

**NEW YORK STATE DEPARTMENT OF HEALTH**

A Request for Proposal for

Newborn Screening Program

RFP No 0703280822

Maintenance for Neometrics Software and Servers

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Schedule of Key Events

Written Questions Due	Sep 17, 2007
Response to Written Questions	Sep 24, 2007
Proposal Due Date	Oct 1, 2007

## Contacts Pursuant to State Finance Law § 139-j and 139-k

### **DESIGNATED CONTACTS:**

Pursuant to State Finance Law §§ 139-j and 139-k, the Department of Health identifies the following designated contacts to whom all communications attempting to influence this procurement must be made:

Daniel Egan \_\_\_\_\_

### **Permissible Subject Matter Contacts:**

Pursuant to State Finance Law § 139-j(3)(a), the Department of Health also identifies the following allowable contacts for communications related to the following subjects:

RFP Release Date:  
Sep 7 2007

Submission of written proposals or bids:  
Daniel Egan  
DJE05@health.state.ny.us

Submission of Written Questions:  
Daniel Egan  
DJE05@health.state.ny.us

Debriefings:  
Daniel Egan  
[DJE05@health.state.ny.us](mailto:DJE05@health.state.ny.us)

Negotiation of Contract Terms after Award:  
Daniel Egan  
DJE05@health.state.ny.us

Michele Caggana, Sc.D  
Mxc08@health.state.ny.us

*For further information regarding these statutory provisions, see the Lobbying Statute summary in Section E, 10 of this solicitation.*

## A. INTRODUCTION

The Wadsworth Center, the most comprehensive state health laboratory in the country, is dedicated to science in the pursuit of health. It fulfills its mission of protecting and promoting the health of New Yorkers through analysis, research and education.

As a public health laboratory, Wadsworth conducts programs in comprehensive clinical and environmental laboratory evaluation and accreditation. Among the direct analytical services performed are screening of newborns for inherited metabolic disease; diagnostic detection and reference services for such life-threatening diseases as HIV and TB; and diagnostic testing related to communicable disease outbreaks. Evaluation of drinking water quality; assessment of pollutants and toxic effects on state residents; and surveillance of radioactive emissions are additional functions.

Wadsworth's commitment to biomedical and environmental research is based on the tenet that in order to fulfill its regulatory and analytical missions most effectively, innovative approaches to investigating diseases and environmental hazards of public health concern must be pursued.

Additional information about the Wadsworth Center may be found at <http://www.wadsworth.org>.

## B. BACKGROUND

The **Newborn Screening Program** (NSP) tests and detects infants with serious but treatable neonatal conditions and refers those infants for immediate medical intervention. Prior to 2004, the NSP had annually tested approximately 267,000 New York infants for ten genetic congenital disorders – phenylketonuria (PKA), homocystinuria, branched-chain ketonuria, galactosemia, biotinidase deficiency, sickle cell disease, congenital hypothyroidism, cystic fibrosis (CF), congenital adrenal hyperplasia (CAH), medium-chain acyl-CoA dehydrogenase deficiency (MCADD), and an infectious disease - maternal HIV. In November 2004, the program expanded its testing profile, adding 20 new conditions that increased its testing profile to 31. In May 2005, the program added another 13 new conditions to its testing profile, increasing its testing profile to 44 conditions. In 2006, the program implemented Krabbe Disease testing, which increased the program's testing profile to 45 conditions and its test reporting to over 12 million test results annually. Additional tests may be added to the testing profile in the future. These test results are reported to the newborn's hospital of birth and supervising physician in a timely and accurately fashion.

Abnormal test results are reported by the program's Follow-up Unit, first by telephone, followed by written communication. The hospital of birth, the infant's pediatrician identified to the program, and a specialty treatment center nearby are all notified in the event of a positive result. The Follow-up Unit also ensures that infants

whose first specimen was not suitable for testing are brought back to the hospital for collection of another specimen. Their staff also spend much time answering questions concerning program testing, educating hospital staff in collecting a suitable specimen, conducting training sessions, and preparing and distribution of various educational materials, videotapes, posters and brochures.

The Long-term Follow-up Unit ascertains the ongoing health status of infants identified by the screening program and communicates to all affected parties new developments in treatment therapies and related medical advances. The unit also establishes new networks of specialty treatment centers that are charged with medical management of the abnormal conditions identified by the testing program.

The Quality Assurance and Monitoring Lab assures that all clinical testing analytical procedures are maintained at peak performance at all times and for retrospective testing as a means of proficiency evaluation.

