the Federal Highway Administration (hereinafter “FHWA”) Title 23, Code of Federal Regulations, Part 200 as they may be amended from time to time, (hereinafter referred to as the Regulations), which are herein incorporated by reference and made a part of this contract.

(2) **Nondiscrimination:** The Contractor, with regard to the work performed by it during the contract, shall not discriminate on the grounds of race, color, or national origin, sex, age, and disability/handicap in the selection and retention of subcontractors, including procurements of materials and leases of equipment. The contractor shall not participate either directly or indirectly in the discrimination prohibited by 49 CFR, section 21.5 of the Regulations, including employment practices when the contract covers a program set forth in Appendix B of the Regulations.

(3) **Solicitations for Subcontractors, Including Procurements of Materials and Equipment:** In all solicitations either by competitive bidding or negotiation made by the contractor for work to be performed under a subcontract, including procurements of materials or leases of equipment, each potential subcontractor or supplier shall be notified by the contractor of the contractor's obligations under this contract and the Regulations relative to nondiscrimination on the grounds of race, color, or national origin, sex, age, and disability/handicap.

(4) **Information and Reports:** The contractor shall provide all information and reports required by the Regulations or directives issued pursuant thereto, and shall permit access to its books, records, accounts, other sources of information, and its facilities as may be determined by NYSDOT or the FHWA to be pertinent to ascertain compliance with such Regulations, orders and instructions. Where any information required of a contractor is in the exclusive possession of another who fails or refuses to furnish this information the contractor shall so certify to NYSDOT’s Office of Civil Rights or FHWA, as appropriate, and shall set forth what efforts it has made to obtain the information.

(5) **Sanctions for Noncompliance:** In the event of the contractor's noncompliance with the nondiscrimination provisions of this contract, NYSDOT shall impose such contract sanctions as it or the FHWA may determine to be appropriate, including, but not limited to:
   (a.) withholding of payments to the contractor under the contract until the contractor complies, and/or
   (b.) cancellation, termination or suspension of the contract, in whole or in part.

(6) **Incorporation of Provisions:** The contractor shall include the provisions of paragraphs (1) through (6) in every subcontract, including procurements of materials and leases of equipment, unless exempt by the Regulations, or directives issued pursuant thereto.

The contractor shall take such action with respect to any subcontract or procurement as NYSDOT or the FHWA may direct as a means of enforcing such provisions including sanctions for non-compliance: Provided, however, that, in the event a contractor becomes involved in, or
is threatened with, litigation with a subcontractor or supplier as a result of such direction, the contractor may request NYSDOT to enter into such litigation to protect the interests of NYSDOT, and, in addition, the contractor may request the United States to enter into such litigation to protect the interests of the United States.
APPENDIX B

REQUIREMENTS FOR FEDERALLY-AIDED TRANSPORTATION PROJECTS

There is a substantial body of requirements attached to the use of Federal highway or transportation aid. These requirements create or overlay processes, procedures, documentation requirements, authorizations, approvals and certifications that may be substantially greater or different from those that are not funded with Federal-aid and proceed under applicable State and local laws, customs and practices. Under Title 23 of the United States Code, the New York State Department of Transportation (NYSDOT) is responsible for the administration of transportation projects in New York State to which NYSDOT provides Federal highway or transportation-related aid. Through this Agreement, which provides or is associated with such funding, NYSDOT delegates various elements of project and funding administration as described elsewhere in this Agreement. In undertaking a Federally-aided project, the Municipality/Sponsor, Authority or Project Manager designated under this Agreement with Federal-aid funding or project administration agrees to proceed in compliance with all the applicable Federal-aid requirements. NYSDOT, in cooperation with FHWA, has assembled the body of Federal-aid requirements, procedures and practices in its “Procedures for Locally Administered Federal-Aid Projects” (available through NYSDOT’s web site at: www.dot.ny.gov/plafap). In addition, the Municipality/Sponsor, Authority or Project Manager designated under this Agreement for Federal-aid funding or project administration that enters into Federally aided project construction contracts is required to physically incorporate into all its Federally aided construction contracts and subcontracts there under the provisions that are contained in Form FHWA-1273 (available from NYSDOT or electronically at: www.fhwa.dot.gov/programadmin/contracts/1273.htm).

In addition to the referenced requirements, the attention of Municipality/Sponsor hereunder is directed to the following requirements and information:

NON DISCRIMINATION/EEO/DBE REQUIREMENTS

The Municipality/Sponsor and its contractors agree to comply with Executive Order 11246, entitled "Equal Employment Opportunity" and United States Department of Transportation (USDOT) regulations (49 CFR Parts 21, 23, 25, 26 and 27) and the following:

1. NON DISCRIMINATION. No person shall, on the ground of race, color, creed, national origin, sex, age or handicap, be excluded from participation in, or denied the benefits of, or be subject to, discrimination under the Project funded through this Agreement.

2. EQUAL EMPLOYMENT OPPORTUNITY. In connection with the execution of this Agreement, the Municipality/Sponsor’s contractors or subcontractors shall not discriminate against any employee or applicant for employment because of race, religion, age, color, sex or national origin. Such contractors shall take affirmative actions to ensure that applicants are employed, and that employees are treated during their employment, without regard to their race, religion, color, sex, national origin or age. Such actions shall include, but not be limited to, the following: employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship.

3. DISADVANTAGED BUSINESS ENTERPRISES. In connection with the performance of this Agreement, the Municipality/Sponsor shall cause its contractors to cooperate with the State in meeting its commitments and goals with regard to the utilization of Disadvantaged Business Enterprises (DBEs) and will use its best efforts to ensure that DBEs will have opportunity to compete for subcontract work under this Agreement. Also, in this connection the Municipality
or Municipality/Sponsor shall cause its contractors to undertake such actions as may be necessary to comply with 49 CFR Part 26.

As a sub-recipient under 49 CFR Part 26.13, the Municipality/Sponsor hereby makes the following assurance.

The Municipality/Sponsor shall not discriminate on the basis of race, color, national origin, or sex in the award and performance of any United States Department of Transportation (USDOT)-assisted contract or in the administration of its Disadvantaged Business Enterprise (DBE) program or the requirements of 49 CFR Part 26. The Municipality/Sponsor shall take all necessary and reasonable steps under 49 CFR Part 26 to ensure nondiscrimination in the award and administration of the United States Department of Transportation-assisted contracts. The New York State Department of Transportation’s DBE program, as required by 49 CFR Part 26 and as approved by the United States Department of Transportation, is incorporated by reference in this agreement. Implementation of this program is a legal obligation and failure to carry out its terms shall be treated as a violation of this agreement. Upon notification to the recipient of its failure to carry out its approved program, the USDOT may impose sanctions as provided for under part 26 and may, in appropriate cases, refer the matter for enforcement under https://www.law.cornell.edu/uscode/text/18/1001 and/or the Program Fraud Civil Remedies Act of 1986 https://www.law.cornell.edu/uscode/text/31/3801 et seq.).

FEDERAL SINGLE AUDIT REQUIREMENTS
Non-Federal entities that expend $500,000 or more in a year in Federal awards from all sources are required to comply with the Federal Single Audit Act provisions contained in U.S. Office of Management and Budget (OMB) Circular No. A-133, “Audits of States, Local Governments, and Non-Profit Organizations”. Non-Federal entities that expend Federal awards from a single source may provide a program specific audit, as defined in the Circular. Non-Federal entities that expend less than $500,000 in a year in Federal awards from all sources are exempt from Federal audit requirements for that year, except as noted in Sec. 215 (a) of OMB Circular A-133 Subpart B—Audits, records must be available for review or audit by appropriate officials of the cognizant Federal agency, the New York State Department of Transportation, the New York State Comptroller’s Office and the U.S. Governmental Accountability Office (GAO).

Non-Federal entities are required to submit a copy of all audits, as described above, within 30 days of issuance of audit report, but no later than 9 months after the end of the entity’s fiscal year, to the New York State Department of Transportation, Contract Audit Bureau, 50 Wolf Road, Albany, NY 12232. Unless a time extension has been granted by the cognizant Federal Agency and has been filed with the New York State Department of Transportation’s Contract Audit Bureau, failure to comply with the requirements of OMB Circular A-133 may result in suspension or termination of Federal award payments.

THE CATALOG OF FEDERAL DOMESTIC ASSISTANCE
The Catalog of Federal Domestic Assistance (CFDAc), is an on-line database of all Federally-aided programs available to State and local governments (including the District of Columbia); Federally recognized Indian tribal governments; Territories (and possessions) of the United States; domestic public, quasi-public, and private profit and nonprofit organizations and institutions; specialized groups; and individuals.

