



STATE OF NEW YORK  
DEPARTMENT OF TAXATION AND FINANCE  
Office of Budget & Management Analysis  
Bureau of Fiscal Services  
Building 9, Room 234  
W.A. Harriman Campus  
Albany, NY 12227

Eric Mostert  
Chief Financial Officer

Pat Ryan, Director  
Budget & Accounting Services

Catherine Golden, Director  
Procurement Services

July 2, 2013

Dear Sir/Madam:

The New York State Department of Taxation and Finance (DTF) is soliciting proposals from qualified parking facilities to provide parking spaces for State owned vehicles for our Metro Tech District Office located at 15 Metro Tech Center, Brooklyn, NY 12201.

The purpose of this Invitation for Bids (IFB) #13-04 is to obtain parking for sedans, SUVs and vans. The parking garage must be located within ½ mile from the District Office. Currently DTF has 25 State owned vehicles assigned to this location.

IFB #13-04 outlines the terms and conditions, and all applicable information required for submitting a bid. To ensure compliance with IFB requirements and prevent possible disqualification, Bidders should follow the format and instructions in **Section V, Proposal Conditions and Administrative Requirements** and **Section VI, Proposal Submission**.

Effective January 1, 2006, all vendors and persons acting on their behalf who communicate with DTF with respect to this procurement, are subject to sections 139-j and 139-k of the New York State Finance Law, which regulate lobbying on Procurement Contracts (“the Procurement Lobbying Act”). All such vendors and persons are subject to the DTF Procurement Lobbying Guidelines found at: <http://www.tax.ny.gov/about/procure> .

For procurements within the scope of the Procurement Lobbying Act, DTF is required to establish a “Restricted Period” during which certain types of communications may only be made to a “Designated Agency Contact.” The Restricted Period for this IFB has commenced as of July 1, 2013, and shall end upon written notice from DTF.

The following web site contains additional information concerning this legislation: <http://www.ogs.ny.gov/aboutOgs/regulations/defaultAdvisoryCouncil.html> .

As outlined in the Procurement Lobbying Act, all questions or contacts concerning this IFB **must** be directed to the Designated Contacts below.

The Designated Contacts for this procurement are:

Catherine Golden	518-530-4484	<a href="mailto:bfs.contracts@tax.ny.gov">bfs.contracts@tax.ny.gov</a>
Dorothy Lechmanski	518-530-4484	<a href="mailto:bfs.contracts@tax.ny.gov">bfs.contracts@tax.ny.gov</a>
Christine DiVeglia	518-530-4484	<a href="mailto:bfs.contracts@tax.ny.gov">bfs.contracts@tax.ny.gov</a>
Shannon Plasencia	518-530-4484	<a href="mailto:bfs.contracts@tax.ny.gov">bfs.contracts@tax.ny.gov</a>

All such questions or contacts must include the following information: your name; your place of principal employment; your occupation, address and telephone number.

Attached please find **IFB #13-04, Downstate Parking**. Bids must be received **no later than 2 PM EDT, August 13, 2013**.

These documents will also be posted July 2, 2013, after 2 PM EDT on the Department's website at <http://www.tax.ny.gov/about/procure> .

All bids are to be packaged, sealed and submitted to the following:

New York State Department of Taxation and Finance  
Office of Budget and Management Analysis  
ATTN: Ms. Catherine Golden  
Director, Procurement Services Unit  
W A Harriman State Office Building Campus  
Albany, NY 12227

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

**BID ENCLOSED**  
Downstate Parking, IFB #13-04  
*Bid Submission Date and Time*  
Telephone: (518) 530-4484

**Please Note:** If you are using a delivery service, the bid response should be addressed to the Department's campus address, but the delivery service should be instructed to deliver the bid documents to the following address:

90 Cohoes Avenue  
Green Island, NY 12183

**Faxed or electronically transmitted proposals will not be accepted.**

Attachment

# STATE OF NEW YORK

DEPARTMENT OF TAXATION & FINANCE



## Invitation for Bids #13-04

### Downstate Parking

**IFB Issue Date: July 2, 2013**  
**Bid Due Date: August 13, 2013**  
**By 2:00 PM EDT**

New York State Department of Taxation and Finance  
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Downstate Parking

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### Schedule of Events

<u>Date</u>	<u>Event</u>
July 2, 2013	Issuance of IFB
July 23, 2013	Deadline for filing Attachment 2, Offerer Understanding of, and Compliance with, Procurement Lobbying Guidelines And Deadline for Submission of Written Questions and Requests for Clarification
July 29, 2013	Department Response(s) to Bidder Questions
August 6, 2013	'Notification of Intent to Bid' Form Due
August 13, 2013 By 2 PM EDT	Proposals Due
August 14, 2013	Bid Opening Date
August 21, 2013	Tentative Notification of Intent to Award
September 19, 2013	Deadline for Contract Signature

## Preface

### A. Proposal Questions/Inquiries.

Prospective Bidders (“Bidders”) will have one (1) opportunity to submit written questions and requests for clarification regarding this Invitation for Bids (“IFB”). All questions regarding this IFB must be submitted via e-mail (preferred), fax or mail and be received by the date and time specified in the Schedule of Events. Questions/Inquiries must reference the relevant page and section of the IFB and must be directed to one of the designated contacts identified below:

E-mail: [bfsc.contracts@tax.ny.gov](mailto:bfsc.contracts@tax.ny.gov)

Fax: (518) 435-8413

Written Correspondence:

New York State Department of Taxation and Finance

Attn: Catherine Golden, Director

Office of Budget and Management Analysis

Procurement Services

WA Harriman State Campus

Albany, New York 12227

Attention: IFB #13-04

Information related to the Procurement, the Procurement Lobbying Law and the Department of Taxation and Finance (“DTF” or “Department”) guidelines can be found on the Department’s website at: <http://www.tax.ny.gov/about/procure> (“DTF Procurement Website”).

Bidders should note that all clarifications and exceptions, including those relating to the terms and conditions of the IFB, are to be resolved prior to the submission of a bid.

All inquiries concerning this solicitation must be addressed to one of the following designated contacts:

Catherine Golden	(518) 530-4484	<a href="mailto:bfsc.contracts@tax.ny.gov">bfsc.contracts@tax.ny.gov</a>
Dorothy Lechmanski	(518) 530-4484	<a href="mailto:bfsc.contracts@tax.ny.gov">bfsc.contracts@tax.ny.gov</a>
Christine DiVeglia	(518) 530-4484	<a href="mailto:bfsc.contracts@tax.ny.gov">bfsc.contracts@tax.ny.gov</a>
Shannon Plasencia	(518) 530-4484	<a href="mailto:bfsc.contracts@tax.ny.gov">bfsc.contracts@tax.ny.gov</a>

Contacting individuals other than the designated contacts listed above may result in the disqualification of the Bidder’s proposal - please refer to the Procurement Lobbying Law and the Department guidelines posted on the DTF Procurement Website, and additional requirements in Section V, Proposal Conditions and Administrative Requirements.

### B. Procurement Lobbying - Offerer Understanding of, and Compliance with Procurement Lobbying Guidelines.

New York State Finance Law 139-j(6)(b) requires that the Department seek written affirmation from all Offerers as to the Offerer’s understanding of, and agreement to comply with, the DTF procedures relating to permissible contacts during a Government Procurement. Information can be found on the DTF Procurement Website.

Offerers are requested to sign and submit Attachment 2, Offerer Understanding of, and Compliance with, Procurement Lobbying Guidelines by the date and time specified in the Schedule of Events. This may be submitted in conjunction with Bidder questions.

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**C. Proposal Amendments/Announcements.**

All amendments, clarifications and announcements related to this bid will be posted on the DTF Procurement Website.

It is the responsibility of the Bidder to check the website for any amendments, clarifications or announcements. All applicable amendment information must be incorporated into the Bidder's proposal. Failure to include this information in your proposal may result in the Bidder's proposal being deemed non-responsive.

**D. Response to Bidder Questions and Requests for Clarification.**

The Department will provide a written response to all substantive questions and requests for clarification. Responses to Bidder questions and requests for clarifications will be posted on the DTF Procurement Website.

**E. Notification of Intent to Bid.**

If your firm is submitting a proposal in response to the IFB, a "Notification of Intent to Bid", Attachment 3, should be completed and submitted by the date specified in the Schedule of Events. Contact information provided on this form may be used to notify Bidders of IFB changes.

**F. Submission of Proposals.**

The Bidder must submit their proposals as instructed in Section VI, Proposal Submission.

**G. Contract Signing and Contract Term.**

The successful Bidder must agree to sign a contract within thirty (30) days of Notification of Award. If the successful Bidder fails to do so, the Department reserves the right to begin negotiations with the next highest ranked Bidder. NOTE: The Department will not sign any Bidder supplied contract documents.

The Department will award one (1) contract to the successful Bidder for a one (1) year period, commencing upon approval of the New York State Attorney General ("AG") and Office of the State Comptroller ("OSC"). The contract will include up to five (5) one (1) year renewals to extend services.



## **IFB Key Points**

- 1. Read the IFB in its entirety.** Note key items such as: critical dates, mandatory requirements, services required and proposal packaging requirements.
- 2. Note the name, address, phone numbers and e-mail address of the designated contacts.** These are the only individuals that you are allowed to contact regarding this IFB.
- 3. All amendments, clarifications, Bidder questions with the Department responses and any announcements relating to this bid will be posted on the Department's website.** It is the Bidder's responsibility to check the Department's website periodically for any updates. All applicable amendment information must be incorporated into the Bidder's proposal. Failure to include this information in your proposal may result in your proposal being deemed non-responsive.
- 4. Take advantage of the question and answer period.** Submit your questions through one (1) of the methods identified by the date and time listed in the Schedule of Events. Responses and copies of the questions will be posted on the DTF Procurement Website.
- 5. Provide complete answers/descriptions. Bidder proposals must completely address all proposal and mandatory requirements.** To ensure you are not unnecessarily disqualified from bid evaluation, thoroughly read all proposal requirements and provide complete responses. Use all of the forms provided to submit your response.
- 6. Review the IFB document and your proposal.** Make sure all requirements are addressed and all copies of proposals are identical and complete.
- 7. Package your proposal as required in the IFB.** Make sure your proposal conforms to the packaging requirements. Proposals not packaged accordingly may be deemed non-responsive.
- 8. Submit your proposal on time.** Except as specified in Section V(A)(16)(e), proposals received after the date and time in the Schedule of Events will not be considered for award and may be returned, unopened, to the sender.

## **IFB Glossary**

**“Agency Representative”** – means the authorized representative(s) of DTF identified in the contract entered into under this IFB.

**“Agreement”** – means the contract resulting from this IFB.

**“Attorney General”** – means the Attorney General of the State of New York, or designee.

**“Base Contract”** – means that portion of the Agreement preceding the signatures of the parties in execution.

**“Contractor”** – means <Successful Bidder’s name to be inserted>.

**“Department” or “DTF”** – means the New York State Department of Taxation and Finance.

**“IFB”** – means the Downstate Parking Invitation for Bids (#13-04) issued by the Department.

**“OSC”** – means the New York State Office of the State Comptroller.

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**I. Introduction.**

**A. Purpose.**

The Department is soliciting proposals from qualified parking facilities (“Facilities”) to provide parking spots near our Metro Tech District Office (“District Office”) located at 15 Metro Tech Center, Brooklyn, New York, 11201. The purpose of this Invitation for Bids (“IFB”) is to obtain parking for DTF owned sedans, SUV’s and vans (“Vehicles”). The parking garage must be within close proximity to our District Office. *Currently DTF has 25 State owned Vehicles assigned to this location. (Note: The number of Vehicles may fluctuate during the contract term depending on the number of staff assigned to the District Office. The winning Bidder will be notified in writing of the increase/decrease in spots needed. Changes must be accommodated within ten (10) business days or the first of the month following notification, whichever is later.)*

This IFB outlines the terms and conditions, and all applicable information required to submit a bid. To ensure compliance with IFB requirements, and prevent possible disqualification, Bidders should follow the format and instructions in Section V, Proposal Conditions and Administrative Requirements, and Section VI, Proposal Submission.

**B. Program Overview.**

The Department currently has 25 State owned Vehicles assigned to the District Office, and is seeking to procure parking spots for each of the Vehicles when they are not being utilized by Department staff. The parking spots need to be accessible 24 hours a day, 7 days per week.

**C. Parking Commencement.**

DTF will begin parking the Vehicles the first day of the month after approval of the contract by the OSC.

**II. Scope of Services.**

**The Bidder must:**

1. Provide a secured Facility - either enclosed or a fenced outdoor lot - to accommodate 25 Vehicles on a daily basis. (Note: The number of Vehicles parked may fluctuate during the contract term depending on the number of staff assigned to the District Office. The winning Bidder will be notified in writing of the increase/decrease in spots needed. Changes must be accommodated within ten (10) business days or by the first of the month following notification, whichever is later.) If the secured facility is a fenced outdoor lot, snow removal must be provided.
2. Provide uninhibited access to the facility 24 hours a day, 7 days a week.
3. Provide parking spaces that are located within ½ mile from the District Office.
4. **Contractor Responsibilities:**

The Contractor hereby agrees to provide all services as set forth herein and the Contractor’s bid proposal in response to said IFB, and the Contractor shall:

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- a. At all times during the Contract term remain responsible. The Contractor agrees, if requested by the Commissioner of DTF 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. Comply with the Secrecy requirements set forth in Section (V)(B)(15) herein.
- c. Agree to provide all services set forth in Section III, Mandatory Requirements, including but not limited to providing 25 parking spaces with 24/7 access that are located within ½ mile of the District Office.
- d. Pay, at its sole expense, all applicable permits, licenses, tariffs, tolls and fees and give all notices and comply with all federal, state, and local, laws, ordinances, rules and regulations of any governmental entity in conjunction with the performance of obligations under the contract.
- e. Be responsible for the performance of its employees and agents.