The Method Assay Development and Validation Laboratory ensures the safety and efficiency of all assays utilized in the program. Several testing procedures use laboratory-developed assays and/or assays developed using reagents from multiple commercial vendors or involving significant modification of vendor-manufactured FDA-approved devices. These processes are technically validated by this group. They also establish the performance standards and technical validity of each assay or modification, including definition of the sensitivity, specificity, accuracy and precision of the assay, as well as its normal and abnormal reference ranges. They also evaluate new, as yet untried technology for markers and conditions for future modification or addition to the testing profile, and assess expansion of the screening profile based on the incidence and prevalence of conditions in New York's newborn population. Additionally, they review the medical significance and the availability of appropriate testing technologies and treatment protocols used within the program.

The Genetic Epidemiology Laboratory uses the information obtained from the testing laboratories and the long-term follow-up of affected infants to determine relationships between initial genetic diagnosis and eventual clinical outcome, establishing the population frequency and distribution of specific genetic markers associated with chronic disease. Rapidly testable markers for conditions of immediate applicability to the program's screening panel are identified, as well as examining long-term health care needs, targeting interventions to specific populations, or geographic and demographic regions in the State; and integrating genetic and molecular epidemiology findings into health care planning strategies. A standing advisory council to the screening program has been established and provides input to the program regarding tests appropriate for inclusion in the screening panel, testing methodologies, medical management of infants identified by the program, barriers to care and treatment, and quality of life issues.

Additional information about the NSP may be found at <http://www.wadsworth.org/newborn/index.htm>.

In addition to the Newborn Screening Program, this RFP also will provide software support to the Lead Poisoning/Trace Elements Laboratory. The **Lead Poisoning/Trace Elements Laboratory** specializes in the analysis of clinical specimens (blood, serum, urine, etc.) for trace/toxic elements using analytical atomic spectrometry. The laboratory provides routine analytical services for blood lead (BPb) and erythrocyte protoporphyrin (EP) in support of public health programs for the prevention of lead poisoning. Other assays include cadmium, mercury and arsenic in blood and urine. Results for BPb and EP analyses are reported to the collecting agency. BPb and other heavy metals results are reported electronically to New York State's Heavy Metals Registry for possible follow up action.

### C. DETAILED SPECIFICATIONS

1. The NSP uses a laboratory information management system (LIMS) developed by Natus, Inc and known as Neometrics. This system was installed in 2002 and is customized for the NSP. The **Neometrics system** is a set of integrated applications written in **Delphi** and running on an **Oracle 10.g** database. A basic schematic of the software and network is included as **Attachment One**.
2. The successful bidder will take responsibility for the maintenance and operation of the full hardware and software environment (with exceptions noted below). This will include:
  - a) Full responsibility for the continuous operation of all servers (described in **Attachment Two**) including hardware component replacement as needed, backup and recovery, and troubleshooting as needed. This includes responsibility for the hot failover site.
  - b) Full responsibility for the continuous operation of the Oracle database, including periodic patching as needed, performance tuning, troubleshooting, proactive performance measurement, and license management. All existing software licenses are the property of the NYS DOH.
  - c) Full responsibility for the continuous operation of the suite of applications, including full responsibility for the reliability and accuracy of all software operations, troubleshooting as needed, bug fixes as requested, and minor enhancements.
  - d) Shared responsibility, with DOH staff, for the continuous operation of the local area network on which this application resides. This network is fully described in attachments one and two.
  - e) System modifications, upgrades and new services as required to

respond to unanticipated future mandates. The system must be capable of adding additional tests and reports without additional expense.

f) All responsibilities will be documented in **Attachment Three**, Service-Level Agreement (SLA).

#### D. PROPOSAL REQUIREMENTS

Bidders please note that the Department of Health will not evaluate incomplete proposals. Failure to provide the documentation required (list below) will result in rejection of the bid. The Department reserves the right to contact bidders to resolve incomplete bids in case where, in the Department's sole judgment, such incomplete bids are missing only minor, nonsubstantive components.

1. This is a "Best Value" bid. Bidders will submit their bids in two separate packages clearly labeled "**Technical Proposal**" and "**Cost Proposal**".

2. Bidders will provide two signed originals and four signed copies of the **Technical Proposal**, which must include:

- A cover letter containing the firm name and contact name for the bid
- Completed Vendor Responsibility Questionnaire
- Technical Support Plan
- Bidder Technical Qualifications
- Individual Technical Qualifications
- Five References, including names and telephone numbers of contacts

No cost information will be included in the Technical Proposal.

3. Bidders will provide one signed original and two copies of the Cost Proposal, which must include:

- A cover letter containing the firm name and contact name for the bid
- Bid Form (see below)
- Cost Schedule showing monthly and annual cost for the bid.