THE CFDA IDENTIFICATION NUMBER

b The designated cognizant agency for audit shall be the federal awarding agency that provides the predominant amount of direct funding to a recipient unless OMB changes it.
c www.cfda.gov/
OMB Circular A-133 requires all Federal-aid recipients to identify and account for awards and expenditures by CFDA Number. The Municipality/Sponsor is required to identify in its accounts all Federal awards received and expended, and the Federal programs under which they were received. Federal program and award identification shall include, as applicable, the CFDA title and number, award number and year, name of the Federal agency, and name of the pass-through entity.

The most commonly used CFDA number for the Federal Aid Highway Planning and Construction program is 20.205.

Additional CFDA numbers for other transportation and non-transportation related programs are:

- 20.215 Highway Training and Education
- 20.219 Recreational Trails Program
- 20.XXX Highway Planning and Construction - Highways for LIFE;
- 20.XXX Surface Transportation Research and Development;
- 20.500 Federal Transit-Capital Investment Grants
- 20.505 Federal Transit-Metropolitan Planning Grants
- 20.507 Federal Transit-Formula Grants
- 20.509 Formula Grants for Other Than Urbanized Areas
- 20.600 State and Community Highway Safety
- 23.003 Appalachian Development Highway System
- 23.008 Appalachian Local Access Roads

**PROMPT PAYMENT MECHANISMS**

In accordance with 49 CFR 26.29, and NY State Finance Law 139-f or NY General Municipal Law 106-b(2) as applicable:

(a) You must establish, as part of your DBE program, a contract clause to require prime contractors to pay subcontractors for satisfactory performance of their contracts no later than 7 calendar days from receipt of each payment you make to the prime contractor.

(b) You must ensure prompt and full payment of retainage from the prime contractor to the subcontractor within 7 calendar days after the subcontractor's work is satisfactorily completed. You must use one of the following methods to comply with this requirement:

(1) You may decline to hold retainage from prime contractors and prohibit prime contractors from holding retainage from subcontractors.

(2) You may decline to hold retainage from prime contractors and require a contract clause obligating prime contractors to make prompt and full payment of any retainage kept by prime contractor to the subcontractor within 7 calendar days after the subcontractor's work is satisfactorily completed.

(3) You may hold retainage from prime contractors and provide for prompt and regular incremental acceptances of portions of the prime contract, pay retainage to prime contractors based on these acceptances, and require a contract clause obligating the prime contractor to pay all retainage owed to the subcontractor for satisfactory completion of the accepted work within 7 calendar days after your payment to the prime contractor.

(c) For purposes of this section, a subcontractor's work is satisfactorily completed when all the tasks called for in the subcontract have been accomplished and documented as required by the recipient. When a recipient has made an incremental acceptance of a portion of a prime contract, the work of a subcontractor covered by that acceptance is deemed to be satisfactorily completed.

(d) Your DBE program must provide appropriate means to enforce the requirements of this section. These means may include appropriate penalties for failure to comply, the terms and conditions of which you set. Your program may also provide that any delay or postponement of payment among the parties may take place only for good cause, with your prior written approval.

(e) You may also establish, as part of your DBE program, any of the following additional mechanisms to ensure prompt payment:
(1) A contract clause that requires prime contractors to include in their subcontracts language providing that prime contractors and subcontractors will use appropriate alternative dispute resolution mechanisms to resolve payment disputes. You may specify the nature of such mechanisms.

(2) A contract clause providing that the prime contractor will not be reimbursed for work performed by subcontractors unless and until the prime contractor ensures that the subcontractors are promptly paid for the work they have performed.

(3) Other mechanisms, consistent with this part and applicable state and local law, to ensure that DBEs and other contractors are fully and promptly paid.

**USE OF UNITED STATES-FLAG VESSELS:** The contractor agrees:

(1) To utilize privately owned United States-flag commercial vessels to ship at least 50 percent of the gross tonnage (computed separately for dry bulk carriers, dry cargo liners, and tankers) involved, whenever shipping any equipment, material, or commodities pursuant to this contract, to the extent such vessels are available at fair and reasonable rates for United States-flag commercial vessels.

(2) To furnish within 20 days following the date of loading for shipments originating within the United States or within 30 working days following the date of loading for shipments originating outside the United States, a legible copy of a rated, ‘on-board’ commercial ocean bill-of-lading in English for each shipment of cargo described in paragraph (b) (1) of this section to both the Contracting Officer (through the prime contractor in the case of subcontractor bills-of-lading) and to the Division of National Cargo, Office of Market Development, Maritime Administration, Washington, DC 20590.

(3) To insert the substance of the provisions of this clause in all subcontracts issued pursuant to this contract.

April 2016
APPENDIX C

SPECIAL EQUAL EMPLOYMENT OPPORTUNITY PROVISIONS

Specific Equal Employment Opportunity Responsibilities

1. GENERAL (a) Equal employment opportunity requirements not to discriminate and to take affirmative action to assure equal employment opportunity, as required by Federal Executive Order 11246, Federal Executive Order 11375, and NYS Executive, NYS Executive Law Article 15, are set forth in required Contract Provisions (Form PR-1273 or 1316, as appropriate) and those Special Provisions which are imposed pursuant to Section 140 of Title 23, U.S.C., as established by Section 22 of the Federal-Aid Highway Act of 1968. Non-discrimination and affirmative action are also required by the State Labor Law, Section 220-e, as amended, by Executive Order 162, issued on January 9, 2017 and the Regulations of the NYS Department of Transportation relative to federally-assisted programs (Title 49, Code of Federal Regulations, Part 21 and Section 21.5), including employment practices when the agreement covers a program set forth in Appendix B of the Regulations. The requirements set forth in these Special Provisions shall constitute the specific affirmative action requirements for projects activities under this contract.

(b) The CONSULTANT will work with the STATE and the Federal Government in carrying out equal employment opportunity obligations and in their review of their activities under this contract.

(c) The CONSULTANT and all their sub-consultants and/or sub-contractors holding sub-contracts of $10,000 or more will comply with the following minimum specific requirements of equal employment opportunity: (The equal employment opportunity requirements of Executive Order 11246, as set forth in Volume 6, Chapter 4, Section 1, Subsection 1 of the Federal-Aid Highway Program Manual, are applicable to contractors and sub-contractors.) The CONSULTANT will include these requirements in every sub-contract with such modification of language as is necessary to make them binding on the sub-contractor.

(d) The CONSULTANT and all their sub-consultants and/or subcontractors shall comply with Executive Order 162, issued on January 9, 2017, requiring quarterly workforce utilization reports, detailing reports of the Consultant and all of their subconsultants, which includes in addition to equal opportunity information, the job and salary of each employee directly performing work on a State contract.

2. EQUAL EMPLOYMENT OPPORTUNITY POLICY

A. The provisions of Article 15-A of the Executive Law and the rules and regulations promulgated thereunder pertaining to equal employment opportunities for minority group members and women shall apply to the contract.

B. In performing the contract, the Consultant shall:

1. Ensure that each Consultant and subconsultant – or subcontractor – performing work on the contract shall undertake or continue existing EEO programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, EEO shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation.
2. The Consultant shall submit an EEO policy statement to the New York State Department of Transportation (NYSDOT) after the date of the notice by the NYSDOT to award the contract to the Consultant as determined by the Department.

3. If the Consultant or any of its subconsultants, does not have an existing EEO policy statement, the NYSDOT may require the Consultant or subconsultant to adopt a model statement consistent with item B.4.a through d of this section.

4. The Consultant’s EEO policy statement shall include the following language:
   a. The Consultant will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will undertake or continue existing EEO programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination, and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its workforce.
   b. The Consultant shall state in all solicitations or advertisements for employees that in the performance of the contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, natural origin, sex, age, disability or marital status.
   c. The Consultant 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.
   d. The Consultant will include provisions of Subdivisions (a) through (c) of this subsection 4 and the paragraph appearing immediately below which provides for relevant provisions of the Human Rights Law, in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each subconsultant as to work in connection with the contract.

The Consultant shall comply with the provisions of the Human Rights Law, and all other State and Federal statutory and constitutional non-discrimination provisions. The Consultant and its subconsultants shall not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction or prior arrest.

3. EQUAL EMPLOYMENT OPPORTUNITY OFFICER The CONSULTANT will designate and make known to the New York State Department of Transportation contracting officers an Equal Employment Opportunity Officer and a Minority Business Enterprise officer (hereinafter referred to as the EEO Officer and M.B.E. Officer) who will have the responsibility for and must be capable of effectively administering and promoting an active equal employment opportunity program and who must be assigned adequate authority and responsibility to do so.

4. DISSEMINATION OF POLICY (a) All members of the CONSULTANT’s staff who are authorized to hire, supervise, promote, and discharge employees, or who recommend such action, or who are substantially involved in such action, will be made fully cognizant of, and will implement, the CONSULTANT’s equal employment opportunity policy and contractual
responsible to provide equal employment opportunity in each grade and classification of employment. To insure that the above agreement will be met, the following actions will be taken as a minimum:

(1) Periodic meetings of supervisory and personnel office employees will be conducted before the start of work and then not less than once every six months, at which time the CONSULTANT’s equal employment opportunity policy and its implementation will be reviewed and explained. The meetings will be conducted by the EEO Officer or other knowledgeable company official.