*Additional responsibilities to be determined during Contract negotiations.*

**The Department must:**

1. Promptly designate DTF Liaison following the date of commencement of this Agreement;
2. Cooperate with the Contractor to utilize, where necessary, informal dispute resolution as well as the formal dispute resolution process to facilitate the timely resolution of disputes that arise; and
3. Be responsible for the performance of its employees and agents;

**III. Mandatory Requirements.**

All requirements listed in this section are **mandatory**. Only Bidders who can meet all of the mandatory requirements should submit a proposal in response to the IFB. Proposals that fail to meet all of the mandatory requirements below will be removed from further consideration.

**A. Space.**

The Facility must have 25 parking spaces available for DTF Vehicles on a daily basis. The parking spaces provided must be able to accommodate all of the Vehicles identified on **Exhibit 1**, Downstate Vehicles. \*NOTE: Although it is desirable, all 25 parking spaces do not have to be located in the same area of the Facility. Parking spaces can be located on different floors or sections of the Facility.

**Response Requirement.** The Bidder must complete **Attachment C, Bidder Attestation Form**, item a.

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**B. Security.**

The Facility where the Vehicles will be parked must be secured - either enclosed or a fenced outdoor lot. If the Facility is a fenced outdoor lot, snow removal must be provided. Should the Department be required to leave the keys to the Vehicle(s) with the parking attendant (in the event the Vehicle needs to be moved) the Facility must be staffed 24 hours a day.

**Response Requirement.** The Bidder must complete **Attachment C, Bidder Attestation Form**, item b.

**C. Access.**

Access to the Facility must be available to DTF 24 hours a day, 7 days a week. If a special tag or garage door opener is required for this access, the Bidder must provide, to DTF, one (1) tag or door opener for each of the Vehicles.

**Response Requirement.** The Bidder must complete **Attachment C, Bidder Attestation Form**, item c.

**D. Location.**

The Facility must be located within ½ mile of the District Office.

**Response Requirement.** The Bidder must complete **Attachment C, Bidder Attestation Form**, item d.

**E. Insurance.**

Prior to the commencement of services the Contractor shall, at its sole cost and expense, and shall maintain in force at all times during the term of this Contract, policies of insurance 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 with an A.M. Best Company rating of A- or better or as acceptable to the Department. The Department may, at its sole discretion, accept policies of insurance written by a non-authorized carrier(s) when Certificates and/or other policy documentation are accompanied by a completed Excess Lines Association of New York (ELANY) Affidavit, provided that nothing herein shall be construed to require the Department to accept insurance placed with a non-authorized carrier under any circumstances.

The Contractor shall deliver to the Department evidence of such policies in the form of certificates of insurance. These policies must be written in accordance with the requirements of the paragraphs below, as applicable.

**General Conditions**

**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 Contractor are specified in Section III(E).

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- 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. Under certain circumstances, the Department may elect to accept policies written on a claims-made basis provided that, at a minimum, the policy remains in force throughout the performance of the services and for three (3) years after completion of the Contract. If the policy is cancelled or not renewed during that time, either party may cancel the agreement with thirty (30) days' notice.
- 3. Certificates of Insurance/Notices.** The Contractor shall provide a Certificate(s) of Insurance, in a form satisfactory to the Department, before commencing any work under this Contract. Certificates shall reference the Contract number. Certificates shall be mailed to:
- Ms. Catherine Golden  
Director, Procurement Services  
Office of Budget and Management Analysis  
NYS Department of Taxation and Finance  
W A Harriman Campus  
Albany, New York 12227

Certificates of Insurance shall:

- a. Be in the form approved by the Department;
- b. Specify the Additional Insured's as required herein;
- c. Refer to this Contract by number, the Supplemental Certificate, and any other attachments on the face of the certificate;
- d. When coverage is provided by a non-admitted carrier, be accompanied by a completed ELANY Affidavit; and
- e. Be signed by an authorized representative of the insurance carrier or producer.

Only original documents (Certificates of Insurance, Supplemental Insurance Certificates, and other attachments) will be accepted.

- 4. Primary Coverage.** All insurance policies shall provide that the required coverage shall apply on a primary and not on an excess or contributing basis as to any other insurance that may be available to the Department for any claim arising from Contractor's work under this Contract, or as a result of the Contractor's activities. Any other insurance maintained by the Department shall be excess of and shall not contribute with Contractor's insurance regardless of the other insurance clause contained in the Department's own policy of insurance.
- 5. Policy Renewal/Expiration.** Prior to the expiration of any policy required by this Contract, evidence of renewal or replacement policies of insurance with terms shall be delivered to the Department in the manner required for the service of notice in section III(E)(A)(3), Certificates of Insurance/Notices. If, at any time during the term of this Contract, the coverage provisions and limits of the policies required herein do not meet the provisions and limits set forth in the Contract, the Department may cancel the agreement with thirty (30) days' notice. If the certificates of insurance are not provided to the Department, the Department shall notify Contractor and

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Contractor shall be given seven (7) business days to provide the Department with the certificates of insurance.

6. **Self-Insured Retention/Deductibles.** Contractor shall be solely responsible for all claim expenses and loss payments within the deductible or self-insured retention.
  7. **Subcontractors.** Should Contractor engage a Subcontractor, Contractor shall endeavor to impose the insurance requirements of this document on the Subcontractor, as applicable. Required insurance limits should be determined commensurate with the work of the Subcontractor. Proof thereof shall be supplied to the Department.
- B. Specific Coverage and Limits.** The types of insurance and the minimum policy limits shall be as follows:

1. **General Liability.** Commercial General Liability Insurance (CGL) covering the liability of Contractor for bodily injury, property damage, and personal/advertising injury arising from all work and operations under this contract. The limits under such policy shall not be less than the following, which may be satisfied through any combination of CGL and Excess/Umbrella policies:
  - Each Occurrence limit - \$2,000,000
  - General Aggregate - \$2,000,000
  - Products/Completed Operations - \$2,000,000
  - Personal Advertising Injury - \$1,000,000
  - Damage to Rented Premises - \$50,000
  - Medical Expense - \$5,000

Coverage shall include, but not be limited to, the following:

- Premises liability
- Independent contractors
- Blanket contractual liability, including tort liability of another assumed in a contract
- Defense and/or indemnification obligations
- Cross liability for additional insured's
- Products/completed operations

Contractor will list the Department as an additional insured on its CGL policy. Limits may be provided through a combination of primary and umbrella/excess liability policies. The CGL aggregate shall be endorsed to apply on a per project basis for construction contracts.

2. **Workers Compensation.** For work to be performed in NYS, Contractor shall provide and maintain coverage during the life of this Contract for the benefit of such employees of Contractor that are required to be covered by the NYS Workers Compensation Law.
3. **Disability Benefits.** For work to be performed in NYS, Contractor shall provide and maintain coverage during the life of this Contract for the benefit of such employees of

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Contractor that are required to be covered by the NYS Disability Benefits Law. Any waiver of this requirement must be approved by the Department and will only be granted in unique or unusual circumstances.

**4. Garage Liability.** Garage Liability, including garage keepers' coverage, is required anytime:

- A third party is towing, repairing or garaging a Department vehicle;
- A third party is leasing a Department owned vehicle, or
- The Contractor is involved in the garaging business, such as gas stations, repair shops, vehicle storage facilities, and parking lots.

The policy shall include coverage for all garage operations of the Contractor, including premises and operations; products and completed operations, and garage keepers' liability coverage with minimum limits of:

- Garage liability insurance: \$1,000,000 for garage operations; and
- Garage keepers' liability: \$1,000,000 per vehicle in custody, \$500,000 aggregate on a direct primary basis.

The Department shall be endorsed as an Additional Insured. At the time of proposal submission, the Bidder's company and all staff must be insured against financial losses resulting from their actions. The Bidder must also agree they will obtain insurance coverage, as defined below, prior to commencement of services to be performed by the Contractor.

**Response Requirement.** The Bidder must complete **Attachment B, Insurance Response Form**.

**F. Attestation.**

The Bidder must attest it has read, understands and agrees to abide by all terms and conditions outlined in **Section III, Mandatory Requirements**.

**Response Requirement.** The Bidder must complete, sign and submit **Attachment C, Bidder Attestation Form** (pages 1 and 2).

**IV. Cost Proposal Requirements.**

In response to this section, the Bidder must provide the monthly parking rates they will charge for the secured parking for the Vehicles identified in Exhibit 1. Bidders must use Attachment A Financial Response Form to present their pricing. Bidders should not modify or change the attachment. Pricing information should be completed as presented. All costs associated with the requirements of this IFB must be incorporated into the Bidder's financial response. No other add-on costs will be allowed.

The fees set forth in Attachment A, Financial Response Form, shall not be increased during the initial year of any contract resulting from this IFB. Thereafter, for any subsequent contract renewals, any proposed increase in annual fees must be requested by the Contractor in writing sixty (60) days in advance of the anniversary date of the Contract. Such increase shall be subject to negotiation between the Department and the Contractor. Notwithstanding the foregoing, rate increases for subsequent years shall be limited to the lesser of the percentage change in the



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Consumer Price Index for All Urban Customers, Table 10, as reported by the Department of Labor, Bureau of Statistics for the CPI-U for the preceding twelve (12) month period, or three percent (3%).

Bidders who fail to complete and submit Attachment A, Financial Response Form, will be deemed non-responsive and will be removed from further consideration.

**V. Proposal Conditions and Administrative Requirements**

**A. Administrative Proposal Conditions.**

With the submission of a response to this IFB, the Bidder agrees to the administrative proposal conditions outlined below.

- 1. Issuing Agency.** This IFB is issued by the Department, which is responsible for all criteria stated herein and for evaluation of all proposals submitted.
- 2. Solicitation.** This IFB is a solicitation to bid, not an offer of a contract.
- 3. Liability.** The State of New York is not liable for any costs incurred by a Bidder in the preparation and production of any proposal, or for any work performed prior to the execution of a formal contract.
- 4. Proposal Ownership.** All proposals and accompanying documentation become the property of the State of New York and will not be returned. The Department reserves the right to use any of the portions of the Bidder's proposal not specifically noted as proprietary.
- 5. Proposal Security.** Each Bidder's proposal will be held in strict confidence by Department staff and will not be disclosed except to the AG and the OSC as may be necessary to obtain approvals of those agencies for the final contract and except as required by law.

Public inspection of the bids is regulated by the Freedom of Information Law (FOIL), Article 6 of the New York State Public Officers Law. The bids are presumptively available for public inspection. If this would be unacceptable to Bidders, they should apply to the Department for trade secret protection for their bid.

The public officers' code of ethics (Section 74 of the Public Officers Law) sets the standard that no officer or employee of a State agency shall disclose confidential information that he acquires during the course of his official duties. These standards control the confidentiality of a Bidder's proposal unless the Department grants a petition for records access in accordance with FOIL.

Bidders should be advised that the confidentiality of their proposals is founded upon statute, as described above. A nondisclosure agreement, whether prescribed by the Department or the Bidder, would not alter the rights and responsibilities of either party under FOIL. Bidders should not propose a nondisclosure agreement for Department employees, for that would be legally ineffective to alter any legal responsibility under

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FOIL or the code of ethics. The provisions of FOIL will also govern the confidentiality of any and all products or services supplied by the successful Bidder.

6. **Timely Submission.** The Bidders are solely responsible for timely delivery of their proposal to the location set forth by the stated bid due date/time and are solely responsible for delays in receipt, including but not limited to those due to third-party carriers.
7. **Proposal Effective Period.** The Bidder's proposal must be firm and binding for a period of at least one hundred and eighty (180) days following the proposal due date.
8. **Bid Opening.** Bids will not be opened publicly. The Department reserves the right, at any time, to postpone or cancel a scheduled bid opening.
9. **Bidder Proposal Clarification.** Prior to award, the Department reserves the right to seek clarifications, request bid revisions, or to request any information deemed necessary for proper evaluation of bids from all Bidders deemed to be eligible for Contract award. Failure of a Bidder to cooperate with the Department's effort to clarify a proposal may result in the proposal being labeled as non-responsive and be given no further consideration.

Additionally, the Department reserves the right to use information submitted by the Bidder in response to the Department's request for clarifying information in the course of evaluation and selection under this IFB.