4. Each copy shall be in a separate sealed envelope that contains the cover letter.

5. Supporting evidence and documents will be packaged with the 'Technical' or 'Cost' component to which it applies.

6. No subcontracting is allowed without prior written State approval.

## 2. METHOD OF AWARD

### a. Vendor Selection

At the discretion of the Department of Health, all bids may be rejected. The evaluation of the bids will include, but not be limited to the following considerations:

#### **A. Qualifications:**

- i. Bidders must have a minimum of five years experience in laboratory software development. *This must be documented with references; inadequate documentation will result in disqualification.*
- ii. Bidders must have current experience developing and maintaining newborn screening laboratory-based software with at least three current customers. *This must be documented with a reference list of at least three current customers; failure to provide this documentation will result in disqualification.*
- iii. Bidder's staff to be assigned to this project must have a minimum of two years' personal experience developing and maintaining laboratory-based software. *Resumes of all named staff must be provided to document this requirement. Named staff must include, at minimum, the Project Manager, head of software development, and lead or senior developer.*
- iv. Bidders must agree to the minimum standards in the Service-Level Agreement (SLA). *Ensure the SLA is signed; failure to do so will result in disqualification.*

Qualifications will be scored pass/fail.

**B. Cost Proposal:** The cost of the maintenance program, including routine maintenance (bug fixes and minor alterations) and enhancements (minor functionality additions) will be 40% of the score.

**C. Technical Proposal:** The quality of the bidder's offering, including the maintenance plan and qualifications of the firm and staff, will be 60% of the score.

Technical proposals will be scored as follows:

#### **a. Experience of the Firm – 25 points**

- i. Experience in Laboratory software development: 5 points; 1-5 points for each year of experience beyond the five years minimum.
- ii. Bidders' Staff Experience: 20 points. Assign points to each named staff person:
  - 1. Project Manager: 4
  - 2. Head of Software Development: 8
  - 3. Lead Developer: 8 points

Points to be assigned as follows

**Project manager**

Longevity with firm: 0-2 points

Years of experience with project management: 0-2

points

**Head of Software development**

Longevity with firm: 0-2 points

Years of experience with oracle: 0-2 points

Years of experience with laboratory software development: 0-2 points

Years of professional experience: 0-2 points

**Lead developer**

Longevity with firm: 0-2 points

Years of experience with Delphi development environment: 0-2 years

Years of professional experience: 0-2 points

Years of experience with laboratory software development: 0-2 points

**b. Maintenance Plan – 35 points**

**1. Project Work Plan** (15 points): How will the bidder implement the services required in this RFP? Provide rationale for the proposed approach, citing all significant design and maintenance issues. Demonstrate how the project, as specified in this RFP and the Service Level Agreement, will be planned and executed. Does the bidder show a clear understanding of the deliverables? Specifications of the monthly status report. Specifications of the help call tracking system. Risk management process.

**2. Responsiveness** (10 points): Does the bidder understand the functional requirements of the system? Can the bidder demonstrate it has adequate capacity to support all activities that are described in the RFP, including the bidder's ability to consistently meet all requirements set forth in the Service Level Agreement even if key staff leave the firm. Describe how timely response to help calls will be managed and assured. Does the bidder provide a well thought-out escalation plan in case of problems?

**3. Flexibility** (10 points) How does the bidder demonstrate the flexibility to accept work orders for system modifications that cannot be specified at the time of this RFP? Most likely changes would be the addition of new tests to the test panel, or usage of new scientific methods for existing tests. However, other unanticipated changes could occur. Provide detailed information on how the bidder would meet demands for performing system modifications, upgrades and enhancements. What experience does the bidder have in working with customers to develop technical improvements that resolve evolving issues?

Each proposal will be reviewed by a committee of Department of Health staff, who were selected for their knowledge and expertise. All proposals that satisfy the minimum qualifications requirements as stated in this RFP will be evaluated with respect to their responsiveness to criteria set forth above and in the Service Level Agreement. Selection of one contractor for this project will be made by choosing the single proposal which demonstrates the "best value" requirements (above) and best meets program objectives.

E. ADMINISTRATIVE

1. Issuing Agency

This Request for Proposal (RFP) is a solicitation issued by the NYS Department of Health. The Department is responsible for the requirements specified herein and for the evaluation of all proposals.

2. Inquiries

Any questions concerning this solicitation must be directed to:

Daniel Egan  
NYS Department of Health  
Division of Genetic Disorders  
Empire State Plaza  
Wadsworth Center, Room E 464A  
Albany, New York 12237

Questions and answers, as well as any RFP updates and/or modifications, will be posted on the Department of Health's website at <http://www.nyhealth.gov/funding/> by Sep 24, 2007. Bidders wishing to receive these documents via mail must send a request, in writing, to the Department at the address above.