(2) All new supervisory (first level of supervision and above) or personnel office employees will be given a thorough indoctrination by the EEO Officer or other knowledgeable company official covering all major aspects of the CONSULTANT’s equal employment opportunity obligations within thirty days following their reporting for duty with the CONSULTANT.

(3) All personnel who are engaged in direct recruitment for the project will be instructed in the CONSULTANT’s procedures for locating and hiring minority group employees by the EEO Officer or appropriate company official. (Minority group referred to herein shall mean Black, Hispanic, Asian/Pacific Islander, American Indian/Alaskan.)

(b) In order to make the CONSULTANT’s equal employment opportunity policy known to all employees, prospective employees and potential sources or employees, i.e., schools, employment agencies, labor unions (where appropriate), college placement officers, etc., the CONSULTANT will take the following actions:

(1) Notices and posters setting forth the CONSULTANT’S equal employment opportunity policy will be placed in areas readily accessible to employees, applicants for employment and potential employees.

(2) The CONSULTANT’s equal employment opportunity policy and the procedures to implement such policy will be brought to the attention of employees by means of meetings, employee handbooks, or other appropriate means.

(c) In all solicitations either by competitive bidding or negotiation made by the CONSULTANT for work to be performed under a sub-contract, including procurements of materials or equipment, each potential sub-contractor or supplier shall be notified by the CONSULTANT of the CONSULTANT’s obligations under this agreement and the Regulations relative to non-discrimination.

5. RECRUITMENT (a) When advertising for employees, the CONSULTANT will include in all advertisements for employees the notation: "An Equal Opportunity Employer." All such advertisements will be published in newspapers or other publications having a large circulation among minority groups in the area from which the project work force would normally be derived. These advertisements shall state that all qualified applicants will be afforded equal employment opportunity without regard to race, religion, sex, color, national origin, age, disability or marital status.

(b) The CONSULTANT will, unless precluded by a valid bargaining agreement, conduct systematic and direct recruitment through public and private employee referral sources likely to yield qualified minority group applicants, including, but not limited to, State employment agencies, schools, colleges and minority group organizations. To meet this requirement, the CONSULTANT’s EEO Officer will identify sources of potential minority group employees, and establish with such identified sources procedures whereby minority group applicants may be referred to the CONSULTANT for employment consideration. In the event the CONSULTANT has a valid bargaining agreement providing for exclusive hiring hall referrals, the CONSULTANT is expected to observe the provisions of that agreement to the extent that the system permits the CONSULTANT’s compliance with equal employment opportunity contract provisions. (The U.S.
Department of Labor has held that where implementation of such agreements have the effect of discriminating against minorities or women, or obligates the CONSULTANT to do the same, such implementation violates Executive Order 11246.

(c) The CONSULTANT will encourage present employees to refer minority group applicants for employment by posting appropriate notices or bulletins in areas accessible to all such employees. In addition, information and procedures with regard to referring minority group applicants will be discussed with employees.

6. PERSONNEL ACTIONS  Wages, working conditions, and employee benefits shall be established and administered, and personnel actions of every type, including hiring, upgrading, promotion, transfer, demotion, layoff, and termination, shall be taken without regard to race, color, religion, sex, national origin, age, disability or marital status. The following procedures shall be followed:

(a) The CONSULTANT will conduct periodic inspections of project sites to insure that working conditions and employee facilities do not indicate discriminatory treatment of project site personnel.

(b) The CONSULTANT will periodically evaluate the spread of wages paid within each classification to determine any evidence of discriminatory practices.

(c) The CONSULTANT will periodically review selected personnel actions in depth to determine whether there is evidence of discrimination. Where evidence is found, the CONSULTANT will promptly take corrective action. If the review indicated that the discrimination may extend beyond the actions reviewed, such corrective action shall include all affected persons.

(d) The CONSULTANT will promptly investigate all complaints of alleged discrimination made in connection with obligations under this agreement, will attempt to resolve such complaints, and will take appropriate corrective action within 15 days. All subsequent corrective actions or decisions will also be documented and forwarded to the NYS Department of Transportation Compliance Officer within 7 days after such action has taken place. If the investigation indicates that the discrimination may affect persons other than the complainant, such corrective action shall include such other persons. Upon completion of each investigation, the CONSULTANT will inform every complainant of the results and all of their avenues of appeal should the complaint be denied.

7. TRAINING AND PROMOTION  (a) The CONSULTANT will assist in locating, qualifying and increasing the skills of minority group and women employees, and applicants for employment.

(b) Consistent with the CONSULTANT's work force requirements and as permissible under the Federal and State regulations, the CONSULTANT shall make full use of training programs; i.e., apprenticeship and on-the-job training programs for the geographical area of contract performance. In the event the Training Special Provision is provided under this contract, this subparagraph is superseded thereby.

c) The CONSULTANT will advise employees and applicants for employment of available training programs and entrance requirements for each.

(d) The CONSULTANT will periodically review the training and promotion potential of minority group and women employees and will encourage eligible employees to apply for such training and promotion.
8. UNIONS  If the CONSULTANT relies in whole or in part upon unions as a source of employees, the CONSULTANT will use their best effort to obtain the cooperation of such unions to increase opportunities for minority groups and women within the unions, and, to effect referrals by such unions of minority and female employees. The CONSULTANT will send to each labor union or representative of workers with which he has or is bound by a collective bargaining or other agreement or understanding, a notice to be provided by the State Division of Human Rights, advising such labor union or representative of the CONSULTANT's compliance and with the non-discrimination clauses. Actions by the CONSULTANT, either directly or through a CONSULTANT's association acting as agent, will include the procedures set forth below:

(a) The CONSULTANT will use their best efforts to develop, in cooperation with the unions, joint training programs aimed toward qualifying more minority group members and women for membership in the unions and increasing the skills of minority group employees and women so that they may qualify for higher paying employment.

(b) The CONSULTANT will use their best efforts to incorporate an equal employment opportunity clause into each union agreement to the end that such union will be contractually bound to refer applicants without regard to their race, color, religion, sex, national origin, age, disability or marital status.

(c) The CONSULTANT is to obtain information as to the referral practices and policies of the labor union except that to the extent such information is within the exclusive possession of the labor union, and such labor union refuses to furnish such information to the CONSULTANT. The CONSULTANT shall so certify to the STATE and shall set forth what efforts have been made to obtain such information. Further, if the CONSULTANT was directed to do so by the contracting agency as part of the bid or negotiations of this contract, the CONSULTANT shall request such labor union or representative to furnish him with a written statement that such labor union or representative accepts the non-discrimination clauses and will affirmatively cooperate, within the limits of its legal and contractual authority, in the implementation of the policy and provisions of these non-discrimination clauses or that it consents and agrees that recruitment, employment and the terms and conditions of employment under this contract shall be in accordance with the purposes and provisions of these non-discrimination clauses. If such labor union or representative fails or refuses to comply with such a request that it furnish such a statement, the CONSULTANT shall promptly notify the State Division of Human Rights and set forth what efforts have been made to obtain such information.

(d) In the event the union is unable to provide the CONSULTANT with a reasonable flow of minority and women referrals within the time limit set forth in the collective bargaining agreement, the CONSULTANT will, through independent recruitment efforts, fill the employment vacancies without regard to race, color, religion, sex, national origin, age, disability or marital status, making full efforts to obtain qualified and/or qualifiable minority group persons and women. (The U.S. Department of Labor has held that it shall be no excuse that the union with which the CONSULTANT has a collective bargaining agreement providing for exclusive referral failed to refer minority employees.) In the event the union referral practice prevents the CONSULTANT from meeting the obligations pursuant to Executive Order 11246, as amended, and these special provisions, such CONSULTANT shall immediately notify the New York State Department of Transportation.

9. AFFIRMATIVE ACTION IN SUBCONTRACTING  (a) The CONSULTANT will not discriminate on the grounds of race, religion, sex, color, national origin, age, disability or marital status in the selection of subcontractors, including procurements and leases of equipment.

(b) If the CONSULTANT determines to use a subcontractor as part of this agreement, affirmative action shall be taken to increase the participation of minority business firms in that work. As part
of that affirmative action, the CONSULTANT will identify and contact minority business firms and solicit proposals for the work to be subcontracted. The STATE will provide a list of names of minority business firms to the CONSULTANT. Another source that should be contacted for a list of minority business firms is the Governor's Office of Minority & Women's Business Development (GOMWBD).

(c) The CONSULTANT will document the affirmative action steps taken to comply with paragraph 9b. Such documentation will be provided at the time or submittal of a formal proposal to the State's Contracts Bureau.

(d) By execution of this agreement, the CONSULTANT certifies that the affirmative action steps in 9a, 9b & 9c above were taken when soliciting proposals for the work in this agreement indicated to be subcontracted and that these steps will be taken should any work be subcontracted in the future.