10. **Bid Evaluation and Selection.** See Section VII, Proposal Evaluation, regarding bid selection and evaluation methodology. Submitted proposals may be reviewed and evaluated by any personnel or agents of the Department, other than one associated with a competing Bidder.
11. **Contract Negotiations and Authorized Negotiators.** During contract negotiations, the Department must have direct access to Bidder personnel who have full authority to make commitments on behalf of the Bidder. Bidders must include, as part of their proposal, any restrictions under which their primary negotiators will operate.
12. **Bidder Notification of Intent to Award.** The successful Bidder will be advised of selection by the Department through the issuance of a "Notification of Intent to Award" letter. Bidders who have not been selected by the Department in response to this IFB shall be notified of such non-selection.
13. **Proposal Review and Contract Approval.** Any contract resulting from this IFB will not be effective until approved by the AG and OSC.
14. **Debriefing Sessions.** Bidders will be notified in writing and may request the opportunity for a debriefing session. Such sessions will be limited to discussions of evaluation results as they apply to the Bidder receiving the debriefing.
15. **Bid Protest Policy.** Please visit the following website to review the Department's procedures for handling protests of bid awards:

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<http://www.osc.state.ny.us/vendrep/protestprocedures.htm>

**16. Reserved Rights.** The Department reserves the right to exercise the following:

- a. Change any of the scheduled dates herein.
- b. Prior to the Bid opening, amend IFB specification(s) after their release to correct errors or oversights, or to supply additional information as it becomes available and so notify all Bidders.
- c. Withdraw the IFB, at its sole discretion.
- d. Eliminate a mandatory requirement when all Bidders cannot meet such requirement.
- e. Evaluate, accept and/or reject any and all proposals, in whole or in part, and to waive technicalities, irregularities, and omissions if, in the Department's considered judgment, the best interests of the Department will be served. In the event compliant bids are not received, the Department reserves the right to consider late or non-conforming bids as offers.
- f. Require the Bidder to demonstrate, to the satisfaction of the Department, any information presented as a part of their proposal.
- g. Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an Offerer's proposal and/or to determine an Offerer's compliance with the requirements of the solicitation.
- h. Disqualify any Bidder whose conduct and/or proposal fails to conform to the requirements of the solicitation.
- i. Use proposal information obtained through the Department's investigation of a Bidder's qualifications, experience, ability or financial standing, and any material or information submitted by the Bidder in response to the Department's request for clarifying information in the course of evaluation and selection under this IFB.
- j. Prior to bid opening, determine a tie breaking mechanism for award of the contract to serve the best interests of the State.
- k. Negotiate with the successful Bidder within the scope of the IFB to serve the best interests of the State.
- l. Conduct contract negotiations with the next ranked responsible Bidder should the Department be unsuccessful in negotiating an agreement with the selected Bidder or for failure to successfully complete the Development Phase upon approval of the initial contract.
- m. If the Department must terminate the contract for non-performance or is unable to maintain the support required, the Department reserves the right, with the approval of the AG and the OSC, to award a contract to the next highest ranked Bidder of the original bid submission within the first twelve (12) months of the award.
- n. Prior to the bid opening, direct Bidders to submit proposal modifications addressing subsequent IFB amendments.

**B. Administrative Contract Conditions.**

With the submission of a response to this Invitation for Bids, the Bidder agrees to the contract conditions outlined in below, unless the Bidder proposes extraneous terms (see Section V(B)(19)).

1. **Appendix A.** Appendix A - Standard Clauses for New York State Contracts will be incorporated, in its entirety, into any Contract resulting from this IFB.

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2. **Payments.** All payments will be made in accordance with Article XI-A of the New York State Finance Law.
3. **Public Announcements.** Public announcements or news releases relating to this IFB or the resulting Contract shall not be made by any Bidder or its agent without the prior approval of the Department. All requests for public announcements should be directed to one (1) of the designated contacts specified herein. Such approval shall not be considered until an executed contract is in place.
4. **New York State Vendor File.** Prior to being awarded a contract, pursuant to this Solicitation, the Bidder(s) and any designated authorized resellers who accept payment directly from the State, must be registered in the New York State Vendor File (“Vendor File”) administered by the OSC. This is a central registry for all vendors who do business with New York State Agencies and the registration must be initiated by a State Agency. Following the initial registration, a unique New York State ten (10) digit vendor identification numbers (“VIN”) will be assigned to your company and to each of your authorized resellers (if any) for usage on all future transactions with New York State. Additionally, the Vendor File enables vendors to use the Vendor Self-Service application to manage all vendor information in one (1) central location for all transactions related to the State of New York.

If Bidder is already registered in the Vendor File, Bidder must list the VIN on the first page of the Proposal document. Authorized resellers already registered should list the VIN along with the authorized reseller information.

Bidders not currently registered in the Vendor File, must complete **Exhibit A, OSC Substitute W-9 Form** and submit it with your bid. In addition, if authorized resellers are to be used, an OSC Substitute W-9 form should be completed and filed by each of the designated authorized resellers. The Procurement Services Unit (“PSU”) will initiate the vendor registration process for all Bidders recommended for Contract Award and their authorized resellers. Once the process is initiated, registrants will receive an email from OSC that includes the unique VIN assigned to the company and instructions on how to enroll in the online Vendor Self-Service application. For more information on the vendor file please visit the following website:

[http://www.osc.state.ny.us/vendor\\_management/](http://www.osc.state.ny.us/vendor_management/).

5. **Requirements and Procedures for Business Participation Opportunities for New York State Certified Minority and Women-Owned Business Enterprises and Equal Employment Opportunities for Minority Group Members and Women.**

**NEW YORK STATE LAW.** Pursuant to New York State Executive Law Article 15-A, the Department recognizes its obligation under the law to promote opportunities for maximum feasible participation of certified minority-and women-owned business enterprises and the employment of minority group members and women in the performance of Department contracts.

In 2006, the State of New York commissioned a disparity study to evaluate whether minority and women-owned business enterprises had a full and fair opportunity to

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participate in state contracting. The findings of the study were published on April 29, 2010, under the title "The State of Minority and Women-Owned Business Enterprises: Evidence from New York" ("Disparity Study"). The report found evidence of statistically significant disparities between the level of participation of minority- and women-owned business enterprises in state procurement contracting versus the number of minority- and women-owned business enterprises that were ready, willing and able to participate in state procurements.

As a result of these findings, the Disparity Study made recommendations concerning the implementation and operation of the statewide certified minority- and women-owned business enterprises program. The recommendations from the Disparity Study culminated in the enactment and the implementation of New York State Executive Law Article 15-A, which requires, among other things, that the Department establishes goals for maximum feasible participation of New York State Certified minority- and women-owned business enterprises ("MWBE") and the employment of minority groups members and women in the performance of New York State contracts.

**Business Participation Opportunities for MWBEs.** For purposes of this solicitation, DTF hereby establishes an overall goal of 20% for MWBE participation; 10% for Minority-Owned Business Enterprises ("MBE") participation and 10% for Women-Owned Business Enterprises ("WBE") participation (based on the current availability of qualified MBEs and WBEs). A contractor ("Contractor") on the subject contract ("Contract") must document good faith efforts to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of the Contract and Contractor agrees that DTF may withhold payment pending receipt of the required MWBE documentation. The directory of New York State Certified MWBEs can be viewed at: <http://www.esd.ny.gov/mwbe.html>. For guidance on how DTF will determine a Contractor's "good faith efforts," refer to 5 NYCRR §142.8.

In accordance with 5 NYCRR §142.13, Contractor acknowledges that if it is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in the Contract, such finding constitutes a breach of Contract and DTF may withhold payment from the Contractor 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, if goals other than zero percent (0%) are established, a Bidder on the Contract ("Bidder") agrees to submit the following documents and information as evidence of compliance with the foregoing, if applicable:

- a. Bidders are required to submit **Attachment 4, MWBE Utilization Plan**, with their bid or proposal. Any modifications or changes to the MWBE Utilization Plan, after the Contract award and during the term of the Contract, must be reported on a revised MWBE Utilization Plan and submitted to DTF.
- b. DTF will review the submitted MWBE Utilization Plan and advise the Bidder of DTF's acceptance or issue a notice of deficiency within 30 days of receipt.

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- c. If a notice of deficiency is issued, Bidder agrees that it shall respond to the notice of deficiency within seven (7) business days of receipt by submitting to the New York State Department of Taxation and Finance, Office of Budget and Management Analysis, State Office Campus, Albany, New York 12227, ATTN: Ms. Catherine Golden, Director, Procurement Services Unit, a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by DTF to be inadequate, DTF shall notify the Bidder and direct the Bidder to submit, within five (5) business days, a request for a partial or total waiver of MWBE participation goals on a Request for **Waiver Form, Exhibit B**. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.
- d. DTF may disqualify a Bidder as being non-responsive under the following circumstances:
  - i If a Bidder fails to submit an MWBE Utilization Plan;
  - ii If a Bidder fails to submit a written remedy to a notice of deficiency;
  - iii If a Bidder fails to submit a request for waiver; or
  - iv If DTF determines that the Bidder has failed to document good faith efforts.

Contractors shall attempt to utilize, in good faith, any MBE or WBE identified within its MWBE Utilization Plan, during the performance of the Contract. Requests for a partial or total waiver of established goal requirements made subsequent to Contract Award may be made at any time during the term of the Contract to DTF, but must be made no later than prior to the submission of a request for final payment on the Contract.

Contractors are required to submit a Contractor's Quarterly M/WBE Contractor Compliance & Payment Report, Exhibit C to the New York State Department of Taxation and Finance, Office of Budget and Management Analysis, State Office Campus, Albany, New York 12227, ATTN: Ms. Catherine Golden, Director, Procurement Services Unit, by the 10th day following each end of quarter over the term of the Contract documenting the progress made toward achievement of the MWBE goals of the Contract.

- 6. Equal Employment Opportunity Requirements.** By submission of a bid or proposal in response to this solicitation, the Bidder/Contractor agrees with all of the terms and conditions of Appendix A including Clause 12 - Equal Employment Opportunities for Minorities and Women. The Contractor is required to ensure that it and any subcontractors awarded a subcontract over \$25,000 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, shall undertake or continue 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, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Contract; or (ii) employment outside New York State.

Bidder further agrees, where applicable, to submit with the bid Attachment 5, Staffing Plan, identifying the anticipated work force to be utilized on the Contract and if awarded

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a Contract, will, upon request, submit to DTF, a workforce utilization report identifying the workforce actually utilized on the Contract if known.

Further, pursuant to Article 15 of the Executive Law (the "Human Rights Law"), all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor and sub-contractors will 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 and prior arrest.

**Please Note: Failure to comply with the foregoing requirements may result in a finding of non-responsiveness, non-responsibility and/or a breach of the Contract, leading to the withholding of funds, suspension or termination of the Contract or such other actions or enforcement proceedings as allowed by the Contract.**

7. **Omnibus Procurement Act of 1982.** The Omnibus Procurement Act of 1982 requires that by signing this bid proposal, 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 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 by 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;
  - d. The Contractor acknowledges notice that New York 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.
8. **Permission to Investigate.** In the event that the Department determines it necessary to investigate evidence relative to a possible or actual 1) crime or 2) breach of security, Contractor and its subcontractors shall cooperate fully with the Department to the extent permitted by law to investigate and identify the responsible individuals. Contractor and its subcontractors shall, to the extent permitted by law, make their employees and all relevant records, including personnel records and employee photographs, available to Department investigators upon request by the Department's Office of Risk Management. The Department may interview Contractor's employees and/or agents in connection with an investigation during normal business hours.
9. **Cover Letter.** A transmittal letter must be signed by an official authorized to bind the Bidder to its provisions.

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**Response Requirement.** The cover letter must be signed by an official authorized to bind the Bidder to proposal provisions.

The cover letter must include the following:

- The complete name and address of the bidding entity;
- The Federal or Taxpayer Identification Number of the entity; and
- An affirmation that the proposal is binding for the required period indicated in Section V(A)(7).

**10. Vendor Responsibility Questionnaire.** Article XI §163(4)(d) of the State Finance Law states that “service contracts shall be awarded on the basis of best value to a responsive and responsible offerer”. Upon identification of the nominated Bidder, the Bidders’ Vendor Responsibility will be analyzed to ensure that the Bidder is responsible.

In the event that a Bidder is found to be not responsible, the Bidder may be disqualified.

**Response Requirement.** Bidders must complete a Vendor Responsibility Questionnaire. Bidders are invited to file the required Vendor Responsibility Questionnaire online via the OSC New York State VendRep system or may choose to complete and submit a paper questionnaire.

To enroll and use the New York State VendRep system, see the VendRep system instructions available at: [www.osc.state.ny.us/vendrep](http://www.osc.state.ny.us/vendrep) or go directly to the VendRep system online at: <https://portal.osc.state.ny.us>. For direct VendRep System user assistance, the OSC Help Desk may be reached at (866) 370-4672 or (518) 408-4672 or by email at [ciohelpdesk@osc.state.ny.us](mailto:ciohelpdesk@osc.state.ny.us). Bidders opting to file a paper questionnaire can obtain the appropriate questionnaire from the VendRep website at [www.osc.state.ny.us/vendrep](http://www.osc.state.ny.us/vendrep) or may contact one of the Department’s designated contacts.

Bidders that have filed a Vendor Responsibility Questionnaire online that has been certified/updated within the last six (6) months or Bidders opting to file online must complete **Attachment 6, Vendor Responsibility Response Form**. If a Vendor Responsibility Questionnaire has been filed online and has not been certified within the last six months, the Bidder must either update/recertify the online questionnaire or submit a new paper Vendor Responsibility Questionnaire. Bidders filing paper questionnaires must submit a copy of the completed questionnaire with its bid proposal.

Upon notification of award, the Contractor may be required to update/recertify the online questionnaire.

**11. MacBride Fair Employment Principles Form.** Required as part of the proposal submission in accordance with Chapter 807 of the Laws of 1992 and in accordance with Section 165 of the State Finance Law, the Bidder, by submission of this bid, certifies that it or any individual or legal entity that the Bidder holds a 10% or greater ownership interest in the Bidder, either have business operations in Northern Ireland and, if yes,



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

**Response Requirement.** Each Bidder must complete and submit **Attachment 7, MacBride Fair Employment Principles Form.**

- 12. Designation of Prime Contact.** This designation will last for the entire evaluation process and contract negotiations, and the Bidder must certify that this individual is authorized to respond on the behalf of the Bidder. Any change in this designation must be submitted in writing to the Department and include a revised form.

**Response Requirement.** Each Bidder must complete and submit **Attachment 8, Designation of Prime Contact Form.**

- 13. Non-Collusive Bidding Practices Certification.** A bid shall not be considered for award nor shall any award be made where the conditions of the Non-Collusive Bidding Certification have not been complied with; provided, however, that if in any case the Bidder cannot make the foregoing certification, the Bidder shall so state and shall furnish with the bid a signed statement which sets forth in detail the reasons therefore. Where the above conditions have not been complied with, the bid shall not be considered for award nor shall any award be made unless the head of the purchasing unit of the State, public department or agency to which the bid is made, or his designee, determine that such disclosure was not made for the purpose of restricting competition (Section 139-d of the State Finance Law).