3. Submission of Proposals

Interested vendors should submit two originals and four signed copies of their Bid Proposal not later than 3:00pm, Oct 1, 2007.

Responses to this solicitation should be clearly marked "Maintenance for Neometrics Software and Servers" and directed to:

Daniel Egan  
NYS Department of Health  
Division of Genetic Disorders  
Empire State Plaza  
Wadsworth Center, Room E 373  
Albany, New York 12237

It is the bidders' responsibility to see that bids are delivered to Room E 373 prior to the date and time of the bid due date. Late bids due to delay by the carrier or not received in the Department's mail room in time for transmission to room E 373 will not be considered.

1. The Bid Form must be filled out in its entirety.
2. The responsible corporate officer for contract negotiation must be listed. This document must be signed by the responsible corporate officer.
3. All evidence and documentation requested under Section D, Proposal Requirements must be provided at the time the proposal is submitted.

4. THE DEPARTMENT OF HEALTH RESERVES THE RIGHT TO

- a. Reject any or all proposals received in response to this RFP.
- b. Waive or modify minor irregularities in proposals received after prior notification to the bidder.
- c. Adjust or correct cost or cost figures with the concurrence of bidder if errors exist and can be documented to the satisfaction of DOH and the State Comptroller.
- d. Negotiate with vendors responding to this RFP within the requirements to serve the best interests of the State.

- e. Eliminate mandatory requirements unmet by all offerers.
- f. If the Department of Health is unsuccessful in negotiating a contract with the selected vendor within an acceptable time frame, the Department of Health may begin contract negotiations with the next qualified vendor(s) in order to serve and realize the best interests of the State.

5. Payment

If awarded a contract, the contractor shall submit invoices to the State's designated payment office:

Chris Johnson  
NYS Department of Health  
Newborn Screening Program  
Empire State Plaza  
Wadsworth Center, Room E 299  
Albany, New York 12237

Payment of such invoices by the State (NYS Department of Health) shall be made in accordance with Article XI-A of the New York State Finance Law. Payment terms will be:

Monthly, upon receipt of invoice and certification from contract manager that the SLA is being kept. Failure to perform according to the standards in the SLA may result in the delay of payments.

6. Term of Contract

This agreement shall be effective upon approval of the NYS office of the State Comptroller. It is expected that the term will begin February 1, 2008.

The term shall be for five years, consisting of an initial two-year period and two renewals, the first for two years, the last for one year.

This agreement may be canceled at any time by the Department of Health giving to the contractor not less than thirty (30) days written notice that on or after a date therein specified this agreement shall be deemed terminated and canceled.

7. Debriefing

Once an award has been made, bidders may request a debriefing of their proposal. Please note the debriefing will be limited only to the strengths and weaknesses of the bidder's proposal, and will not include any discussion of other proposals. Requests must be received no later than three months from date of award announcement.

8. Vendor Responsibility Questionnaire

New York State Procurement Law requires that state agencies award contracts only to responsible vendors.

Attachment four contains the "Vendor Responsibility Questionnaire" that all bidders must complete and submit with their proposal.

In addition to the questionnaire, bidders are required to provide the following with their proposal:

- Proof of financial stability in the form of audited financial statements, Dunn & Bradstreet Reports, etc.
- Department of State Registration.
- Certificate of Incorporation, together with any and all amendments thereto; Partnership Agreement; or other relevant business organizational documents, as applicable.
- N.Y.S. Dept of Taxation and Finance's Contractor Certification Form ST-220-CA.

9. State Consultant Services Reporting

Chapter 10 of the Laws of 2006 amended certain sections of State Finance Law and Civil Service Law to require disclosure of information regarding contracts for consulting services in New York State.

The winning bidders for procurements involving consultant services must complete a "State Consultant Services Form A, Contractor's Planned Employment From Contract Start Date through End of Contract Term" in order to be eligible for a contract.

Winning bidders must also agree to complete a "State Consultant Services Form B, Contractor's Annual Employment Report" for each state fiscal year included in the resulting contract. This report must be submitted annually to the Department of Health, the Office of the State Comptroller, and Department of Civil Service.

Both of these forms are included as attachments to this document.