(e) The CONSULTANT will insure binding subcontractor and vendor compliance with their EEO obligations. The CONSULTANT will take such actions in enforcing such provisions of subcontract or purchase order as the contracting agency may direct, including sanctions or remedies for non-compliance. If the CONSULTANT becomes involved in or is threatened with litigation with a subcontractor or a vendor as a result of such direction by the contracting agency, the CONSULTANT shall promptly so notify the Attorney General, requesting him to intervene and protect the interest of the State of New York.

10. RECORDS AND REPORTS

(a) The CONSULTANT will keep such records as are necessary to determine compliance with the CONSULTANT's equal employment opportunity obligations. The records kept by the CONSULTANT will be designed to indicate:

1. The number of minority and non-minority group members and women employed in each work classification on the project, where required by the NYS D.O.T Compliance Officer.
2. The progress and efforts being made in cooperation with unions to increase employment opportunities for minorities and women (applicable only to CONSULTANTS who rely in whole or in part on unions as a source of their work force).
3. The progress and efforts being made in locating, hiring, training, qualifying, and upgrading minority and female employees.
4. The progress and efforts being made in securing the services of minority group subcontractors or subcontractors with meaningful minority and female representation among their employees.
5. Compliance with all other requirements in these provisions such as meetings, instructions, employment efforts, etc.

(b) The CONSULTANT will comply with Sections 291-299 of the Executive Law and Civil Rights Law and will provide all information and reports required by the Regulations, or orders and instructions issued pursuant thereto, and will permit access to its books, records, accounts other sources of information, and its facilities as may be determined by State or Federal officials to be pertinent to ascertain compliance with such Regulations, orders and instructions. All such records must be retained for a period of three years following completion of the contract work and shall be available at reasonable times and places for inspection by authorized representatives of the State and the Federal Highway Administration.

(c) Failure to comply with these Special EEO Provisions may be considered unsatisfactory performance and may subject the agreement to termination under the termination article of this agreement. Non-compliance may result in the CONSULTANT's being declared ineligible for future agreements made by or on behalf of the STATE or a public authority or agency of the
STATE, until he satisfies the State Commissioner of Human Rights that he has established and is carrying out a program in conformity with the provisions of these non-discrimination clauses. Such finding shall be made by the State Commissioner of Human Rights after conciliation efforts by the State Division of Human Rights have failed to achieve compliance with these non-discrimination clauses and after a verified complaint has been filed with the State Division of Human Rights, notice thereof has been given to the CONSULTANT and an opportunity has been afforded them to be heard publicly before the State Commissioner of Human Rights or official designee. Such sanctions may be imposed and remedies invoked independently of or in addition to sanctions and remedies otherwise provided for by law. These may include, but are not limited to:

(1) withholding of payments to the CONSULTANT under the agreement until the CONSULTANT complies, and/or
(2) cancellation, termination or suspensions of the agreement in whole or in part.

11. TRAINING SPECIAL PROVISIONS  This Training Special Provision supersedes paragraph 7.b above and is in implementation of 23 CFR Subpart A, Section 230.111 & Executive Order 11246.

As part of the CONSULTANT’s equal employment opportunity affirmative action program training shall be provided as follows:

The CONSULTANT shall provide on-the-job training aimed at developing full competence in the job classification involved.

The number of months of training to be provided under these special provisions is previously stated in Article II.

In the event that the CONSULTANT subcontracts a portion of the contract work, it shall be determined how many, if any, of the trainees are to be trained by the subcontractor, provided however, that the CONSULTANT shall retain the primary responsibility for meeting the training requirements imposed by this special provision. The CONSULTANT shall also insure that this training special provision is made applicable to such subcontract.

The number of trainees shall be distributed among the work classifications on the basis of the CONSULTANT's needs. Along with their proposal, the CONSULTANT shall submit to the New York State Department of Transportation for approval the proposed number of trainees to be trained in each selected classification, their estimated salaries and a training schedule. The salaries to be paid trainees shall not be less that 75 percent of the average hourly rate approved in the agreement for the classification to be trained. During the period from the beginning of the project to its completion, the trainee shall receive reasonable salary increases commensurate to the abilities and effort exerted by the trainee. The training schedule required should indicate the start of work and appropriate incremental salary steps in accord with the above.

Training and upgrading the proficiency of minorities and women is a primary objective of this Training Special Provision. Accordingly, the CONSULTANT shall make every effort to enroll minority trainees and women (e.g., by conducting systematic and direct recruitment through public and private sources likely to yield minority and women trainees) to the extent that such persons are available within a reasonable area of recruitment. The CONSULTANT will be responsible for demonstrating the steps that have been taken in pursuance thereof, prior to a determination as to whether the CONSULTANT is in compliance with this Training Special Provision. This training commitment is not intended, and shall not be used, to discriminate against any applicant for training, whether a member of a minority group or not.
No employee shall be employed as a trainee in any classification in which they have successfully completed a training program or in a classification in which they have been employed. The CONSULTANT should satisfy this requirement by including appropriate questions in the employee application or by other suitable means. Regardless of the method used, the CONSULTANT’s records should document the findings in each case.

The minimum length and type of training for each classification will be as established in the training schedule developed by the CONSULTANT and approved by the State and Federal Highway Administration. The State and the Federal Highway Administration shall approve a program if it reasonably calculated to meet the equal employment opportunity obligations of the CONSULTANT and to assist in qualifying the average trainee toward proficiency in the classification concerned by the end of the training period. Approval of a training program shall be obtained from the State prior to commencing work on the classification covered by the program. Training is permissible in lower level management positions. Some offsite training is permissible as long as the training is an integral part of an approved training program and does not comprise a significant part of the overall training.

The CONSULTANT will be reimbursed for the cost of any and all training under the payment terms of this agreement. This can include offsite training cost as discussed above. All offsite training must be defined in the training schedule. All costs claimed or calculated for training must be directly related to the work defined in the scope of this agreement and/or added by supplemental agreement.

The CONSULTANT must demonstrate their best efforts and evidence good faith in hiring trainees for positions in the classification in which they have completed training.

The CONSULTANT shall furnish the trainee a copy of the program they will follow in the training. The CONSULTANT shall provide each trainee with a certification showing the type and length of training satisfactorily completed.

The CONSULTANT will provide for the maintenance of records and furnish periodic reports documenting their performance under this Training Special Provision.

Updated July 2017
I. General Provisions
   A. The New York State Department of Transportation (NYSDOT) is required to implement the provisions of New York State Executive Law Article 15-A and Parts 140-145 of Title 5 of the New York Codes, Rules and Regulations (NYCRR) for all State contracts, as defined therein, with a value (1) in excess of $25,000 for labor, services, equipment, materials, or any combination of the foregoing or (2) in excess of $100,000 for real property renovations and construction.
   B. The consultant to the subject contract (the “Consultant” and the “Contract” respectively) agrees, in addition to any other nondiscrimination provision of the Contract and at no additional cost to NYSSDOT, to fully comply and cooperate with NYSDOT in the implementation of New York State Executive Law Article 15-A and the regulations promulgated thereunder. These requirements include equal employment opportunities for minority group members and women (EEO), and contracting opportunities for New York State-certified Minority and Women-Owned Business Enterprises (MWBEs). The Consultant’s demonstration of “good faith efforts” pursuant to 5 NYCRR § 142.8 shall be a part of these requirements. These provisions shall be deemed supplementary to, and not in lieu of, the nondiscrimination provisions required by New York State Executive Law Article 15 (the “Human Rights Law”) and other applicable federal, state, and local laws.
   C. Failure to comply with all of the requirements herein may result in a finding of non-responsiveness, non-responsibility and/or a breach of contract, leading to the assessment of liquidated damages pursuant to Section VII of this Appendix C and such other remedies are available to NYSDOT pursuant to the Contract and applicable law.

II. MWBE Utilization Plan
   A. The Consultant represents and warrants that the Consultant has submitted an MWBE Utilization Plan, or shall submit a MWBE Utilization Plan at such time as shall be required by NYSDOT. The MWBE Utilization Plan is to be submitted consistent with the requirements stated in the procurement document.
   B. The Consultant agrees to adhere to such MWBE Utilization Plan in the performance of the Contract.
   C. The Consultant further agrees that failure to submit and/or adhere to such MWBE Utilization Plan shall constitute a material breach of the terms of the Contract. Upon the occurrence of such material breach, NYSDOT shall be entitled to any remedy provided herein, including but not limited to, a finding that the Consultant is non-responsive.