**Response Requirement.** Each Bidder must complete and submit **Attachment 9, Non-Collusive Bidding Certification.**

- 14. Procurement Lobbying.** Pursuant to State Finance Law §§139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between DTF and an Offerer/Bidder during the procurement process. An Offerer/Bidder is restricted from making contacts from the earliest notice of intent to solicit offers/bids through final award and approval of the Procurement Contract by DTF and, if applicable, the Office of the State Comptroller (“restricted period”) to other than designated staff unless it is a contract that is included among certain statutory exceptions set forth in State Finance Law §139-j(3)(a). Designated staff, as of the date hereof, are identified in the Preface section of the IFB. DTF employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the Offerer/Bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for Contract award and in the event of two findings within a four-year period; the Offerer/Bidder is debarred from obtaining governmental Procurement Contracts. Information related to the Procurement Lobbying Law and DTF guidelines can be found on the Department’s Procurement website at: <http://www.tax.ny.gov/about/procure>.

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Contacting individuals other than the designated contacts listed in the Preface Section during the restricted period may result in disqualification of the Bidder's proposal - please refer to the Procurement Lobbying Law and the Department's guidelines posted on the Department's website at: <http://www.tax.ny.gov/about/procure>.

- a. Offerer Disclosure of Prior Non-Responsibility Determinations.** New York State Finance Law §139-k(2) obligates a Governmental Entity to obtain specific information regarding prior non-responsibility determinations with respect to State Finance Law §139-j. This information must be collected in addition to the information that is separately obtained pursuant to State Finance Law §163(9). In accordance with State Finance Law §139-k, an Offerer must be asked to disclose whether there has been a finding of non-responsibility made within the previous four (4) years by any Governmental Entity due to: (i1) a violation of State Finance Law §139-j to (2) the intentional provision of false or incomplete information to a Governmental Entity.

The terms "Offerer" and "Governmental Entity" are defined in State Finance Law §139-k(1). State Finance Law §139-j sets forth detailed requirements about the restrictions on Contacts during the procurement process. A violation of State Finance Law §139-j includes, but is not limited to, an impermissible Contact during the restricted period (for example, contacting a person or entity other than the designated contact person, when such contact does not fall within one of the exemptions).

As part of its responsibility determination, State Finance Law §139-k(3) mandates consideration of whether an Offerer fails to timely disclose accurate or complete information regarding the above non-responsibility determination. In accordance with law, no Procurement Contract shall be awarded to any Offerer that fails to timely disclose accurate or complete information under this Section, unless a finding is made that the award of the Procurement Contract to the Offerer is necessary to protect public property or public health or safety, and that the Offerer is the only source capable of supplying the required Article of Procurement within the necessary timeframe. See State Finance Law §§139-j(10)(b) and 139-k(3).

A Governmental Entity must include a disclosure request regarding prior non-responsibility determinations in accordance with State Finance Law §139-k in its solicitation of proposals or bid documents or specifications or Contract documents, as applicable, for Procurement Contracts. The attached form is to be completed and submitted by the individual or entity seeking to enter into a Procurement Contract. It shall be submitted to the Governmental Entity conducting the Governmental Procurement.

**Response Requirement.** Each Bidder must complete and submit **Attachment 10, Offerer Disclosure of Prior Non-Responsibility Determinations.**

- b. Offerer's Certification of Compliance with State Finance Law 139-k(5).** New York State Finance Law 139-k(5) requires that every Procurement Contract Award subject to the provisions of State Finance Law 139-k or 139-j shall contain a certification by

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

The Department reserves the right to terminate any Contract award as a result of this IFB in the event it is found that the certification filed by the Offerer/Bidder in accordance with New York State Finance Law 139-k was intentionally false or intentionally incomplete.

**Response Requirement.** Each Bidder must complete and **submit Attachment 11, Offerer's Certification of Compliance with State Finance Law 139-k(5).**

**15. Secrecy Provisions (DTF-202).**

**A. Required Form.** The Contractor will require each employee and/or subcontractor assigned to this Agreement to sign form DTF-202 Agreement to Adhere to the Secrecy Provisions of the Tax Law and the Internal Revenue Code as set forth in **Attachment 12**. This form is to be retained by the Contractor and provided to the Department upon request.

**B. New York State Department of Taxation and Finance Secrecy Provisions.** The various secrecy provisions of the Tax Law (i.e., Tax Law § 697 (e) and 1825) prohibit independent Contractors from disclosing tax information in any manner and provide for misdemeanor prosecution for violations. The secrecy provisions of the Internal Revenue Code (26 USC § 6103) provide for felony prosecution for unauthorized disclosure of Federal tax information in the possession of the Department.

All other information about the Department's operations not covered by the preceding provisions of law must be kept confidential as if it were so covered. Bidder representatives must comply with the administrative procedures enforcing these rules.

The Contractor, all staff members and subcontractors shall agree not to divulge or use, for their own benefit or the benefit of others, confidential tax administration information; and to subscribe to §73 and 74 the Public Officers Law.

**16. Ethics Compliance.** All Bidders/contractors and their employees must comply with Public Officers Law §§73 and 74, Chapter 1 of the Laws of 2005, the Procurement Lobbying Reform Act of 2005, and other State statutes, rules, regulations and executive orders establishing ethical standards for the conduct of business with New York State. In signing the bid, the Bidder certifies full compliance with those provisions for any present or future dealings, transactions, sales, Contracts, services, offers, relationships, etc., involving New York State and/or its employees. Failure to comply with those provisions may result in disqualification from the bidding process, termination of Contracts, and/or other civil or criminal proceedings as required by law.

**Response Requirement.** Each Bidder must complete and submit **Attachment 13 (a), Public Officers Law Form and Attachment 13 (b), Public Officers Law – Post Employment Restrictions**, which address business or professional activities by state

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officers and employees and party officers. These forms shall be made part of the resultant contract.

- 17. Sales and Compensating Use Tax Documentation.** Section 5-a of the Tax Law, as amended, effective April 26, 2006, requires certain Contractors awarded state Contracts for commodities, services and technology valued at more than one hundred thousand dollars (\$100,000.00) to certify to the DTF that they are registered to collect New York State and local sales and compensating use taxes. The law applies to Contracts where the total amount of such Contractors, subcontractors or affiliations sales delivered into New York State are in excess of three hundred thousand dollars (\$300,000.00) for the four (4) quarterly periods immediately preceding the quarterly period in which the certification is made.

This law also imposes upon certain Contractors the obligation to certify whether or not the Contractor, its affiliates, and its subcontractors are required to register to collect state sales and compensating use taxes and Contractors must certify to DTF that each affiliate and subcontractor exceeding the three hundred thousand dollars (\$300,000.00) sales threshold referenced above is registered with DTF to collect New York State and local sales and compensating use taxes. The law prohibits the State Comptroller, or other approving agency, from approving a Contract awarded to a Bidder meeting the registration requirements but who has not registered in accordance with the law.

- 18. Prime Contractors/Subcontractors.** The successful Bidder shall act as Prime Contractor under the contract, and shall be held solely responsible for contract performance by the Bidder, its partners, officers, employees, subcontractors and agents. The Bidder shall be responsible for payment of all subcontractors and suppliers, including all third-party service providers contracted by or through the Bidder in performance of the contract. Where services are supplied by or through the Bidder under the contract, it is mandatory for the Bidder to assume full responsibility for the performance for services, as applicable. The Bidder shall also be responsible for payment of any license fees, rents or other monies due to third parties for services provided under this contract.

Proposed subcontractors must be identified at the time of bid submission and are subject to the approval of the State.

**Response Requirement.** Each Bidder must complete and submit **Attachment 14** listing all subcontractors who will be utilized for the performance of services under any resultant contract as well as a description of the services to be subcontracted..

- 19. Proposed Extraneous Terms.** Proposals must conform to the terms and conditions set forth in this IFB. Any objections to terms and conditions set forth in Section V must be provided to the Department in the Bidder's Proposal. Material deviations to the terms and conditions set forth in the IFB (including additional, inconsistent, conflicting or alternative terms) may render the bid non-responsive and may result in rejection.

**Response Requirement.** The Bidder must attach any objections to the terms and conditions outlined in Section V (B).

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

- Each proposed extraneous term (addition, counter-offer, deviation or modification) must be specifically enumerated in writing which is not part of a pre-printed form;
- The writing must identify the particular term to which the Bidder objects or proposes to modify by inclusion of the extraneous term and the reasons therefore.

Extraneous term(s) submitted on standard, pre-printed forms (including but not limited to: product literature, order forms, license agreements, contracts or other documents), whether or not deemed “material”, which are attached or referenced with submissions, and which do not meet the above requirements will not be considered part of the bid or resulting contract, but rather will be deemed to have been included for informational or promotional purposes only.

Acceptance and/or processing of the bid proposal shall not constitute such written acceptance of Extraneous Term(s) or a waiver of the Department’s right set forth in Section V (B). Failure to object to any terms identified in Section V (B) shall be deemed to constitute acceptance thereof by the Bidder.

**20. Request for Exemption from Disclosure.** The bids are presumptively available for public inspection. If this would be unacceptable to Bidders, they should apply to the Department for trade secret protection of their bid.

In applying for trade secret protection, it would be unacceptable to indiscriminately categorize the entire proposal as such. The Bidder should point out those sections of the proposal that are trade secrets and explain the reasons therefore. The Bidder may wish to review with its legal counsel Restatement of Torts, Section 757, comment b, and the cases under FOIL, 5 USC Section 522, as well as the Freedom of Information Act. The Department will review applications and grant trade secret protection, if appropriate.

**Response Requirement.** To obtain trade secret protections, the Bidder must submit with its response, a letter specifically identifying the page number, line or other appropriate designation of the information that is trade secret and explain in detail why such information is a trade secret and would be exempt from disclosure.

**21. Iran Divestment Act.** By submitting a bid in response to this solicitation or by assuming the responsibility of a Contract awarded hereunder, Bidder/Contractor (or any assignee) certifies that it is not on the “Entities Determined To Be Non-Responsive Bidders/Offerers Pursuant to The New York State Iran Divestment Act of 2012” list (“Prohibited Entities List”) posted on the OGS website at: <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf> and further certifies that it will not utilize, on such Contract, any subcontractor that is identified on the Prohibited Entities List. Additionally, Bidder/Contractor is advised that should it seek to renew or extend a Contract awarded in response to the solicitation, it must provide the same certification at the time the Contract is renewed or extended.

During the term of the Contract, should DTF receive information that a person (as defined in State Finance Law §165-a) is in violation of the above-referenced

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certifications, DTF 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 ninety (90) days after the determination of such violation, then DTF shall take such action as may be appropriate and provided for by law, rule, or contract, including, but not limited to, seeking compliance, recovering damages, or declaring the Contractor in default.

DTF 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.

## 22. Termination

**Termination for Cause.** The Department reserves the right to terminate a resulting contract immediately upon written notice as follows:

If the Contractor fails to perform its obligations as set forth in Section V(B)(15), Secrecy, the contract may be cancelled immediately upon written notice. At its sole discretion, the Department may elect not to allow a cure period for such failure.

Otherwise, if the Contractor fails to perform its material obligations under the contract and does not, within ten (10) calendar days after receiving written notice from the Department describing the alleged material failure, either,

1. Cure the material failure; or
2. If the material failure is one that cannot be reasonably cured within ten (10) calendar days after receiving written notice from the Department then the Department may either terminate this Agreement, in whole or in part, and pursue available remedies, subject to the limitations contained in Section V(B)(26) (Indemnification and Limitation of Liability) or extend the time of the cure period.

For purposes of this IFB, material failure to perform by the Contractor is a failure to perform an obligation that the Contractor is bound to perform under this Agreement which is so fundamental to the Agreement that the failure to perform the obligation defeats the purpose of the Agreement. Material failure to perform by Contractor shall include, but not limited to:

1. Failure to meet the obligations and responsibilities imposed on the Contractor by Section II.
2. Contractor is or becomes insolvent or a party to any bankruptcy or receivership proceeding, or any similar action affecting the affairs or property of Contractor.
3. Failure of the Contractor to remain a responsible Contractor consistent with applicable New York State law, regulations and/or policy.
4. A finding that the certification filed by the Contractor in accordance with Procurement Lobbying was intentionally false or intentionally incomplete.

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5. A finding that the information filed by the Contractor in accordance with the requirements for Vendor Responsibility is incomplete, untrue or inaccurate.
6. Failure of Contractor to maintain vendor responsibility substantially similar to, or superior to, its status as of the execution of this Agreement.
7. A finding that the certification filed by the Contractor in accordance with Section 5-a of the Tax Law was not timely filed during the term of the Contract or the Certification filed was intentionally false or intentionally incomplete.

**Termination for Convenience.** The Department may terminate the contract in whole or in part at any time for convenience upon thirty (30) days written notice to the Contractor without penalty or other early termination charges due. The termination effective date will be the last day of the month following the thirty (30) days written notice.

**Termination for Non-Responsibility.** Upon written notice to the Contractor, and a reasonable opportunity to be heard with appropriate Department officials or staff, the Contract may be terminated by the Commissioner of DTF or his or her designee at the Contractor's expense where the Contractor is determined by the Commissioner or his or her designee to be non-responsible. In such event, the Commissioner 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.

**Procedure for Termination.** In the event of termination for cause or convenience, the parties agree to cooperate in a manner to effect an orderly termination of the Contract.