## 10. Lobbying Statute

Chapter 1 of the Laws of 2005, as amended by Chapter 596 of the Laws of 2005, provides, among other things, the following as pertains to development of procurement contracts with governmental entities:

- a. makes the lobbying law applicable to attempts to influence procurement contracts once the procurement process has been commenced by a state agency, unified court system, state legislature, public authority, certain industrial development agencies and local benefit corporations;
- b. requires the above mentioned governmental entities to record all contacts made by lobbyists and contractors about a governmental procurement so that the public knows who is contacting governmental entities about procurements;
- c. requires governmental entities to designate persons who generally may be the only staff contacted relative to the governmental procurement by that entity in a restricted period;
- d. authorizes the Temporary State Commission on Lobbying to impose fines and penalties against persons/organizations engaging in impermissible contacts about a governmental procurement and provides for the debarment of repeat violators;
- e. directs the Office of General Services to disclose and maintain a list of non-responsible bidders pursuant to this new law and those who have been debarred and publish such list on its website;
- f. requires the timely disclosure of accurate and complete information from offerers with respect to determinations of non-responsibility and debarment;
- g. expands the definition of lobbying to include attempts to influence gubernatorial or local Executive Orders, Tribal–State Agreements, and procurement contracts;
- h. modifies the governance of the Temporary State Commission on lobbying;
- i. provides that opinions of the Commission shall be binding only on the person to whom such opinion is rendered;
- j. increases the monetary threshold which triggers a lobbyists obligations under the Lobbying Act from \$2,000 to \$5,000; and

- k. establishes the Advisory Council on Procurement Lobbying.

Generally speaking, two related aspects of procurements were amended: (i) activities by the business and lobbying community seeking procurement contracts (through amendments to the Legislative Law) and (ii) activities involving governmental agencies establishing procurement contracts (through amendments to the State Finance Law).

Additionally, a new section 1-t was added to the Legislative Law establishing an Advisory Council on Procurement Lobbying (Advisory Council). This Advisory Council is authorized to establish the following model guidelines regarding the restrictions on contacts during the procurement process for use by governmental entities (see Legislative Law §1-t (e) and State Finance Law §139-j). In an effort to facilitate compliance by governmental entities, the Advisory Council has prepared model forms and language that can be used to meet the obligations imposed by State Finance Law §139-k, Disclosure of Contacts and Responsibility of Offerers. Sections 139-j and 139-k are collectively referred to as “new State Finance Law.”

It should be noted that while this Advisory Council is charged with the responsibility of providing advice to the New York Temporary State Commission on Lobbying (Lobbying Commission) regarding procurement lobbying, the Lobbying Commission retains full responsibility for the interpretation, administration and enforcement of the Lobbying Act established by Article 1-A of the Legislative Law (see Legislative Law §1-t (c) and §1-d). Accordingly, questions regarding the registration and operation of the Lobbying Act should be directed to the Lobbying Commission.

#### 11. Accessibility of State Agency Web-based Intranet and Internet Information and Applications

Any web-based intranet and internet information and applications development, or programming delivered pursuant to the contract or procurement will comply with NYS Office for Technology Policy P04-002, “Accessibility of New York State Web-based Intranet and Internet Information and Applications”, and NYS Mandatory Technology Standard S04-001, as such policy or standard may be amended, modified or superseded, which requires that state agency web-based intranet and internet information and applications are accessible to persons with disabilities. Web content must conform to NYS Mandatory Technology Standard S04-00, as determined by quality assurance testing. Such quality assurance testing will be conducted by Department of Health, contractor or other, and the results of such testing must be satisfactory to the Department of Health before web content will be

considered a qualified deliverable under the contract or procurement.

## 12. Information Security Breach and Notification Act

Section 208 of the State Technology Law (STL) and Section 899-aa of the General Business Law (GBL) require that State entities and persons or businesses conducting business in New York who own or license computerized data which includes private information including an individual's unencrypted personal information plus one or more of the following: social security number, driver's license number or non-driver ID, account number, credit or debit card number plus security code, access code or password which permits access to an individual's financial account, must disclose to a New York resident when their private information was, or is reasonably believed to have been, acquired by a person without valid authorization. Notification of breach of that private information to all individuals affected or potentially affected must occur in the most expedient time possible without unreasonable delay, after measures are taken to determine the scope of the breach and to restore integrity; provided, however, that notification may be delayed if law enforcement determines that expedient notification would impede a criminal investigation. When notification is necessary, the State entity or person or business conducting business in New York must also notify the following New York State agencies: the Attorney General, the Office of Cyber Security & Critical Infrastructure Coordination (CSCIC) and the Consumer Protection Board (CPB). Information relative to the law and the notification process is available at:  
<http://www.cscic.state.ny.us/security/securitybreach/>

## 13. New York State Tax Law Section 5-a

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

This law imposes upon certain contractors the obligation to certify whether or not the contractor, its affiliates, and its subcontractors are required to register to collect state sales and compensating use tax and contractors must certify to DTF that each affiliate and subcontractor exceeding such sales threshold is

registered with DTF to collect New York State and local sales and compensating use taxes. The law prohibits the State Comptroller, or other approving agencies, from approving a contract awarded to an offerer meeting the registration requirements but who is not so registered in accordance with the law.