III. Waivers Post Contract Execution
   A. If the Consultant, after making good faith efforts, is unable to achieve the MWBE Contract Goals stated herein, the Consultant may submit a request for a waiver to the NYSDOT Contract Management Bureau, Civil Rights Unit. Such waiver request must be supported by evidence of the Consultant’s good faith efforts to achieve the maximum feasible MWBE participation towards the applicable MWBE Contract Goals. If the documentation included with the waiver request is complete, NYSDOT shall evaluate the request and issue a written notice of approval or denial within twenty (20) business days of receipt.
   B. If NYSDOT, upon review of the MWBE Utilization Plan, quarterly MWBE Contractor Compliance Reports described in Section VI, or any other relevant information, determines that the Consultant is failing or refusing to comply with the MWBE Contract Goals, and no waiver has been issued in regards to such non-compliance, NYSDOT may issue a notice of deficiency to the Consultant. The Consultant must respond to
the notice of deficiency within seven (7) business days of receipt. Such response may include a request for partial or total waiver of the MWBE Contract Goals.

IV. **Liquidated Damages – MWBE Participation**

A. Where NYSDOT determines that the Consultant is not in compliance with the requirements of this Appendix and the Consultant refuses to comply with such requirements, or if the Consultant is found to have willfully and intentionally failed to comply with the MWBE participation goals, the Consultant shall be obligated to pay to NYSDOT liquidated damages.

B. Such liquidated damages shall be calculated as an amount equaling the difference between:
    1. All sums identified for payment to the MWBEs had the Consultant achieved the contractual MWBE goals; and
    2. All sums actually paid to MWBEs for work performed or materials supplied under the Contract.

C. In the event a determination has been made which requires the payment of liquidated damages and such identified sums have not been withheld by NYSDOT, the Consultant shall pay such liquidated damages to NYSDOT within sixty (60) days after they are assessed. Provided, however, that if the Consultant has filed a complaint with the Director of the Division of Minority and Women’s Business Development pursuant to 5 NYCRR § 142.12, liquidated damages shall be payable only in the event of a determination adverse to the Consultant following the complaint process.
State Consultant Services  
Contractor’s Annual Employment Report  
Report Period: April 1, to March 31,  

Contracting State Agency Name: Transportation  
Agency Code: 17000  
Contract Number:  
Contract Term to  
Contractor Name:  
Contractor Address:  
Description of Services Being Provided:  

**Scope of Contract (Choose one that best fits):**  
Analysis [ ] Evaluation [ ] Research [ ] Training [ ]  
Data Processing [ ] Computer Programming [ ] Other IT consulting [ ]  
Engineering [ ] Architect Services [ ] Surveying [ ] Environmental Services [ ]  
Health Services [ ] Mental Health Services [ ]  
Accounting [ ] Auditing [x] Paralegal [ ] Legal [ ] Other Consulting [ ]  

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Name of person who prepared this report:  
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Title: __________________________ Phone #: __________________________  
Date Prepared: / /  
Use additional pages if necessary)
8.2 ATTACHMENT 2: CONSULTANT INFORMATION AND CERTIFICATIONS
(Please submit this with your Part II: Cost Proposal)

CONTRACT NUMBER:  C037629
PROJECT TITLE: CPA AUDIT SERVICES (CLOSEOUT) for NYSDOT

I. CONSULTANT INFORMATION

FIRM NAME: ______________________________________________________________
ADDRESS:_________________________________________________________________
CITY:_________________________________________ STATE: ___________
ZIP CODE: __ __ __ __ __ - __ __ __ __
TELEPHONE : (____) _____ - __________ FAX: (____) _____ - __________
E-MAIL ADDRESS: _________________________________________________________
CONTACT PERSON: ________________________________________________________

Consultant’s Federal Identification Number (FIN):________________________
Consultant’s NYSDOT Consultant Identification Number (CIN): ___________________

• Please indicate below the name, title, address, and telephone/fax numbers of the
  person who prepared this proposal, as well as any other individual(s) with authority
  to negotiate and contractually bind the offerer and also who may be contacted during
  the period of proposal evaluation:

Preparer’s Name/Title: _____________________________________________________
Address:  ___________________________________________________________________
Telephone: (____) _____ - __________  FAX: (____) _____ - __________

Other Authorized Individual(s):
Name/Title:________________________________________________________________
Address:____________________________________________________________________
Telephone: (____) _____ - __________  FAX: (____) _____ - ______
II. PROPOSER CERTIFICATIONS

By signing below, I, ________________________________, authorized individual
(Name)
of _______________________________ make the following
(Firm)
certifications regarding the subject proposal:

- 180-Day Offer: This proposal is a firm offer for a 180-day period from the date of submission.
- The firm has read and will follow the procedure outlined in Section 7.3 of the RFP if it proposes the services of a former NYSDOT employee(s).
- Vendor Responsibility: If selected for contract award, the firm will complete and submit the required Vendor Responsibility Questionnaire via the OSC VendRep portal within 10 days of notification of designation. (http://www.osc.state.ny.us/vendrep/forms_vendor.htm )
- ST-220: If selected for contract award greater that $100,000, the firm will complete and submit the required Forms ST-220-TD and 220-CA (Contractor Certifications) prior to negotiation with NYSDOT. You should make yourself familiar with these forms by visiting the following Web sites:

Signature: ____________________________________________

III. ACCEPTANCE OF CONTRACT

By signing below, I, ________________________________, authorized individual
(Name)
of _______________________________ hereby certify that I have read and
(Firm)
accept all terms and conditions contained in the draft Contract, including
Appendix A, which is included as Attachment 1 to this Request for Proposals.

Signature: ____________________________________________
(Name of Acceptor)
8.3 ATTACHMENT 3: PROCUREMENT LOBBYING LAW COMPLIANCE

1. **Required Forms:** The consultant shall sign and e-mail/fax the following forms. These forms are part of and due with the consultant’s proposal.

   - Offerer’s Affirmation of Understanding of and Agreement pursuant to State Finance Law §139-j (3) and §139-j (6) (b)  
   - Offerer Disclosure of Prior Non-Responsibility Determinations  

2. **NYSDOT Guidelines and Procedures**

Under the requirements of the State Procurement Act all communications regarding advertised projects are to be channeled through Contract Management (*Designated Contacts). Until a designation is made, communication with any other NYSDOT employee concerning this project that is determined to be an attempt to influence the procurement may result in disqualification.


3. **Summary of the policy and prohibitions regarding permissible contacts**
   a) **Contacts prior to designation:**

   Any communications involving an attempt to influence the procurement are only permitted with the following Designated Contact Persons:
   - The Contract Management Designation Contract Analyst
   - The Contract Management Designation Analyst Supervisor
   - The Contract Management Civil Rights Unit Supervisor
   - The Contract Management Assistant Directors
   - The Contract Management Director

   These are some communications exempted from this restriction:
   - Participation in a pre-proposal conference.
   - Protests, complaints of improper conduct or misrepresentation

   If any other NYSDOT employee is contacted and they believe a reasonable person would infer that the communication was intended to influence the procurement, the contact must be reported by the NYSDOT employee. If the Department determines an impermissible contact was made, that offerer cannot be awarded the contract. A second violation would lead to a four year bar on the award of public contracts to the offerer.

   b) **Contacts after designation**

   NYSDOT identifies its primary negotiation contacts. The designated contacts include:
   - The Contract Management Designation Contract Analyst
   - The Contract Management Designation Analyst Supervisor
   - The Contract Management Civil Rights Unit Supervisor
The Contract Management Assistant Directors
The Contract Management Director
The Consultant Management Bureau consultant job manager
The Consultant Management Bureau consultant job manager’s immediate supervisor

The law does not limit who may be contacted during the negotiation process. However, if any NYSDOT employee is contacted and they believe a reasonable person would infer that the communication was intended to influence the procurement, the contact must be reported by the NYSDOT employee.

c) Information Required from Offerers that contact NYSDOT staff, prior to contract approval by the Office of the State Comptroller:
The individuals contacting NYSDOT should refer and shall be prepared to provide the following information, either by e-mail or fax as directed by NYSDOT:
    Person’s name, firm person works for, address of employer, telephone number, occupation, firm they are representing, and whether owner, employee, retained by or designated by the firm to appear before or contact the NYSDOT.

d) Applicability to an executed contract:
Restrictions similar to those described above apply to approval or denial of an assignment, amendment (other than amendments that are authorized and payable under the terms of the procurement contract as it was finally awarded or approved by the comptroller, as applicable), renewal or extension of a procurement contract, or any other material change in the procurement contract resulting in a financial benefit to the offerer. The staff noted above as well as the project manager and consultant manager are considered designated contact persons. The Department may identify other contact persons for each of these processes.