- 23. Information Security Breach and Notification Act.** Contractor expressly agrees to comply with the provisions of Chapter 442 of the Laws of 2005, as amended by Chapter 491 of the Laws of 2005, commonly known as the Information Security Breach and Notification Act (the "ISBNA" or "Act"), and any future amendments thereto. Contractor shall comply with all obligations imposed by the notice provisions of the ISBNA with respect to any computerized "private information" (as defined in the Act) received, handled, processed, uploaded, or maintained by Contractor on behalf of the Department under this Agreement (hereinafter, the "DTF Information"). In the event of a "breach of the security of the system" (as defined by the Act), Contractor shall immediately notify the Department upon discovery or notification of such breach. Such notice to the Department shall be made by contacting the Department's Information Security Office by email to: [Information\\_Security\\_Office@tax.ny.gov](mailto:Information_Security_Office@tax.ny.gov). Contractor shall immediately commence an investigation, in cooperation with the Department, to determine the scope of the breach and to restore the security of the system. To the extent the Department determines that further notifications are required to be sent out pursuant to the Act, Contractor shall be responsible for providing such notifications to all required recipients including, in accordance with New York State policy, non-New York State residents whose private information is reasonably believed to have been exposed as a result of the breach, and all costs associated with providing such notices shall be borne by the Contractor. It is expressly agreed that Contractor shall be obligated to receive authorization from the Department prior to making any notifications to any individuals, the State Office of Cyber Security and Critical Infrastructure Coordination, the State Consumer Protection Board, the Attorney

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General's Office or any consumer reporting agencies of a breach of the security of the system, or concerning making any determination to delay notifications due to law enforcement investigations. Contractor agrees that the Department shall have final approval over the form, content, mode of transmission, and timing of any notice to be provided concerning a breach of the security of the Department Information. Nothing contained herein shall be interpreted as reducing or altering Contractor's obligations under section 899-aa of the General Business Law.

**24. Dispute Resolution.** The first step of dispute resolution will be through conference between the Department and the Contractor. The party initiating the process shall notify the other party in writing and set forth the issues for resolution and provide all necessary documentation. Unresolved disputes will be resolved by the Commissioner of Taxation, or his designee, whose decision is final and binding. During this period all work required hereunder shall be performed. If the Contractor pursues any legal or equitable remedy outside the Department, the Contractor will continue to perform work in accordance with the direction of the Department until such proceedings may be concluded and will continue to be paid, less an amount attributable to the disputed work. Disputes that go to litigation must be pursued in a court of competent jurisdiction of the State of New York. New York law will govern the dispute and venue must be laid in Albany County, New York.

**25. Tax Liabilities.** All outstanding Tax Liabilities, due to the State of New York from the Contractor, or Contractor's partners, agents and subcontractors engaged in providing services under this Agreement, other than tax liabilities being contested by any such party, must be satisfied prior to the execution of this Agreement, or a payment schedule arranged for their speedy satisfaction.

**26. Indemnification and Limitation of Liability.**

**A. Indemnification.** Contractor shall be fully liable for the actions of its agents, employees, partners or subcontractors and shall fully indemnify and save harmless the Department from suits, actions, damages and costs of every name and description relating to personal injury and damage to real or personal tangible property caused by any intentional act or negligence of Contractor, its agents, employees, partners or subcontractors, without limitation, provided, however, that the Contractor shall not indemnify for that portion of any claim, loss or damage arising hereunder due to the negligent act or failure to act of the Department.

**B. Intellectual Property Rights Indemnity.** Contractor shall fully indemnify, defend and save harmless the State, its officers, employees, and agents or subcontractors without monetary limitation from and against any and all losses, liabilities, judgments, damages, awards and costs (including legal fees and expenses), arising out of or related to any claim of, or action for, infringement of a United States Letter Patent, or of any copyright, trademark, trade secret or other third party intellectual property rights in each case to the extent caused by any services provided by Contractor hereunder, provided that the Department shall give the Contractor: (i) prompt written notice of any action, claim or threat of infringement suit, or other suit, promptness of which shall be established by the Department upon the



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furnishing of written notice and verified receipt, (ii) the opportunity to take over, settle or defend such action, claim or suit at the Contractor's sole expense, and (iii) assistance in the defense of any such action at the expense of the Contractor. Where a dispute or claim arises relative to a real or anticipated infringement, the Department may require the Contractor, at its sole expense, to submit such information and documentation, including formal patent attorney opinions, as the Department shall require.

- C. Limitation of Liability.** Contractor will be liable to DTF for all actual damages incurred as a direct result of Contractor's failure to exercise reasonable care in providing the Services and performing its obligations under this Agreement, provided, Contractor's liability will not exceed two million dollars (\$2,000,000.00) per year provided, however, that such dollar cap shall not apply to damages resulting from Contractor's (i) willful, malicious, intentional misconduct, (ii) intentional tortious conduct, or (iii) gross negligence.

**NOTWITHSTANDING THE FOREGOING, CONTRACTOR REMAINS LIABLE, WITHOUT MONETARY LIMITATION, FOR DIRECT DAMAGES FOR PERSONAL INJURY, DEATH OR DAMAGE TO REAL PROPERTY OR TANGIBLE PERSONAL PROPERTY OR INTELLECTUAL PROPERTY ATTRIBUTABLE TO THE NEGLIGENCE OR OTHER TORT OF CONTRACTOR, ITS OFFICERS, EMPLOYEES OR AGENTS.**

- D. Force Majeure.** Neither the Department or the Contractor shall be responsible to the other for a delay resulting from its failure to perform if neither the fault nor negligence of the Department or the Contractor, its officers, employees or agents contributed to such delay and the delay is due directly to acts of God, wars, acts of public enemies, strikes, fire or floods, or other similar causes beyond the control of either party, or for any of the foregoing which affects subcontractors or suppliers and no alternate source of supply is available to the Contractor. In such event, the aggrieved party shall notify the other party, by certified or registered mail, of the delay or potential delay and the cause(s) thereof either (i) within ten (10) calendar days after the cause which creates or will create the delay first arose if the aggrieved party could reasonably foresee that a delay could occur by reason thereof, or (ii) if the delay is not reasonably foreseeable, within five (5) calendar days after the date the aggrieved party first had reason to believe that a delay could result. The foregoing shall constitute the aggrieved parties sole remedy or excuse with respect to such delay. In the event performance is suspended or delayed in whole or in part, by reason of any of the aforesaid causes or occurrences and proper notification is given to the other party, any performance so suspended or delayed shall be performed by the Contractor at no increased cost, promptly after such disabilities have ceased to exist unless it is determined in the sole discretion of the Department that the delay will significantly impair the value of the Contract to the Department. In the event of such determination, the Department may immediately terminate the contract with written notice.
- E. Breach of Confidentiality.** The Contractor shall be liable for breach of the confidentiality provisions of this Agreement in an amount not to exceed the amount

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allowed by applicable Federal or New York State law, including any damages construed as incidental, consequential or indirect damages.

**VI. Proposal Submission.**

The Bidder must provide a response that clearly and precisely provides all required information. Emphasis should be placed on conformance with the IFB instructions, responsiveness to the IFB requirements and clarity of the intent.

Proposals that do not comply with these instructions or do not meet the full intent of all of the requirements of this IFB may be deemed non-responsive. The Department does not require, nor desire, any excessive promotional material which does not specifically address the response requirements of this IFB.

**A. Submission of Proposals.** The Bidder must submit two (2) originals and four (4) copies of their bid proposal. All bid proposals must be bound separately, be clearly identified, and should contain page numbers.

To facilitate the evaluation process, the proposal must be packaged and submitted as outlined in this section. Faxed or electronically transmitted proposals will not be accepted. Bidder proposals must be enclosed in packages or sealed containers with the following visibly inscribed on the outside of all containers:

New York State Department of Taxation and Finance  
Office of Budget and Management Analysis  
Attn: Catherine Golden, Director  
Procurement Services Unit  
W. A. Harriman State Office Building Campus  
Albany, New York 12227

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

"BID ENCLOSED"  
IFB #13-04  
Downstate Parking  
Bid Submission Date and time

**Please note: Deliveries by delivery services (e.g., UPS, FedEx, etc.) and/or requiring a signature of receipt should be addressed to the Department's Campus address, however, the delivery service must be instructed to deliver the bid documents to the following address:**

90 Cohoes Avenue  
Green Island, New York 12183

Only under the circumstances identified in Section V(A)(16)(e), will the Department consider any proposals received after the time and date specified in the Schedule of Events. In the event a package is not labeled properly as described in this Section, the Department reserves the right to inspect the contents of the package(s) to determine the contents. The Bidder shall have no claim against the Department arising from such inspection and such inspection shall not affect the validity of the procurement. Notwithstanding, the

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Department's right to inspect the contents of the package(s), the Bidder assumes all risk of late delivery associated with the bid not being identified, packaged or labeled in accordance with the foregoing requirements.

## VII. Proposal Evaluation

Pursuant to Article XI of the State Finance Law, the basis for contract award under this IFB will be "lowest cost" among responsive and responsible Bidders.

1. **Proposal Clarification.** The Department reserves the right to require a Bidder to provide clarification and validation of its proposal through any means the Department deems necessary. Failure of a Bidder to cooperate with the Department efforts to clarify or validate proposal information may result in the proposal being labeled as non-responsive and given no further consideration.
2. **Evaluation Process Overview.** There will be two phases to the evaluation process. Proposals which pass Phase One of the evaluation will be further evaluated in Phase Two.

a. **Phase One.** All timely submitted proposals will be evaluated in Phase One. Proposals will be evaluated in the following areas:

- i. **Proposal Screening/Completeness Checklist (Pass/Fail).** Each proposal will be screened for completeness and conformance with the Department requirements for proposal submission as specified in this IFB. Proposals which do not meet the requirements may be labeled as non-responsive and may not be given further consideration.
- ii. **Mandatory Requirements (Pass/Fail).** All proposals that pass the Proposal Screening/Completeness Checklist review will be evaluated to determine if the Bidder meets the Mandatory Requirements specified in Section III.

The Department will contact client references in response to the Mandatory Requirements to evaluate, on a Pass/Fail basis, the Bidder's past performance related to providing enclosed and secure parking spaces/services. Proposals that pass this stage of the evaluation process will be further evaluated in Phase Two.

- b. **Phase Two.** All proposals which pass Phase One of the evaluation will be reviewed and evaluated against the cost proposal requirements as specified in Section IV of the IFB, and Attachment A.
3. **Method of Award.** One (1) award will be made based on the lowest cost for services to the Department by a responsive and responsible Bidder whose proposal passes all specifications and Mandatory Requirements as outlined in the IFB. The successful Bidder will be advised of selection by the Department through the issuance of a "Notification of Intent to Award" letter.

In the event of a tie, the following tie breaking mechanism will be used to determine the winning Vendor:

- i The Bidder's prior experience with the Department.
- ii Determination by Commissioner.

**APPENDIX A**

**STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS**

PLEASE RETAIN THIS DOCUMENT  
FOR FUTURE REFERENCE.

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**STANDARD CLAUSES FOR NYS CONTRACTS**

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

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

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

**3. COMPTROLLER'S APPROVAL.** In accordance with Section 112 of the State Finance Law (or, if this contract is with the State University or City University of New York, Section 355 or Section 6218 of the Education Law), if this contract exceeds \$50,000 (or the minimum thresholds agreed to by the Office of the State Comptroller for certain S.U.N.Y. and C.U.N.Y. contracts), or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money when the value or reasonably estimated value of such consideration exceeds \$10,000, it shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office. Comptroller's approval of contracts let by the Office of General Services is required when such contracts exceed \$85,000 (State Finance Law Section 163.6-a). 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, national origin, sexual orientation, age, disability, genetic predisposition or carrier status, or marital status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public

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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-

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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



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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.

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

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

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

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

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

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

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

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

NYS Department of Economic Development  
Division for Small Business

New York State Department of Taxation and Finance  
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Albany, New York 12245  
Telephone: 518-292-5100  
Fax: 518-292-5884  
email: [opa@esd.ny.gov](mailto: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  
212-803-2414  
email: [mwbecertification@esd.ny.gov](mailto:mwbecertification@esd.ny.gov)  
<http://esd.ny.gov/MWBE/directorySearch.html>

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).

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**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.