Contractor must complete and submit directly to the New York State Taxation and Finance, Contractor Certification Form ST-220-TD attached hereto. Unless the information upon which the ST-220-TD is based changes, this form only needs to be filed once with DTF. If the information changes for the contractor, its affiliate(s), or its subcontractor(s), a new form (ST-220-TD) must be filed with DTF.

Contractor must complete and submit to the Department of Health the form ST-220-CA attached hereto, certifying that the contractor filed the ST-220-TD with DTF. Failure to make either of these filings may render an offerer non-responsive and non-responsible. Offerers shall take the necessary steps to provide properly certified forms within a timely manner to ensure compliance with the law.

#### F. APPENDICES

The following will be incorporated as appendices into any contract resulting from this Request for Proposal. This Request for Proposal will, itself, be referenced as an appendix of the contract.

- APPENDIX A - Standard Clauses for All New York State Contracts
- APPENDIX B - Request for Proposal
- APPENDIX C - Proposal  
The bidder's proposal (if selected for award), including any Bid Forms and all proposal requirements.
- APPENDIX D - General Specifications
- APPENDIX E  
Unless the CONTRACTOR is a political sub-division of New York State, the CONTRACTOR shall provide proof, completed by the CONTRACTOR's insurance carrier and/or the Workers' Compensation Board, of coverage for:
  - Workers' Compensation, for which one of the following is incorporated into this contract as **Appendix E-1**:

- **WC/DB-100**, Affidavit For New York Entities And Any Out-Of-State Entities With No Employees, That New York State Workers' Compensation And/Or Disability Benefits Insurance Coverage Is Not Required; OR
  - **WC/DB-101**, Affidavit That An OUT-OF-STATE Or FOREIGN EMPLOYER Working In New York State Does Not Require Specific New York State Workers' Compensation And/Or Disability Benefits Insurance Coverage; OR
  - **C-105.2** – Certificate of Workers' Compensation Insurance. PLEASE NOTE: The State Insurance Fund provides its own version of this form, the **U-26.3**; OR
  - **SI-12** – Certificate of Workers' Compensation Self-Insurance, OR **GSI-105.2** – Certificate of Participation in Workers' Compensation Group Self-Insurance.
- Disability Benefits coverage, for which one of the following is incorporated into this contract as **Appendix E-2**:
- **WC/DB-100**, Affidavit For New York Entities And Any Out-Of-State Entities With No Employees, That New York State Workers' Compensation And/Or Disability Benefits Insurance Coverage Is Not Required; OR
  - **WC/DB-101**, Affidavit That An OUT-OF-STATE Or FOREIGN EMPLOYER Working In New York State Does Not Require Specific New York State Workers' Compensation And/Or Disability Benefits Insurance Coverage; OR
  - **DB-120.1** – Certificate of Disability Benefits Insurance OR the **DB-820/829** Certificate/Cancellation of Insurance; OR
  - **DB-155** – Certificate of Disability Benefits Self-Insurance
- Appendix H - Health Insurance Portability and Accountability Act (HIPAA) (if applicable)

## G. ATTACHMENTS

1. Bid Form
2. No Bid Form
3. Appendix A – Standard Clauses for All New York State Contracts
4. Appendix D – General Specifications
5. N.Y.S. Taxation and Finance Contractor Certification Form ST-220-TD
6. N.Y.S. Taxation and Finance Contractor Certification Form ST-220-CA
7. N.Y.S. Office of the State Comptroller Vendor Responsibility Questionnaire  
(for procurements greater than or equal to \$100,000)
8. State Consultant Services Form A, Contractor's Planned Employment From  
Contract Start Date through End of Contract Term
9. State Consultant Services Form B, Contractor's Annual Employment Report

## Attachment one

### Software Functional Description

#### 1. MSDS

The Newborn Screening Program's **Metabolic Screening Database System** (MSDS) is a multi-user, menu driven system with functions available to perform data entry, organize laboratory work flow, provide on-line search capability, automate results processing and produce periodic reports including listings of specimens tested and mailers to specimen submitters. The software has a number of specialized utility programs that help manage the data on the system including automated back-up routines and the merging and purging of data.

#### **MSDS performs the following functions:**

- Categorize blood samples
- Allow entry of demographic data
- Automatically notify providers and parents of blood test results through letters and faxes
- Automatically provide data to the **Case Management System** for long-term follow-up and case management
- Provide a comprehensive data search capability
- Seamlessly integrate Tandem Mass Spectrometry test results

#### **MSDS includes capabilities for:**

- Demographic data capture
- Batch building
- Results entry
- Supervisory review
- Reporting and on-line search for all specimens processed through the system

Instrumentation merges permit the results computed by various instruments to be automatically posted to the appropriate specimen in the MSDS system.