4. Rules and regulations and more information on this law, please visit:
http://ogs.ny.gov/Aboutogs/regulations/defaultAdvisoryCouncil.html (Advisory Council FAQs)

For more information, go to NYSDOT’s Web Site at http://www.dot.ny.gov or contact:

Donelle Mastropietro
NYSDOT Contract Management
50 Wolf Road, 6th Floor
Albany, New York 12232
E-mail: Donelle.Mastropietro@dot.ny.gov
Tele: (518) 457-2600
## FORM A

**State Consultant Services – Contractor’s Planned Employment**

From Contract Start Date Through The End Of The Contract Term

<table>
<thead>
<tr>
<th>O*Net Employment Category</th>
<th>Number of Employees</th>
<th>Number of hours to be worked</th>
<th>Amount Payable Under the Contract</th>
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**Total this page**  
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**Grand Total**

Name of person who prepared this report:

Title:  
Phone #:  
Preparer’s Signature:  
Date Prepared:  /  /  

(Use additional pages, if necessary)  
Page  of
State Consultant Services
Contractor’s Annual Employment Report
Report Period: April 1, 2023 to March 31, 2023

Contracting State Agency Name: Transportation
Agency Code: DOT01
Contract Number:
Contract Term to
Contractor Name:
Contractor Address:
Description of Services Being Provided:

Scope of Contract (Choose one that best fits):
Analysis ☐ Evaluation ☐ Research ☐ Training ☐
Data Processing ☐ Computer Programming ☐ Other IT consulting ☐
Engineering ☐ Architect Services ☐ Surveying ☐ Environmental Services ☐
Health Services ☐ Mental Health Services ☐
Accounting ☐ Auditing ☒ Paralegal ☐ Legal ☐ Other Consulting ☐

O*NET Employment Category Number and O*NET Job Title
Number of Employees
Number of Hours Worked
Amount Payable Under the Contract

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<th>Number of Employees</th>
<th>Number of Hours Worked</th>
<th>Amount Payable Under the Contract</th>
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Total this page 0 0 $ 0.00
Grand Total

Name of person who prepared this report:
Preparer's Signature:__________________________________________
Title: ___________________________ Phone #:____________________
Date Prepared: __/__/2023

Use additional pages if necessary) Page of
8.5 ATTACHMENT 5: DBE PARTICIPATION INFORMATION (Not Applicable)
8.6 ATTACHMENT 6: DIVERSITY PRACTICES QUESTIONNAIRE

I, ___________________, as __________________ (title) of _______________firm or company (hereafter referred to as the company), swear and/or affirm under penalty of perjury that the answers submitted to the following questions are complete and accurate to the best of my knowledge:

1. Does your company have a Chief Diversity Officer or other individual who is tasked with supplier diversity initiatives?  Yes or No
   If Yes, provide the name, title, description of duties, and evidence of initiatives performed by this individual or individuals.

2. What percentage of your company’s gross revenues (from your prior fiscal year) was paid to New York State certified minority and/or women-owned business enterprises as subcontractors, suppliers, joint-venturers, partners or other similar arrangement for the provision of goods or services to your company’s clients or customers?

3. What percentage of your company’s overhead (i.e. those expenditures that are not directly related to the provision of goods or services to your company’s clients or customers) or non-contract-related expenses (from your prior fiscal year) was paid to New York State certified minority- and women-owned business enterprises as suppliers/contractors?4

4. Does your company provide technical training5 to minority- and women-owned business enterprises? Yes or No
   If Yes, provide a description of such training which should include, but not be limited to, the date the program was initiated, the names and the number of minority- and women-owned business enterprises participating in such training, the number of years such training has been offered and the number of hours per year for which such training occurs.

5. Is your company participating in a government approved minority- and women-owned business enterprise mentor-protégé program?
   If Yes, identify the governmental mentoring program in which your company participates and provide evidence demonstrating the extent of your company’s commitment to the governmental mentoring program.

6. Does your company include specific quantitative goals for the utilization of minority- and women-owned business enterprises in its non-government procurements? Yes or No
   If Yes, provide a description of such non-government procurements (including time period, goal, scope and dollar amount) and indicate the percentage of the goals that were attained.

7. Does your company have a formal minority- and women-owned business enterprise supplier diversity program? Yes or No
   If Yes, provide documentation of program activities and a copy of policy or program materials.

---

4 Do not include onsite project overhead.
5 Technical training is the process of teaching employees how to more accurately and thoroughly perform the technical components of their jobs. Training can include technology applications, products, sales and service tactics, and more. Technical skills are job-specific as opposed to soft skills, which are transferable.
8. Does your company plan to enter into partnering or subcontracting agreements with New York State certified minority- and women-owned business enterprises if selected as the successful respondent? Yes or No

If Yes, complete the attached Utilization Plan (Attachment 7).

All information provided in connection with the questionnaire is subject to audit and any fraudulent statements are subject to criminal prosecution and debarment.

Signature of Owner/Official

Printed Name of Signatory

Title

Name of Business

Address

City, State, Zip
STATE OF _______________________________
COUNTY OF                             ) ss:

On the ______ day of __________, 201_, before me, the undersigned, a Notary Public in and
for the State of __________, personally appeared ________________________,
personally known to me or proved to me on the basis of satisfactory evidence to be the
individual whose name is subscribed to this certification and said person executed this
instrument.

__________________________
Notary Public
Please complete the following table for the prime firm and all subconsultants (consultant team composition): please identify each firm’s legal name, checking if they are a Empire State Development (ESD) certified MBE and/or a ESD certified WBE, and indicating each firm’s percentage of the total salary for the contract. Please keep in mind that only ESD certified MBE and/or certified WBE prime consultants and/or ESD certified MBE and/or certified WBE subconsultants are eligible to participate toward attainment of this state-funded procurement.

**Further, participation by a certified MBE and/or WBE prime consultant as well as certified MBE and/or WBE subconsultants may count towards the M/WBE participation goal.**

If the combined percentage of total salary for all certified MBEs and/or all certified WBEs proposed is less than the M/WBE participation goal, then the proposing prime firm is required to fill out and submit the Participation Solicitation Log (Attachment 6; one for each goal not attained), and is required to submit a M/WBE Goal Attainment Explanation Letter.

Contract#: ___________________________

<table>
<thead>
<tr>
<th>Firm Legal Name</th>
<th>NYS ESD Certified MBE/WBE</th>
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<td>MBE</td>
<td>WBE</td>
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<td>A. Prime Consultant</td>
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<td>B. Sub-Consultants</td>
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<td>Total</td>
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### 8.7a ATTACHMENT 7a: SUBCONSULTANT PARTICIPATION SOLICITATION LOG

*(Good Faith Effort Documentation)*

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<th>CONTRACT NO. ____________________</th>
<th>PARTICIPATION GOALS (SELECT ONE)</th>
<th>PAGE NUMBER ___ OF ___</th>
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<tr>
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<td>MBE % ____ WBE % ____ DBE%______</td>
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<th>PRIME FIRM NAME/ADDRESS/ZIP CODE</th>
<th>CONTACT PERSON</th>
<th>TELEPHONE NUMBER (INCLUDE AREA CODE)</th>
<th>E-MAIL</th>
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<th>FEDERAL EMPLOYER ID #</th>
<th>WORK TYPES BEING SOLICITED</th>
<th>TYPES AND DATES OF CONTACTS</th>
<th>CONTACT RESULT(S)</th>
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Please complete the following table for the prime firm and all subcontractors (Contractor team composition): Please identify each firm’s legal name, checking if they are a NYS Office of General Services Certified SDVOB, and indicating each firm’s percentage of the total salary for the contract. Please keep in mind that only certified SDVOB prime Contractors are eligible to participate toward attainment of this state-funded procurement.

Further, participation by a certified SDVOB Contractor may count towards the SDVOB participation goal.

If the combined percentage of total salary for all certified SDVOBs proposed is less than the 6% SDVOB participation goal, then the proposing prime firm is required to fill out and submit the Participation Solicitation Log, Attachment 8a, and is required to submit a SDVOB Goal Attainment Explanation Letter.

Contract#: C037629

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<td>A. Prime Contractor</td>
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<td>B. Subcontractors</td>
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8.8a ATTACHMENT 8a: SDVOB SUBCONTRACTOR PARTICIPATION SOLICITATION LOG

(Good Faith Effort Documentation)

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<th>PRIME FIRM NAME/ADDRESS/ZIP CODE</th>
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<th>TELEPHONE NUMBER (INCLUDE AREA CODE)</th>
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<th>FEDERAL EMPLOYER ID #</th>
<th>WORK TYPES BEING SOLICITED</th>
<th>TYPES AND DATES OF CONTACTS</th>
<th>CONTACT RESULT(S)</th>
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ATTACHMENT 9: SOLICITATION LOG INSTRUCTIONS

(Good Faith Effort Documentation)

To be deemed responsive to this solicitation, Consultants whose proposed D/M/WBE participation does not meet the established participation goal must document and report their efforts to solicit participation by certified D/M/WBE in this Non-Architecture/Non-Engineering contract. The Solicitation Log is used for this purpose.

PLEASE NOTE: For RFP’s with a DBE goal, only participation by NYSUCP certified DBE prime consultants as well as NYSUCP certified DBE subconsultants may count toward goal attainment. For RFP’s with MBE and/or WBE goals, only consultants or subconsultants certified by New York State Empire State Development may count toward goal attainment.

Guidance concerning Good Faith Efforts in meeting D/M/WBE participation goals is located at the end of this section.