**December 2012**

**Exhibit 1 - Downstate Vehicles**

<b>Type of Vehicle</b>	<b># of Vehicles</b>
<b>Sedan</b>	<b>14</b>
<b>Mid Size SUV</b>	<b>5</b>
<b>Mini Van</b>	<b>5</b>
<b>Full Size Van</b>	<b>1</b>
<b>Total</b>	<b>25</b>

## Exhibit A - New York State Office of the State Comptroller Substitute Form W-9

AC 3237-S (Rev. 1/12)

	<b>NEW YORK STATE OFFICE OF THE STATE COMPTROLLER</b> <b>SUBSTITUTE FORM W-9:</b> <b>REQUEST FOR TAXPAYER IDENTIFICATION NUMBER &amp; CERTIFICATION</b>										
<i>TYPE OR PRINT INFORMATION NEATLY. PLEASE REFER TO INSTRUCTIONS FOR MORE INFORMATION.</i>											
<b>Part I: Vendor Information</b>											
1. Legal Business Name:	2. If you use a DBA, please list below:										
3. Entity Type (Check one only) <span style="border: 1px solid black; padding: 2px;">1. Legal Business Name</span> <input type="checkbox"/> Sole Proprietor <input type="checkbox"/> Partnership <input type="checkbox"/> Business Corporation <input type="checkbox"/> Unincorporated Association/Business <input type="checkbox"/> Federal Government <input type="checkbox"/> State Government <input type="checkbox"/> Public Authority <input type="checkbox"/> Local Government <input type="checkbox"/> School District <input type="checkbox"/> Fire District <input type="checkbox"/> Other _____											
<b>Part II: Taxpayer Identification Number (TIN) &amp; Taxpayer Identification Type</b>											
1. Enter your TIN here: (DO NOT USE DASHES)											
<table border="1" style="width: 100%; height: 20px;"> <tr> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> <td style="width: 12.5%;"></td> </tr> </table>											
2. Taxpayer Identification Type (check appropriate box):											
<input type="checkbox"/> Employer ID No. (EIN) <input type="checkbox"/> Social Security No. (SSN) <input type="checkbox"/> Individual Taxpayer ID No. (ITIN) <input type="checkbox"/> N/A (Non-United States Business Entity)											
<b>Part III: Address</b>											
1. Physical Address:	2. Remittance Address:										
Number, Street, and Apartment or Suite Number	Number, Street, and Apartment or Suite Number										
City, State, and Nine Digit Zip Code or Country	City, State, and Nine Digit Zip Code or Country										
<b>Part IV: Exemption from Backup Withholding and Certification</b>											
For payees exempt from Backup Withholding, check the box below. Valid explanation required for exemption. See instructions. <input type="checkbox"/> <b>Exempt from Backup Withholding</b>											
The Internal Revenue Service does not require your consent to any provision of this document other than the certifications required to avoid backup withholding. Under penalties of perjury, I certify that the number shown on this form is my correct Taxpayer Identification Number (TIN).											
Sign Here:											
_____	_____										
Signature	Date										
Print Preparer's Name	Phone Number      Email Address										
<b>Part V: Contact Information – Individual Authorized to Represent the Vendor</b>											
Vendor Contact Person:	Title:										
Contact's Email Address: _____	Phone Number: _____										
<b>DO NOT SUBMIT FORM TO IRS — SUBMIT FORM TO NYS ONLY AS DIRECTED</b>											
<b>FOR OSC USE ONLY</b>											

New York State Department of Taxation and Finance  
Invitation for Bids #13-04  
Downstate Parking

**NYS Office of the State Comptroller Instructions for Completing Substitute Form W-9**

New York State (NYS) must obtain your correct Taxpayer Identification Number (TIN) to report income paid to you or your organization. NYS Office of the State Comptroller uses the Substitute Form W-9 to obtain certification of your TIN in order to ensure accuracy of information contained in its payee/vendor database and to avoid backup withholding.<sup>1</sup> We ask for the information on the Substitute Form W-9 to carry out the Internal Revenue laws of the United States. You are required to give us the information. Any payee/vendor who wishes to do business with New York State must complete the Substitute Form W-9. Substitute Form W-9 is the only acceptable documentation. We will not accept IRS Form W-9.

**Part I: Vendor Information**

1. **Legal Business Name:** For individuals, enter the name of the person who will do business with NYS as it appears on the Social Security card or other required Federal tax documents. An organization should enter the name shown on its charter or other legal documents that created the organization. Do not abbreviate names.
2. **DBA (Doing Business As):** Enter your DBA name.
3. **Entity Type:** Mark the Entity Type doing business with New York State.

**Part II: Taxpayer Identification Number (TIN) and Taxpayer Identification Type**

1. **Taxpayer Identification Number:** Enter your nine-digit Social Security Number, Individual Taxpayer Identification Number (ITIN)<sup>2</sup> or Employer Identification Number.
2. **Taxpayer Identification Type:** Mark the type of identification number provided.

**Part III: Address**

1. **Physical Address:** List the location of where your business is physically located.
2. **Remittance Address:** List the location where payments should be delivered.

**Part IV: Exemption from Backup Withholding and Certification**

Generally, reportable payments made by New York State are subject to Backup Withholding. Exemption from Backup Withholding applies to government and non-United States Business Entities<sup>3</sup>. Please sign, date, provide the preparer's name, telephone and email address. The preparer should be employed by your organization.

**Part V: Contact Information**

Please provide the contact information for an executive at your organization. This individual should be the person who makes legal and financial decisions for your organization.

1. According to IRS Regulations, OSC must withhold 28% of all payments if a payee/vendor fails to provide OSC its certified TIN. The Substitute Form W-9 certifies a payee/vendor's TIN.
2. An ITIN is a nine-digit number used by the United States Internal Revenue Service for individuals not eligible to obtain a Social Security Number, but are required to file income taxes. To obtain an ITIN, submit a completed W-7 to the IRS. The IRS will notify you in writing within 4 to 6 weeks about your ITIN status. In order to do business with New York State, **you must submit IRS Form W-8** along with our Substitute Form W-9 showing your ITIN. IRS Form W-8 certifies your foreign status. To obtain IRS Forms W-7 and W-8, call 1-800-829-3676 or visit the IRS website at [www.irs.gov](http://www.irs.gov).
3. In order to do business with New York State, **you must submit IRS Form W-8** along with our Substitute Form W-9. IRS Form W-8 certifies your foreign status and exempts you from United States information return reporting and backup withholding rules. To obtain IRS Form W-8, call 1-800-829-3676 or visit the IRS website at [www.irs.gov](http://www.irs.gov).

New York State Department of Taxation and Finance  
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## Exhibit B - Request For Waiver Form

<b>INSTRUCTIONS: SEE PAGE 2 OF THIS ATTACHMENT FOR REQUIREMENTS AND DOCUMENT SUBMISSION INSTRUCTIONS.</b>		
<b>Offeror/Contractor Name:</b>	<b>Federal Identification No.:</b>	
<b>Address:</b>	<b>Solicitation/Contract No.:</b>	
<b>City, State, Zip Code:</b>	<b>M/WBE Goals: MBE      %      WBE      %</b>	
By submitting this form and the required information, the offeror/contractor certifies that every Good Faith Effort has been taken to promote M/WBE participation pursuant to the M/WBE requirements set forth under the contract.		
Contractor is requesting a:		
1. <input type="checkbox"/> MBE Waiver – A waiver of the MBE Goal for this procurement is requested. <input type="checkbox"/> Total <input type="checkbox"/> Partial		
2. <input type="checkbox"/> WBE Waiver – A waiver of the WBE Goal for this procurement is requested. <input type="checkbox"/> Total <input type="checkbox"/> Partial		
3. <input type="checkbox"/> Waiver Pending ESD Certification – (Check here if subcontractors or suppliers of Contractor are not certified M/WBE, but an application for certification has been filed with Empire State Development.)      Date of such filing with Empire State Development: _____		
<b>PREPARED BY (Signature):</b> SUBMISSION OF THIS FORM CONSTITUTES THE OFFEROR/CONTRACTOR'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-A AND 5 NYCRR PART 143. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND/OR TERMINATION OF THE CONTRACT.	<b>Date:</b>	
<b>Name and Title of Preparer (Printed or Typed):</b>	<b>Telephone Number:</b>	<b>Email Address:</b>
Submit with the bid or proposal or if submitting after award submit to:	***** FOR M/WBE USE ONLY *****	
	<b>REVIEWED BY:</b>	<b>DATE:</b>
	Waiver Granted: <input type="checkbox"/> YES      MBE: <input type="checkbox"/> WBE: <input type="checkbox"/>	
	<input type="checkbox"/> Total Waiver <input type="checkbox"/> Partial Waiver <input type="checkbox"/> ESD Certification Waiver <input type="checkbox"/> *Conditional <input type="checkbox"/> Notice of Deficiency Issued _____ <b>*Comments:</b>	

M/WBE 104 (Revised 11/08)



New York State Department of Taxation and Finance  
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Downstate Parking

**REQUIREMENTS AND DOCUMENT SUBMISSION INSTRUCTIONS**

**When completing the Request for Waiver Form please check all boxes that apply. To be considered, the Request for Waiver Form must be accompanied by documentation for items 1 – 11, as listed below. If box # 3 has been checked above, please see item 11. Copies of the following information and all relevant supporting documentation must be submitted along with the request:**

1. A statement setting forth your basis for requesting a partial or total waiver.
2. The names of general circulation, trade association, and M/WBE-oriented publications in which you solicited certified M/WBEs for the purposes of complying with your participation goals.
3. A list identifying the date(s) that all solicitations for certified M/WBE participation were published in any of the above publications.
4. A list of all certified M/WBEs appearing in the NYS Directory of Certified Firms that were solicited for purposes of complying with your certified M/WBE participation levels.
5. Copies of notices, dates of contact, letters, and other correspondence as proof that solicitations were made in writing and copies of such solicitations, or a sample copy of the solicitation if an identical solicitation was made to all certified M/WBEs.
6. Provide copies of responses made by certified M/WBEs to your solicitations.
7. Provide a description of any contract documents, plans, or specifications made available to certified M/WBEs for purposes of soliciting their bids and the date and manner in which these documents were made available.
8. Provide documentation of any negotiations between you, the Offeror/Contractor, and the M/WBEs undertaken for purposes of complying with the certified M/WBE participation goals.
9. Provide any other information you deem relevant which may help us in evaluating your request for a waiver.
10. Provide the name, title, address, telephone number, and email address of offeror/contractor's representative authorized to discuss and negotiate this waiver request.
11. Copy of notice of application receipt issued by Empire State Development (ESD).

**Note:**

**Unless a Total Waiver has been granted, the Offeror/Contractor will be required to submit all reports and documents pursuant to the provisions set forth in the Contract, as deemed appropriate by AGENCY, to determine M/WBE compliance.**

**M/WBE 104 Instructions (11/08)**

New York State Department of Taxation and Finance  
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Is this a final report? Check One  
 Yes \_\_\_\_\_ No \_\_\_\_\_

**Exhibit C - M/WBE Quarterly Report**  
 of

**NYS AGENCY Contract No.** \_\_\_\_\_ **Project No.** \_\_\_\_\_

The following information indicates the payment amounts made by the grantee/contractor to the NYS Certified M/WBE subcontractor on this project.  
 The payments as shown made are in compliance with contract documents for the above referenced project.

Contractors Name and Address		Federal ID#	Goals/\$ Amt. MBE _____%= _____ WBE _____%= _____		Contract Type _____ Paid to Contractor This Quarter _____ Total Paid to Contractor To Date _____					
		Project Completion Date	Work Location		Reporting Period: ___ 1 <sup>st</sup> Quarter (4/1-6/30) ___ 3 <sup>rd</sup> Quarter (10/1-12/31) ___ 2 <sup>nd</sup> Quarter (7/1-9/30) ___ 4 <sup>th</sup> Quarter (1/1-3/31)					
M/WBE Subcontractor/Vendor	Product Code*	Work Status This Report	Total Subcontractor Contract Amount		Payments this Quarter		Previous Payments		Total Payment Made to Date	
			MBE	WBE	MBE	WBE	MBE	WBE	MBE	WBE
Name: FED ID#		___ Active ___ Inactive ___ Complete								
Name: FED ID#		___ Active ___ Inactive ___ Complete								
Name: FED ID#		___ Active ___ Inactive ___ Complete								
Name: FED ID#		___ Active ___ Inactive ___ Complete								
<b>Total</b>										

\*See Reverse Side for Product Codes

Date \_\_\_\_\_ Name \_\_\_\_\_ Title \_\_\_\_\_

Signature \_\_\_\_\_

New York State Department of Taxation and Finance  
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**PRODUCT KEY CODE**

A	=	Agriculture/ Landscaping (e.g., all forms of landscaping services)
B	=	Mining (e.g., geological investigations)
C	=	Construction
C15	=	Building Construction – General Contractors
C16	=	Heavy Construction (e.g., highway, pipe laying)
C17	=	Special Trade Contractors (e.g., plumbing, heating, electrical, carpentry)
D	=	Manufacturing
E	=	Transportation, Communication and Sanitary Services (e.g., delivery services, warehousing, broadcasting and cable systems)
F/G	=	Wholesale/Retail Goods (e.g. hospital supplies and equipment, food stores, computer stores, office supplies)
G52	=	Construction Materials (e.g., lumber, paint, law supplies)
H	=	Financial, Insurance and Real Estate Services
I	=	Services
I73	=	Business Services (e.g., copying, advertising, secretarial, janitorial, rental services of equipment, computer programming, security services)
I81	=	Legal Services
I82	=	Education Services (e.g., AIDS education, automobile safety, tutoring, public speaking)
I83	=	Social Services (Counselors, vocational training, child care)
I87	=	Engineering, architectural, accounting, research, management and related services

## Attachment 1 - Bidders Checklist

### Mandatory and Financial Requirements

- Attachment A – Financial Response Form
- Attachment B – Insurance Response Form
- Attachment C – Bidder Attestation Form

### Administrative Requirements

- Cover Letter
  - Proposed Extraneous Terms
  - Request for Exemption from Disclosure
- Attachment 2 – Offerer Understanding of, and Compliance with Procurement Lobbying Guidelines
- Attachment 3 – Notification of Intent to Bid
- Attachment 4 – M/WBE Utilization Plan
- Attachment 5 – Staffing Plan
- Attachment 6 – Vendor Responsibility Response Form
- Attachment 7 – MacBride Fair Employment Principles Form
- Attachment 8 – Designation of Prime Contact
- Attachment 9 – Non-Collusive Bidding Certification
- Attachment 10 – Offerer Disclosure of Prior Non-Responsibility Determination
- Attachment 11 – Offerer’s Certification of Compliance with State Finance Law 139-k(5)
- Attachment 12 – DTF-202 Agreement to Adhere to the Secrecy Provisions of the Tax Law and the Internal Revenue Code
- Attachment 13 (a) – Public Officers Law Form
- Attachment 13 (b) – Public Officers Law Form – Post Employment Restrictions
- Attachment 14 – Listing of Proposed Subcontractors Form

## **Attachment 2 - Offerer Understanding of, and Compliance with Procurement Lobbying Guidelines**

New York State Finance Law 139-j(6)(b) requires the DTF seek written affirmation from all Offerers as to the Offerer's understanding of and agreement to comply with the DTF procedures relating to permissible contacts during a Government Procurement pursuant to subdivision three of this section.