All application data is stored in Oracle database tables. Access to this data from any application is restricted by Oracle's security requiring both user name and password for access. Each table is assigned a schema, and the schemas are grouped by laboratory or function group.

Security is provided at both the database and the application level.

The Oracle database can restrict access to any database object such as tables, indexes, views and stored procedures. The database administrator is provided with the tools necessary to control who may view, insert, edit and alter database objects such as tables, indexes, views and stored procedures. This level of security gives the system ironclad control and safety and is connection independent. No matter how a user connects to the system, (via the web, an application or any other third party software) they cannot violate any security set at the database.

MSDS and CMS both contain a range of security hierarchies such that each individual user is granted access to only those functions necessary for the performance of their duties.

Application level security is setup and configured by a security module. The system administrator is empowered to set the security levels for each user, each module and individual functions within a module. Security also allows the creation of security groups in which the administrator can create a group of similar users (like data entry staff, follow-up personnel) and assign the group security policy quickly and easily to a user.

Users can be granted viewing privileges only, while supervisory personnel may have complete editing and results modification authority. The Security functions have been enhanced to include imbedded audit trail and security tracking. This information can be viewed or retrieved on an individual specimen basis or on a time/user range basis.

MSDS also contains certain features that improve system performance. These include:

**Simultaneous Access** - Most MSDS IV activities are multi-user at the record level. All writes to the server disk are done in real-time. There is no need to manually save the data in a separate step before entering a different MSDS IV module.

**Overnight Operations** - Activities requiring exclusive database use or heavy disk activity are scheduled to occur automatically overnight. These include Mailer Generation, Database Housekeeping, Matching Process, and Backup Operations.

The following summarizes the basic functions of MSDS:

#### Accessioning

First, Newborn Screening data must have a place or record allocated for it in the MSDS database. Accessioning allocates these records for each specimen and assigns each a unique number. This number is referred to as a Laboratory or Accession or Specimen Number depending on the context under which it is used. This 11-digit number also contains the Julian date when the record was accessioned or created. During accession, the types of tests to be conducted on the specimen are ordered.

On-line look-up functions using sophisticated algorithms quickly locate repeat specimens and link related demographics to the original patient record. Stored submitter libraries, county codes and other labor saving techniques may be used to speed the specimen check-in process. Typical save time for a specimen record is less than one second and multiple check-in stations can operate simultaneously.

### Specimen Types

Specimens that are manually sorted or otherwise handled differently by the laboratory and therefore require identification in accessioning are defined in the Data Dictionary, which is configured by the vendor. A Panel library is then used to further define the use of these specimen types in the laboratory.

The Panel library contains the identification of specimen types with an associated panel of tests, the starting accession number range within a day, and the specimen type id number. The panel of tests is by default only and can be modified during any accessioning session by either adding or removing the default tests. A specimen type can be used in more than one panel.

### Demographic Data

Once the record resides in the database, the demographic data is gathered into MSDS by manual demographic entry. After the demographic data has been entered, it is reviewed and released. Once released, the Demographic Record can still be edited. After a specimen's results are mailed the record is moved to an archive table, but continues to be accessible for viewing and modifications. Technicians are able to access the data via the On-Line Search, Reports, Batching, Test Result Entry and other modules.

### Work lists and Batching

Each test that is ordered for each accessioned specimen is directed into a batch based on the configuration set-up in the Test Code Library. The system administrator can define the starting batch sequence number, batch sequence number increment, batch size and default result code mnemonic for each test and specimen type and for accessioned tests and retests ordered subsequent to accessioning. Worklists are immediately available following pre-accessioning for either on-screen viewing or printing.

### Results Processing

During the Accessioning process, batches are automatically built for each test protocol. MSDS assigns specimens to batches based on the batch configuration used and the specific tests ordered. Worklists are printed or viewed on-screen and results entered when the procedure has been completed. For tests that are not automated, laboratory technicians responsible for the assay need to enter positive results only, defaulting the remainder of the batch to normal. Technician level and supervisory level sign-off are required to release batch results.

### Instrumentation Data Merge

MSDS interfaces to numerous laboratory instruments and must be able to accept new instruments as required, without additional cost to the state. Results obtained from the instrumentation assays can be automatically merged into MSDS thereby eliminating the need for manual entry of these results.

### Retest Tracking

The list of positive specimens is maintained and scanned at check-in time to determine if a requested repeat has arrived. Retest pending reports can be produced frequently and

overdue specimens identified for follow-up. Matching of repeat specimens can either occur on-line or as a daily batch process.