The log is to be filled out and submitted with the proposing firm’s Cost and Contract Proposal. In order for a proposal to be determined as responsive when the D/M/WBE participation goal is not attained at all or only partially attained, then the proposer must complete all sections of this form and submit a Solicitation Log, along with a Goal Attainment Explanation Letter, documenting the firm’s Good Faith Effort. A separate Solicitation Log must be submitted for each Participation Goal established in the RFP.

*** DBE CERTIFICATION IS A FEDERAL PROGRAM CERTIFICATION. ***
IT IS SEPARATE AND DISTINCT FROM THE NEW YORK STATE MBE & WBE PROGRAM.
PLEASE DO NOT CONFUSE THE TWO. FIRMS WITH QUESTIONS REGARDING THESE PROGRAMS ARE ENCOURAGED TO SUBMIT WRITTEN QUESTIONS

CONTRACT NO: Enter NY State DOT contract number (Example: C012345).

PARTICIPATION GOAL: Enter applicable MBE/WBE/DBE participation goal percentage as stated in the proposal.

PAGE NO.: Enter 1 of 1; or 1 of 2 and 2 of 2; etc. Use additional forms as needed.

PRIME NAME/ADDRESS/ZIP CODE: Enter name of the Prime Consultant, its address and zip code.

CONTACT PERSON: Enter the name of the person your firm has designated as the authorized contact person for this solicitation.

CONTACT PERSON TELEPHONE AND E-MAIL: Enter area code, phone number and e-mail address for the person your firm has designated as the authorized contact person for this solicitation.

MBE/WBE/DBE CONSULTANTS SOLICITED:

SOLICITED COMPANY NAME AND CONTACT PERSON: Enter name of solicited firm and name of the individual associated with the firm to whom the solicitation inquiry was sent.
TELEPHONE (With Area Code): Enter TELEPHONE number of the solicited firm.

FEDERAL EMPLOYER ID #: Enter the Federal Employer Identification Number of the solicited firm.

WORK TYPE(S) BEING SOLICITED: Enter the work type(s) or Commercial Useful Function for which this firm has been solicited in connection with the Scope of Services for this contract. NOTE: Work type codes are provided for every certified firm listed in the DBE Registry. Commodity type codes are provided for every certified firm listed in the ESD M/WBE Registry.

TYPES AND DATES OF CONTACT: Enter dates on which your firm contacted the solicited firm, either by mail (date solicitation sent), telephone (including date and time of call) or other person-to-person contacts. Identify the type of contact by prefacing each date with "M" if a mail contact; "T" if a telephone call; and "D" if a direct meeting with the firm.

CONTACT RESULT(S): Enter the code(s) which indicates the result(s) of your solicitation.

*** USE ADDITIONAL PAGES AS NEEDED ***

A description of the codes to use is as follows:

**CODE DESCRIPTION:**

1. This firm is unavailable to participate in the contract for the reason(s) stated on the DBE Solicitation Response. (Attach explanation to the Log.)

2. This firm is no longer in business. (NOTE: If this action is checked, attach your explanation as to why the solicitation was sent to the firm and how evidence that it was no longer in business was obtained. Attach the returned envelope showing that it was undeliverable, for instance.)

3. The soliciting Prime Consultant was unable to reach this firm after having a telephone conversation to follow-up on the participation solicitation inquiry. (NOTE: Indicate in the Types and Dates of Contact column the dates and times at which follow-up was attempted.)

4. This firm did not respond to repeated telephone messages. (NOTE: Indicate in the Types and Dates of Contact column the dates and times at which messages were left).
Guidance Concerning Good Faith Efforts in Meeting D/M/WBE Participation Goals in Federally-Funded Contracts

The following is a list of types of actions that demonstrate good faith efforts in obtaining D/M/WBE participation. This list is not exclusive or exhaustive. The bidder must show that it took all necessary and reasonable steps to achieve a D/M/WBE goal which, by their scope, intensity, and appropriateness to the objective, could reasonably be expected to obtain sufficient D/M/WBE participation, even if they were not fully successful.

- Soliciting through all reasonable and available means (e.g. attendance at pre-bid meetings, utilizing the NYSUCP DBE Directory – [http://www.nysucp.net/](http://www.nysucp.net/) or the ESD M/WBE Directory -[http://www.esd.ny.gov/MWBE.html](http://www.esd.ny.gov/MWBE.html)) the interest of all certified D/M/WBEs who have the capability to perform the work of the contract. The bidder must solicit this interest within sufficient time to allow the D/M/WBEs to respond to the solicitation. The bidder must determine with certainty if the D/M/WBEs are interested by taking appropriate steps to follow up initial solicitations.

- Selecting portions of the work to be performed by D/M/WBEs in order to increase the likelihood that the D/W/BBE goals will be achieved. This includes, where appropriate, breaking out contract work items into economically feasible units to facilitate D/M/WBE participation, even when the bidder might otherwise prefer to perform these work items with its own forces.

- Providing interested D/M/WBEs with adequate information about the plans, specifications, and requirements of the contract in a timely manner to assist them in responding to a solicitation.

- Negotiating in good faith with interested D/M/WBEs – it is the bidder’s responsibility to make a portion of the work available to D/M/WBE subcontractors and suppliers and to select those portions of the work or material needs consistent with the available D/M/WBE subcontractors and suppliers, so as to facilitate D/M/WBE participation. Evidence of such negotiation includes the names, addresses, and telephone numbers of D/M/WBEs that were considered; a description of the information provided regarding the plans and specifications for the work selected for subcontracting; and evidence as to why additional agreements could not be reached for D/M/WBEs to perform the work.

- A bidder using good business judgment should consider a number of factors in negotiating with subcontractors, including D/M/WBE subcontractors, and would take a firm’s price and capabilities as well as contract goals into consideration. However, the fact that there may be some additional costs involved in finding a D/M/WBE is not in itself sufficient reason for failure to meet the contract D/M/WBE goal. Also, the ability or desire to perform the work of a contract with its own organization does not relieve the bidder of the responsibility to make good faith efforts.

- Do not reject D/M/WBEs as being unqualified without sound reasons based on a thorough investigation of their capabilities. The contractor’s standing within its industry, membership in specific groups, organizations, or associations and political or social affiliations (for example union versus non-union employee status) are not legitimate causes for the rejection or non-solicitation of bids in the contractor’s efforts to meet the project goal.
- Making efforts to assist interested D/M/WBEs in obtaining bonding, lines of credit, or insurance as required by the recipient or contract.
8.10 ATTACHMENT 10: NEW YORK BUSINESS REPORTING

Encouraging Use of New York State Businesses in Contract Performance

New York State businesses have a substantial presence in State contracts and strongly contribute to the economies of the state and the nation. In recognition of their economic activity and leadership in doing business in New York State, bidders/proposers for this contract for commodities, services or technology are strongly encouraged and expected to consider New York State businesses in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles.

Bidders/proposers need to be aware that all authorized users of this contract will be strongly encouraged, to the maximum extent practical and consistent with legal requirements, to use responsible and responsive New York State businesses in purchasing commodities that are of equal quality and functionality and in utilizing services and technology. Furthermore, bidders/proposers are reminded that they must continue to utilize small, minority and women-owned businesses, consistent with current State law.

Utilizing New York State businesses in State contracts will help create more private sector jobs, rebuild New York’s infrastructure, and maximize economic activity to the mutual benefit of the contractor and its New York State business partners. New York State businesses will promote the contractor’s optimal performance under the contract, thereby fully benefiting the public sector programs that are supported by associated procurements.

Public procurements can drive and improve the State’s economic engine through promotion of the use of New York businesses by its contractors. The State therefore expects bidders/proposers to provide maximum assistance to New York businesses in their use of the contract. The potential participation by all kinds of New York businesses will deliver great value to the State and its taxpayers.

Bidders/proposers can demonstrate their commitment to the use of New York State businesses by responding to the question below and if answered in the affirmative, completing and submitting the following table for all firms (prime consultant and all subconsultants) participating in your proposal. The definition of ‘NYS Business’ is: ‘Any firm with a business address which lies within the borders of New York State from which location the proposed services from this firm shall be provided under this contract’. Indicate whether each proposed firm is classified as a NYS Business, the total dollar amount attributable to each firm, the total proposed contract cost, and the NYS business address of each firm.
Contract Number: ______________

Will New York State Businesses be used in the performance of this contract?
Yes _____
No _____

<table>
<thead>
<tr>
<th>Firm Legal Name</th>
<th>NYS Business? (Y or N)</th>
<th>% of Total Proposed Contract Cost</th>
<th>NYS Business Address</th>
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<td>B. Sub-Consultants</td>
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Total Proposed Contract Cost: $
ACKNOWLEDGMENT OF RECEIPT OF
RFP, MODIFICATIONS AND RESPONSES TO QUESTIONS

<table>
<thead>
<tr>
<th>NAME OF PROPOSER</th>
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We hereby acknowledge receipt of the **CPA Audit Services (CLOSEOUT) for NYSDOT** (contract #C037629) Request for Proposals, dated August 20, 2017 and subsequent responses to questions and Modifications issued by the Department, as listed below.