Procurement Description, Contract or Bid Number:

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

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

Telephone Number: \_\_\_\_\_

e-Mail Address: \_\_\_\_\_

Offerer affirms it has read, understands and agrees to comply with the Guidelines of the New York State Department of Taxation and Finance relative to permissible contacts as required by the State Finance Law 139-j(3) and 139-j(6)(b).

By (*signature*): \_\_\_\_\_

Name (*please print*): \_\_\_\_\_

Title (*please print*): \_\_\_\_\_

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

### Attachment 3 - Notification of Intent to Bid

Please indicate your interest in submitting a proposal for this acquisition by completing and returning this form to the Department by the date indicated on the *Schedule of Events* for this Invitation for Bids.

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

Authorized Signature: \_\_\_\_\_

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

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

Telephone number: \_\_\_\_\_

Fax: \_\_\_\_\_

E-mail address: \_\_\_\_\_

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

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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

Please check the appropriate line:

- We are interested in submitting a proposal.
- We are a certified minority or woman owned business.
- We are not interested in submitting a proposal for this service.

Reason: \_\_\_\_\_

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### Attachment 4 - M/WBE Utilization Plan

**INSTRUCTIONS:** This form must be submitted with any bid, proposal, or proposed negotiated contract or within a reasonable time thereafter, but prior to contract award. This Utilization Plan must contain a detailed description of the supplies and/or services to be provided by each certified Minority and Women-owned Business Enterprise (M/WBE) under the contract. Attach additional sheets if necessary.

Offeror's Name:  
 Address:  
 City, State, Zip Code:  
 Telephone No.:  
 Region/Location of Work:

Federal Identification No.:  
 Solicitation No.:  
 Project No.:  
 M/WBE Goals in the Contract: MBE      %    WBE      %

1. Certified M/WBE Subcontractors/Suppliers Name, Address, Email Address, Telephone No.	2. Classification	3. Federal ID No.	4. Detailed Description of Work (Attach additional sheets, if necessary)	5. Dollar Value of Subcontracts/Supplies/Services and intended performance dates of each component of the contract.
A.	<b><u>NYS ESD CERTIFIED</u></b> <input type="checkbox"/> MBE <input type="checkbox"/> WBE			
B.	<b><u>NYS ESD CERTIFIED</u></b> <input type="checkbox"/> MBE <input type="checkbox"/> WBE			

**6. IF UNABLE TO FULLY MEET THE MBE AND WBE GOALS SET FORTH IN THE CONTRACT, OFFEROR MUST SUBMIT A REQUEST FOR WAIVER FORM (M/WBE 104).**

PREPARED BY (Signature): DATE:  NAME AND TITLE OF PREPARER (Print or Type): <small>SUBMISSION OF THIS FORM CONSTITUTES THE OFFEROR'S ACKNOWLEDGEMENT AND AGREEMENT TO COMPLY WITH THE M/WBE</small>	TELEPHONE NO.:	EMAIL ADDRESS:
	<b>FOR M/WBE USE ONLY</b>	
	REVIEWED BY:	DATE:

New York State Department of Taxation and Finance  
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REQUIREMENTS SET FORTH UNDER NYS EXECUTIVE LAW, ARTICLE 15-A, 5 NYCRR PART 143, AND THE ABOVE-REFERENCED SOLICITATION. FAILURE TO SUBMIT COMPLETE AND ACCURATE INFORMATION MAY RESULT IN A FINDING OF NONCOMPLIANCE AND POSSIBLE TERMINATION OF YOUR CONTRACT.

**UTILIZATION PLAN APPROVED:**  YES  NO Date: \_\_\_\_\_

**Contract No.:** \_\_\_\_\_ **Project No. (if applicable):** \_\_\_\_\_

**Contract Award Date:** \_\_\_\_\_

**Estimated Date of Completion:** \_\_\_\_\_

**Amount Obligated Under the Contract:** \_\_\_\_\_

**Description of Work:** \_\_\_\_\_

**NOTICE OF DEFICIENCY ISSUED:**  YES  NO

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

**NOTICE OF ACCEPTANCE ISSUED:**  YES  NO

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



New York State Department of Taxation and Finance  
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**Attachment 5 - Staffing Plan**  
**Submit with Bid or Proposal – Instructions on page 2**

<b>Solicitation No.:</b>	<b>Reporting Entity:</b>	<b>Report includes Contractor's/Subcontractor's:</b> <input type="checkbox"/> Work force to be utilized on this contract <input type="checkbox"/> Total work force
<b>Offeror's Name:</b>		<input type="checkbox"/> Offeror
<b>Offeror's Address:</b>		<input type="checkbox"/> Subcontractor <b>Subcontractor's name</b> _____

Enter the total number of employees for each classification in each of the EEO-Job Categories identified

EEO-Job Category	Total Work force	Work force by Gender		Work force by Race/Ethnic Identification														
		Total Male (M)	Total Female (F)	White (M) (F)		Black (M) (F)		Hispanic (M) (F)		Asian (M) (F)		Native American (M) (F)		Disabled (M) (F)		Veteran (M) (F)		
Officials/Administrators																		
Professionals																		
Technicians																		
Sales Workers																		
Office/Clerical																		
Craft Workers																		
Laborers																		
Service Workers																		
Temporary /Apprentices																		
Totals																		

<b>PREPARED BY (Signature):</b>	<b>TELEPHONE NO.:</b> <b>EMAIL ADDRESS:</b>	<b>DATE:</b>
<b>NAME AND TITLE OF PREPARER (Print or Type):</b>		<b>Submit completed with bid or proposal M/WBE 101 (Rev 11/08)</b>

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**General instructions:** All Offerors and each subcontractor identified in the bid or proposal must complete an EEO Staffing Plan (M/WBE 101) and submit it as part of the bid or proposal package. Where the work force to be utilized in the performance of the State contract can be separated out from the contractor's and/or subcontractor's total work force, the Offeror shall complete this form only for the anticipated work force to be utilized on the State contract. Where the work force to be utilized in the performance of the State contract cannot be separated out from the contractor's and/or subcontractor's total work force, the Offeror shall complete this form for the contractor's and/or subcontractor's total work force.

**Instructions for completing:**

1. Enter the Solicitation number that this report applies to along with the name and address of the Offeror.
2. Check off the appropriate box to indicate if the Offeror completing the report is the contractor or a subcontractor.
3. Check off the appropriate box to indicate work force to be utilized on the contract or the Offerors' total work force.
4. Enter the total work force by EEO job category.
5. Break down the anticipated total work force by gender and enter under the heading 'Work force by Gender'
6. Break down the anticipated total work force by race/ethnic identification and enter under the heading 'Work force by Race/Ethnic Identification'. Contact the OM/WBE Permissible contact(s) for the solicitation if you have any questions.
7. Enter information on disabled or veterans included in the anticipated work force under the appropriate headings.
8. Enter the name, title, phone number and email address for the person completing the form. Sign and date the form in the designated boxes.

**RACE/ETHNIC IDENTIFICATION**

Race/ethnic designations as used by the Equal Employment Opportunity Commission do not denote scientific definitions of anthropological origins. For the purposes of this form, an employee may be included in the group to which he or she appears to belong, identifies with, or is regarded in the community as belonging. However, no person should be counted in more than one race/ethnic group. The race/ethnic categories for this survey are:

- **WHITE** (Not of Hispanic origin) All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.
- **BLACK** a person, not of Hispanic origin, who has origins in any of the black racial groups of the original peoples of Africa.
- **HISPANIC** a person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.
- **ASIAN & PACIFIC ISLANDER** a person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent or the Pacific Islands.

- **NATIVE INDIAN (NATIVE AMERICAN/ ALASKAN NATIVE)** a person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.

**OTHER CATEGORIES**

- **DISABLED INDIVIDUAL** any person who:
  - has a physical or mental impairment that substantially limits one or more major life activity(ies)
  - has a record of such an impairment; or
  - is regarded as having such an impairment.
- **VIETNAM ERA VETERAN** a veteran who served at any time between and including January 1, 1963 and May 7, 1975.
- **GENDER** Male or Female

## Attachment 6 - Vendor Responsibility Response Form

Bidder's Name: \_\_\_\_\_

Bidders must complete a Vendor Responsibility Questionnaire in response to this IFB. Bidders are invited to file the required Vendor Responsibility Questionnaire online via the OSC New York State VendRep System or may choose to complete and submit a paper questionnaire. To enroll in and use the New York State VendRep System, see the VendRep System instructions available at [www.osc.state.ny.us/vendrep](http://www.osc.state.ny.us/vendrep) or go directly to the VendRep System online at <https://portal.osc.state.ny.us>. For direct VendRep System user assistance, the OSC Help Desk may be reached at 866-370-4672 or 518-408-4672 or by email at [ciohelpdesk@osc.state.ny.us](mailto:ciohelpdesk@osc.state.ny.us). Bidders opting to file a paper questionnaire can obtain the appropriate questionnaire from the VendRep website at [www.osc.state.ny.us/vendrep](http://www.osc.state.ny.us/vendrep) or may contact one of the Department's designated contacts.

Please check one of the following:

- A Vendor Responsibility Questionnaire has been filed online and has been certified/updated within the last six months.
- A Vendor Responsibility Questionnaire is attached to this bid proposal.

NOTE: If a Vendor Responsibility Questionnaire has been filed online and has not been certified within the last six months, the Bidder must either update/recertify the online questionnaire or submit a new paper Vendor Responsibility Questionnaire. Upon notification of award, the Contractor will be required to update/recertify the online questionnaire.

## Attachment 7 - MacBride Fair Employment Principles

**BIDDER'S NAME:** \_\_\_\_\_

**NONDISCRIMINATION IN EMPLOYMENT IN NORTHERN IRELAND:**

**MACBRIDE FAIR EMPLOYMENT PRINCIPLES**

In accordance with Chapter 807 of the Laws of 1992, New York State, the Contractor, by submission of this bid, certifies that it and any individual or legal entity in which the Bidder holds a 10% or greater ownership interest, and any individual or legal entity that holds a 10% or greater ownership interest in the Bidder, either:

**(Answer Yes to one of the following, as applicable):**

Have no business operations in Northern Ireland: \_\_\_\_\_ Yes

*or*

Shall take lawful steps in good faith to conduct any business operations they have in Northern Ireland in accordance with the MacBride Fair Employment Principles relating to nondiscrimination in employment and freedom of workplace opportunity, and shall permit independent monitoring of their compliance with such Principles.

\_\_\_\_\_ Yes

## Attachment 8 - Designation of Prime Contact

The Bidder designates the following individual as the prime contact for this proposal and acknowledges that this individual is authorized to respond on behalf of the Bidder. This designation will last for the entire evaluation process and contract negotiations. Any request for change in the designated contact must be submitted in writing to the issuing officer designated on the cover of this IFB and must be accompanied by an updated form.

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

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

Prime Contact Name: \_\_\_\_\_ Title: \_\_\_\_\_

E-mail address: \_\_\_\_\_

Phone number: \_\_\_\_\_ Fax: \_\_\_\_\_

Authorized Signature: \_\_\_\_\_

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

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

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

## Attachment 9 - Non-Collusive Bidding Certification

In accordance with Section 139-d of the State Finance Law:

- a) By submission of this bid, Bidder and each person signing on behalf of any Bidder certifies, and in the case of a joint bid, each party thereto certifies as to its own organization, under penalty of perjury, that to the best of their knowledge and belief:
1. The prices in this bid have been arrived at independently, without collusion, consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other Bidder or with any competitor;
  2. Unless otherwise required by law, the prices which have been quoted in this bid have not been knowingly disclosed by the Bidder and will not knowingly be disclosed by the Bidder prior to opening, directly or indirectly, to any other Bidder or to any competitor; and
  3. No attempt has been made or will be made by the Bidder to induce any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition.
    - A bid shall not be considered for award nor shall any award be made where (a), (1), (2), and (3) above have not been complied with; provided however, that if in any case the Bidder cannot make the foregoing certification, the Bidder shall so state and shall furnish with the bid a signed statement which sets forth in detail the reasons therefor. Where (a), (1), (2), and (3) above have not been complied with, the bid shall not be considered for award nor shall any award be made unless the head of the purchasing unit of the state, public department or agency to which the bid was made, or his designee, determines that such disclosure was not made for the purpose of restricting competition.

The fact that a Bidder has published price lists, rates, or tariffs covering items or services being procured, has informed prospective customers of proposed or pending publication of new or revised price lists for such items, or has sold the same items to other customers at the same prices being bid, does not constitute a disclosure within the meaning stated above.

The Bidder certifies adherence to all conditions in the Bidding Practices subsection of this IFB.

Bidder's Name: \_\_\_\_\_

Bidder's Address \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Authorized Signature: \_\_\_\_\_

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

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

## **Attachment 10 - Offerer Disclosure of Prior Non-Responsibility Determinations**

New York State Finance Law §139-k(2) obligates a Governmental Entity to obtain specific information regarding prior non-responsibility determinations with respect to State Finance Law §139-j. This information must be collected in addition to the information that is separately obtained pursuant to State Finance Law §163(9). In accordance with State Finance Law §139-k, an Offerer must be asked to disclose whether there has been a finding of non-responsibility made within the previous four (4) years by any Governmental Entity due to: (a) a violation of State Finance Law §139-j or (b) the intentional provision of false or incomplete information to a Governmental Entity. The terms “Offerer” and “Governmental Entity” are defined in State Finance Law § 139-k(1). State Finance Law §139-j sets forth detailed requirements about the restrictions on Contacts during the procurement process. A violation of State Finance Law §139-j includes, but is not limited to, an impermissible Contact during the restricted period (for example, contacting a person or entity other than the designated contact person, when such contact does not fall within one of the exemptions).