Add additional lines in tables below, if needed.

<table>
<thead>
<tr>
<th>Modification number:</th>
<th>Date issued by Department:</th>
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**SIGNED**

**DATE**

**NAME**  
(printed or typed)

**TITLE**
ATTACHMENT 12: NON-COLLUSIVE BIDDING CERTIFICATION

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

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

BY SUBMISSION OF THIS BID, BIDDER AND EACH PERSON SIGNING ON BEHALF OF BIDDER CERTIFIES, AND IN THE CASE OF JOINT BID, EACH PARTY THERE TO CERTIFIES AS TO ITS OWN ORGANIZATION, UNDER PENALTY OF PERJURY, THAT TO THE BEST OF HIS/HER KNOWLEDGE AND BELIEF:

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

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

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

A BID SHALL NOT BE CONSIDERED FOR AWARD NOR SHALL ANY AWARD BE MADE WHERE [1], [2], [3] ABOVE HAVE NOT BEEN COMPLIED WITH; PROVIDED HOWEVER, THAT IF IN ANY CASE THE BIDDER(S) CANNOT MAKE THE FOREGOING CERTIFICATION, THE BIDDER SHALL SO STATE AND SHALL FURNISH BELOW A SIGNED STATEMENT WHICH SETS FORTH IN DETAIL THE REASONS THEREFORE:

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

Subscribed to under penalty of perjury under the laws of the State of New York, this ________ day of ____________, 20____ as the act and deed of said corporation of partnership.
### NON-COLLUSIVE BIDDING CERTIFICATION REQUIRED BY SECTION 139-D OF THE STATE FINANCE LAW

**IF BIDDER(S) (ARE) A PARTNERSHIP, COMPLETE THE FOLLOWING:**

**NAMES OF PARTNERS OR PRINCIPALS**

<table>
<thead>
<tr>
<th>Names</th>
<th>Legal Residence</th>
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**LEGAL RESIDENCE**

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

**NAME**

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<tr>
<th>Name</th>
<th>Legal Residence</th>
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<tr>
<td>President:</td>
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<td>Secretary:</td>
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<td>Treasurer:</td>
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**LEGAL RESIDENCE**

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<td>Treasurer:</td>
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</table>
NON-COLLUSIVE BIDDING CERTIFICATION REQUIRED BY SECTION 139-D OF THE STATE FINANCE LAW

Identifying Data

Potential Contractor: ____________________________________________________

Address: ______________________________________________________________

____________________________________

Street

City, Town, etc.

Telephone: __________________________   Title__________________________

If applicable, Responsible Corporate Officer

Name: ______________________________   Title__________________________

Signature: _______________________________________________________________________

Joint or combined bids by companies or firms must be certified on behalf of each participant.

Legal name of person, firm or corporation   Legal name of person, firm or corporation

By   ______________________________

Name

Title

Address: _____________________________   Address: ______________________

____________________________________

Street

City    State

115
116

8.13 ATTACHMENT 13: KEY PERSONNEL RESUME AND REFERENCES

Instructions:
- Complete Attachment 13 for each Key Personnel title identified in the RFP.
- Attachment 13 shall not exceed three pages in length
- Proposer’s may expand the boxes as necessary
- The term “Client” below refers to the past project owner. “Client” is NOT a Prime Contractor where the proposing firm acted in the capacity as a Subcontractor.
- *Project refers to the contracts that will be awarded through this RFP.

<table>
<thead>
<tr>
<th>1. Personnel Name and Title:</th>
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</thead>
<tbody>
<tr>
<td>2. Title Assigned for this Project:</td>
</tr>
<tr>
<td>3. Firm working for on this Project:</td>
</tr>
<tr>
<td>4. Current Employment Status: [ ] Employed by Firm identified #3 above [ ] Employed by a different Firm [ ] Unemployed</td>
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<tr>
<td>5 Years of Relevant Experience</td>
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<tr>
<td>6. Description of Relevant Experience:</td>
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<tr>
<td>7. Certifications/Licenses:</td>
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<tr>
<td>8. Education:</td>
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<tr>
<td>Past Project Experience Complete below for a maximum of five past projects</td>
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<tr>
<td>9.1 Project Description (include contract number where appropriate):</td>
</tr>
<tr>
<td>9.2 Client Name:</td>
</tr>
<tr>
<td>9.3 Client Contact Information (including contact name, phone number, and e-mail address):</td>
</tr>
<tr>
<td>9.4 Description of person’s role and responsibilities during project:</td>
</tr>
<tr>
<td>10.1 Project Description (include contract number where appropriate):</td>
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<td>10.2 Client Name:</td>
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<tr>
<td>10.3 Client Contact Information (including contact name, phone number, and e-mail address):</td>
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<tr>
<td>10.4 Description of person’s role and responsibilities during project:</td>
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<tr>
<td>11.1 Project Description (include contract number where appropriate):</td>
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<tr>
<td>11.2 Client Name:</td>
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<tr>
<td>11.3 Client Contact Information (including contact name, phone number, and e-mail address):</td>
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<tr>
<td>11.4 Description of person’s role and responsibilities during project:</td>
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<tr>
<td>12.1 Project Description (include contract number where appropriate):</td>
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<tr>
<td>12.2 Client Name:</td>
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<tr>
<td>12.3 Client Contact Information (including contact name, phone number, and e-mail address):</td>
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<td>12.4 Description of person’s role and responsibilities during project:</td>
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<td>13.2 Client Name:</td>
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<td>13.3 Client Contact Information (including contact name, phone number, and e-mail address):</td>
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<tr>
<td>13.4 Description of person’s role and responsibilities during project:</td>
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Vendor Assurance of No Conflict of Interest or Detrimental Effect

The Firm offering to provide services pursuant to this [RFP/Contract], as a contractor, joint venture contractor, subcontractor, or consultant, attests that its performance of the services outlined in this [RFP/Contract] does not and will not create a conflict of interest with nor position the Firm to breach any other contract currently in force with the State of New York.

Furthermore, the Firm attests that it will not act in any manner that is detrimental to any State project on which the Firm is rendering services. Specifically, the Firm attests that:

1. The fulfillment of obligations by the Firm, as proposed in the response, does not violate any existing contracts or agreements between the Firm and the State;

2. The fulfillment of obligations by the Firm, as proposed in the response, does not and will not create any conflict of interest, or perception thereof, with any current role or responsibility that the Firm has with regard to any existing contracts or agreements between the Firm and the State;

3. The fulfillment of obligations by the Firm, as proposed in the response, does not and will not compromise the Firm's ability to carry out its obligations under any existing contracts between the Firm and the State;

4. The fulfillment of any other contractual obligations that the Firm has with the State will not affect or influence its ability to perform under any contract with the State resulting from this RFP;

5. During the negotiation and execution of any contract resulting from this RFP, the Firm will not knowingly take any action or make any decision which creates a potential for conflict of interest or might cause a detrimental impact to the State as a whole including, but not limited to, any action or decision to divert resources from one State project to another;

6. In fulfilling obligations under each of its State contracts, including any contract which results from this RFP, the Firm will act in accordance with the terms of each of its State contracts and will not knowingly take any action or make any decision which might cause a detrimental impact to the State as a whole including, but not limited to, any action or decision to divert resources from one State project to another;

7. No former officer or employee of the State who is now employed by the Firm, nor any former officer or employee of the Firm who is now employed by the State, has played a role with regard to the administration of this contract procurement in a manner that may violate section 73(8)(a) of the State Ethics Law; and

8. The Firm has not and shall not offer to any employee, member or director of the State any gift, whether in the form of money, service, loan, travel, entertainment, hospitality, thing or promise, or in any other form, under circumstances in which it could reasonably be inferred that the gift was intended to influence said employee, member or director, or could reasonably be expected to influence said employee, member or director, in the performance of the official duty of said employee, member or director or was intended as a reward for any official action on the part of said employee, member or director.
Firms responding to this [RFP/Contract] should note that the State recognizes that conflicts may occur in the future because a Firm may have existing or new relationships. The State will review the nature of any such new relationship and reserves the right to terminate the contract for cause if, in its judgment, a real or potential conflict of interest cannot be cured.

Name, Title:

Signature: Date:

This form must be signed by an authorized executive or legal representative.
8.15 ATTACHMENTS 15-15d - Cost Proposal Workbook

NYSDOT requires that all cost information be presented using the RFP-provided Microsoft Excel spreadsheets Attachments 15-15d included in the Cost Proposal Workbook.

The Cost Proposal Workbook can be accessed at: https://www.dot.ny.gov/doing-business/opportunities/consult-ads under C037629- CPA Audit Services (CLOSEOUT) for NYSDOT.

The workbook contains Instruction for completing Attachments 15a-15d.