As part of its responsibility determination, State Finance Law §139-k(3) mandates consideration of whether an Offerer fails to timely disclose accurate or complete information regarding the above non-responsibility determination. In accordance with law, no Procurement Contract shall be awarded to any Offerer that fails to timely disclose accurate or complete information under this section, unless a finding is made that the award of the Procurement Contract to the Offerer is necessary to protect public property or public health safety, and that the Offerer is the only source capable of supplying the required Article of Procurement within the necessary timeframe. See State Finance Law §§139-j (10)(b) and 139-k(3).

A Governmental Entity must include a disclosure request regarding prior non-responsibility determinations in accordance with State Finance Law §139-k in its solicitation of proposals or bid documents or specifications or contract documents, as applicable, for procurement contracts. The attached form is to be completed and submitted by the individual or entity seeking to enter into a Procurement Contract. It shall be submitted to the Governmental Entity conducting the Governmental Procurement.

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**Offerer Disclosure of Prior Non-Responsibility Determinations**

Procurement Description, Contract or Bid Number: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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

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

\_\_\_\_\_

Telephone Number: \_\_\_\_\_

e-Mail Address: \_\_\_\_\_

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

\_\_\_\_\_

1. Has any New York State agency or authority made a finding of non-responsibility regarding the Offerer in the last four years? (Please circle):

No Yes

If yes, please answer the following questions:

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

No Yes

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

No Yes

4. If you responded yes to Questions 1, 2 or 3, please provide details regarding the finding of non-responsibility below:

Government Entity: \_\_\_\_\_

Date of Finding of Non-responsibility: \_\_\_\_\_

Facts Underlying Finding of Non-Responsibility (Add additional pages as necessary)

\_\_\_\_\_

\_\_\_\_\_



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5. Has any New York State agency or authority terminated a procurement contract with the Offerer due to the intentional provision of false or incomplete information? (Please circle):

No                      Yes

If you responded yes to the above question, please provide details regarding the termination below:

Government Entity: \_\_\_\_\_

Date of Finding of Non-Responsibility: \_\_\_\_\_

Facts Underlying Finding of Non-Responsibility: (Add additional pages as necessary)

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

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

By: *(Signature)*: \_\_\_\_\_

Name: *(Please print)* \_\_\_\_\_

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

**Attachment 11 - Offerer's Certification of Compliance with State Finance Law 139-k (5)**

New York State Finance Law 139-k(5) requires that every Procurement Contract award subject to the provisions of State Finance Law 139-k or 139-j shall contain a certification by the Offerer that all information provided to the procuring Government Entity with respect to State Finance Law 139-k is complete, true and accurate.

**Offerer Certification**

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

By: *(signature)* \_\_\_\_\_

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

Procurement Description, Contract or Bid Number: \_\_\_\_\_

Name *(Please print)*: \_\_\_\_\_

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

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

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

Telephone Number: \_\_\_\_\_

e-Mail Address: \_\_\_\_\_

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**Attachment 12 - DTF-202**

**New York State Department of Taxation and Finance - Agreement to Adhere to the Secrecy Provisions of the Tax Law and the Internal Revenue Code**

The New York State Tax Law and the Department of Taxation and Finance impose secrecy restrictions on:

- all officers, employees, and agents of the Department of Taxation and Finance;
- any person engaged or retained by this department on an independent contract basis;
- any depository, its officers and employees, to which a return may be delivered;
- any person who is permitted to inspect any report or return;
- Contractors and workmen hired by the department to work on its equipment, buildings, or premises, or to process returns or other papers; and
- visitors to the department's buildings or premises.

Except in accordance with proper judicial order or as otherwise provided by law, it is unlawful for anyone to divulge or make known in any manner the contents or any particulars set forth or disclosed in any report or return required under the Tax Law. Computer files and their contents are covered by the same standards and secrecy provisions of the Tax Law and Internal Revenue Code that apply to physical documents.

Any unlawful disclosure of information is punishable by a fine not exceeding \$10,000, imprisonment not exceeding one year, or both. State officers and employees making unlawful disclosures are subject to dismissal from public office for a period of five years.

Unauthorized disclosure of automated tax systems information developed by the department is strictly prohibited. Examples of confidential systems information include: functional, technical, and detailed systems design; systems architecture; automated analysis techniques; systems analysis and development methodology; audit selection methodologies; and proprietary vendor products such as software packages.

The Internal Revenue Code contains secrecy provisions which apply to federal tax reports and returns. Pursuant to sections 6103 and 7213 of the Internal Revenue Code, penalties similar to those in the New York State law are imposed on any person making an unauthorized disclosure of federal tax information. In addition, section 7213A of the Internal Revenue Code was enacted to prohibit the unauthorized inspection of returns or return information (also known as "browsing"). The unauthorized inspection of returns or return information by state employees is punishable by a fine not exceeding \$1000 for each access, or by imprisonment of not more than one (1) year, or both, together with the cost of prosecution.

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I certify that I have read the above document and that I have been advised of the statutory and Department of Taxation and Finance secrecy requirements; I certify that I will adhere thereto, even after my relationship with the department is terminated.

Organization: \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

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

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

City: \_\_\_\_\_ State \_\_\_\_\_ ZIP code \_\_\_\_\_

**Attachment 13 (a) - Public Officers Law**

**§73 Business or professional activities by state officers and employees and party officers.**

**73 (4)**

(a) No statewide elected official, state officer or employee, member of the legislature, legislative employee or political party chairman or firm or association of which such person is a member, or corporation, ten per centum or more of the stock of which is owned or controlled directly or indirectly by such person, shall (i) sell any goods or services having a value in excess of twenty-five dollars to any state agency, or (ii) contract for or provide such goods or services with or to any private entity where the power to contract, appoint or retain on behalf of such private entity is exercised, directly or indirectly, by a state agency or officer thereof, unless such goods or services are provided pursuant to an award or contract let after public notice and competitive bidding. This paragraph shall not apply to the publication of resolutions, advertisements or other legal propositions or notices in newspapers designated pursuant to law for such purpose and for which the rates are fixed pursuant to law.

(b) No political party chairman of a county wholly included in a city with a population of more than one million, or firm or association of which such person is a member, or corporation, ten per centum or more of the stock of which is owned or controlled directly or indirectly by such person, shall (i) sell any goods or services having a value in excess of twenty-five dollars to any city agency, or (ii) contract for or provide such goods or services with or to any private entity where the power to contract, appoint or retain on behalf of such private entity is exercised directly or indirectly, by a city agency or officer thereof, unless such goods or services are provided pursuant to an award or contract let after public notice and competitive bidding. This paragraph shall not apply to the publication of resolutions, advertisements or other legal propositions or notices in newspapers designated pursuant to law for such purpose and for which the rates are fixed pursuant to law.

(c) For purposes of this subdivision, the term "services" shall not include employment as an employee. I have read and agree to comply with the requirements of Public Officer's Law Section 73 (4). I further acknowledge that failure to comply shall justify contract termination by the Department and may result in the rejection of bids or proposals for future work with the Department.

By: \_\_\_\_\_  
(Signature) (Title)

Firm's Legal Name \_\_\_\_\_  
(Date)

**Attachment 13 (b) – Public Officers Law – Post Employment Requirements**

By signing below and submitting a proposal to this IFB the person signing certifies, for and on behalf of the Bidder, that:

A. He/she has read and understands the provisions applicable to post-employment restrictions affecting former State officers and employees, available using the link\* below:

- i. Public Officers Law § 73(8)(a)(i), (the two-year bar); and
- ii. Public Officers Law § 73(8)(a)(ii), (the life-time bar);

B. Submission of this proposal does not violate either provision;

C. He/she is familiar with the Proposer's employees, and its agents;

D. No violation shall occur by entering into a contract or in performance of the contractual services;

E. This certification is material to the proposal; and

F. He/she understands that the Department intends to rely on this certification.

The Proposer shall fully disclose to the Department, within its proposal and on a continuing basis, any circumstances that could affect its ability to comply with the cited laws. Proposers shall address any questions concerning these provisions to:

The New York State Joint Commission on Public Ethics  
540 Broadway  
Albany, NY 12207  
Telephone #: (518) 408-3976

By *(signature)*: \_\_\_\_\_

Name *(please print)*: \_\_\_\_\_

Title *(please print)*: \_\_\_\_\_

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

\*Click on this link: [Public Officers Law, Article 4](#). When the page opens, click on "Laws of New York". On the next page, select "PBO Public Officers". When this page opens, select "Article 4 – (60 - 79) POWERS AND DUTIES OF PUBLIC OFFICERS" and choose Sections 73 (8-a)(i) and 73 (8-a)(ii).

### Attachment 14 - Listing of Proposed Subcontractors Form

Complete this form for the Subcontractor requirement as requested in Section V. B. 18. The Bidder must identify all subs to be utilized for any resultant contract, their Employer Identification Number (EIN) and the services that they will perform.

Subcontractor Name	EIN	Services to be performed

*Expand form if necessary.*

## Attachment A - Financial Response Form

In response to this section, the Bidder must provide the monthly parking rates they will charge for enclosed and secured parking for the vehicles identified in Exhibit 1. Bidders should only use **Attachment A, Financial Response Form** to present their pricing. Bidders should not modify or change the attachment. Pricing information should be completed as presented. All costs associated with the requirements of this IFB must be incorporated into the Bidder's financial response. **No other add-on costs will be allowed.**

The fees set forth in Attachment A, Financial Response Form, shall not be increased during the initial year of any contract resulting from this IFB. Thereafter, for any subsequent contract renewals, any proposed increase in annual fees must be requested by the Contractor in writing sixty (60) days in advance of the anniversary date of the Contract. Such increase shall be subject to negotiation between the Department and the Contractor. Notwithstanding the foregoing, rate increases for subsequent years shall be limited to the lesser of the percentage change in the Consumer Price Index for All Urban Customers, Table 10, as reported by the Department of Labor, Bureau of Statistics for the CPI-U for the preceding twelve (12) month period, or three percent (3%).

Bidders who fail to complete and submit **Attachment A, Financial Response Form**, will be deemed non-responsive and will be removed from further consideration.

Type of Vehicle	# of Vehicles	Monthly Cost per Vehicle	Total Monthly Cost
Sedan	14	\$	14 Sedans = \$
Mid Size SUV	5	\$	5 SUV's \$
Mini Van	5	\$	5 Mini Van's \$
Full Size Van	1	\$	1 Full Size Van \$

<b>Total</b>	<b>25</b>		<b>\$</b>
--------------	-----------	--	-----------

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

Authorized Signature: \_\_\_\_\_

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

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

## Attachment B - Insurance Response Form

This form is for the insurance requirements as specified in Section III.E. of the IFB.

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

### Insurance Information

**The Bidder must provide the following information regarding their insurance coverage:**

Insurance Company Name: \_\_\_\_\_

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

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

\_\_\_\_\_

\_\_\_\_\_

Phone Number: \_\_\_\_\_

**The Bidder must also attach a certificate of insurance demonstrating that the Bidder's company and all staff are insured against financial losses resulting from Bidder's employees' actions or other documentation to support this requirement. This certificate should include:**

- A description of each type of coverage; and
- The amount of coverage for each type listed.

**Note: Winning Bidder will list the Department as an additional insured on its insured policies.**



### Attachment C - Bidder Attestation Form

The Attestation Form certifies the Bidder meets all of the Mandatory Requirements as outlined in **Section III** of the IFB. If all Mandatory Requirements are not met, the Bidder's proposal will be labeled non-responsive and will not be given further consideration.

By signing the Attestation Form you certify your express authority to sign on behalf of yourself, your company, or other entity and your full knowledge and acceptance of all of the Terms and Conditions outlined in this Invitation for Bids and Appendix A (Standard Clauses for New York State Contracts), and that all information provided is complete, true and accurate.

#### BIDDER INFORMATION

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

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

City: \_\_\_\_\_

State: \_\_\_\_\_ Zip: \_\_\_\_\_

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

Telephone Number: \_\_\_\_\_

Please respond to each item below as required in Section III of the IFB.

**a. Space:**

The secured parking facility has 25 parking spaces available on a daily basis to accommodate DTF fleet: \_\_\_\_\_  YES  NO

**b. Security:**

The parking facility is secured and is: enclosed: \_\_\_\_\_  YES  NO;  
or fenced outdoor lot: \_\_\_\_\_  YES  NO

If secured facility is an outdoor fenced lot, snow removal is provided: \_\_\_\_\_  YES  NO

The secured parking facility requires keys be left with the attendant: \_\_\_\_\_  YES  NO

If keys need to be left with attendant, facility is staffed 24 hours per day: \_\_\_\_\_  YES  NO

**c. Access:**

Access to the parking facility is available 24 hours a day, 7 days a week: \_\_\_\_\_  YES  NO

Special tag or garage door opener is required for access: \_\_\_\_\_  YES  NO

**d. Location:**

The parking facility is located within ½ mile of DTF District Office Location (15 Metro Tech Center, Brooklyn, NY): \_\_\_\_\_  YES  NO

**Attachment C - Bidder Attestation Form**  
(continued - page 2)

**e. Insurance:**

The Bidder has completed and submitted Attachment B, Insurance Response Form, and attached a Certificate of Insurance demonstrating that the Bidder's company and all staff are insured against financial losses resulting from Bidder's employees' actions or other documentation to support this requirement:  YES  NO

**Please provide the address/location of the parking facility that will be utilized for this procurement:**

---

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

Authorized Signature: \_\_\_\_\_

Printed Name/Title: \_\_\_\_\_  
\_\_\_\_\_

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