#### Dispatcher

MSDS includes an automated task scheduler and handler that allows the overnight setup of multiple tasks in a user defined scheme. Jobs such as creating a backup, printing reports, purging data can be set up in a single task list.

#### Mailers

Mailers, a form letter used to report test results and demographic data for an individual patient, are generated by MSDS. Once all the tests have been completed and the data released, the specimen records can then be transferred to the Case Management System (CMS).

#### Reports

MSDS generates a wide range of reports used to manage laboratory screening operations. These include statistical reports as well as detailed alphabetical and lab number listings. Additional reports can be defined and scheduled accordingly. The system architecture has the optional capability for a separate Report Server so that complex reporting functions can take place while normal daily operations are running unimpeded.

#### Newborn Demographic Data Entry

The demographic data entry module in MSDS is designed for speed and ease of use while maintaining data integrity. The screen layout is configured to closely match the MCH-3 blood collection form. System defaults, drop down boxes, radio buttons, check boxes and library reference tables are utilized to maximize the benefits of keyboard entry.

#### Verification

After the demographics are initially entered, a second clerk may re-enter key fields and the system will compare the two entries. Any discrepant fields are displayed with the contents of both the first and second entries. The clerk then has the option of accepting either the first or second entries, or to re-enter the data. The list of fields to be verified is configurable.

#### Linking Repeats

The linking of a repeat specimen to initial or previously received specimen can be activated using two algorithms in the demographic module alone. The specific fields that are defined as "core" are configured in the Data Dictionary. Any of the data defaulted from the patient sample (original accession number) can be overwritten by the demographic entry clerk at the time of entry.

#### Notebook

A free form notebook entry is available for each specimen and can be accessed through various modules of the system including Demographic entry.

#### Image Storage

An image file (JPG, BMP) can be associated with the specimen information in MSDS. The On-line search module contains an Image Retrieval and storage tab that is used to associate the file to the specimen and allows the user to view or print the image on demand.

## On-Line Help

The help system is indexed for additional key word searches.

On screen hints are also available. These are in the form of pop-up boxes that display additional information about buttons and fields while the mouse is hovering over an item.

## 2. MS/MS Expansion Module

This module imports data directly from Tandem Mass Spectrometers into the MSDS system through a file transfer. This file may contain result values, ratios, and ratios of ratios for hundreds of analytes. The data is stored in MSDS and may be viewed through a current or an upgraded MSDS system.

Additionally, different reporting options can be defined for Normal and Abnormal results, as well as patient population groups (younger vs. older babies).

In MSDS, each analyte corresponds to a Test. Tests are added through configuration provided by the vendor during periodic system maintenance. Typical result categories for Newborn Screening MS/MS testing are “Fatty Acid Oxidation Disorders (FOD)”, “Organic Acid Disorders (OA)” and “Amino Acidopathies”.

For each test or category of tests, the laboratory administrator can define:

- Statistical cutoff values (percentiles, means, and standard deviation)
- Multi-tier reporting levels individualized for each disorder and the patient population
- Multiple cutoff values (indicative, borderline, high and low)
- Interpretation based analyte concentrations, profiling analytes, and ratios of analytes

Determining abnormal results for many disorders screened by MS/MS rely on interpreting results from one or more analytes such as the case in Acylcarnitine profiling. The MS/MS Review Module provides an automated tool to define the profiling parameters and evaluate the results utilizing both test and demographic data. The MS/MS Review Module presents a single screen view and includes automated tools and an optional hardcopy report for reviewing the newborn screening results obtained from single or multiple MS/MS runs.

For each patient sample to be reviewed, the lab technician can view pertinent demographic information and test results from previous specimens for the patient. Statistical information, such as daily patient means and cutoffs are also available for viewing. Analytical test results can be reviewed individually or by disorder category (OA, FOD). Reviewing by disorder category allows the lab technician to apply predefined rules to the test profile.

For example, reviewing by the Organic Acid Disorder category might perform ratio calculations for C3/C2, C5/C3, and C5/C2; then evaluate the analytical results and ratio calculations against a defined profile to determine reported results for each Organic Acid

Disorder Deficiency. By utilizing this method, the laboratory technician can quickly evaluate results for many OA or FOD deficiencies quickly and efficiently.

Features of MSMS Expansion:

- Analytes Quickly and Easily Evaluated and Reported
- Automatic Transfer of Worklist from MSDS to MS/MS
- Automatic Transfer of Results from MS/MS to MSDS
- Tests Easily Added to MSDS and Interpretive Review Module
- Automatic Result Interpretation Based on Laboratory Defined Rules
- Configurable Grouping of Analytes into Reporting Disorders or Disorder Category
- Rules Based Result Profiling for Each Analyte Tested and Disorder Reported
- Rules Include Fixed Values, Calculated Ratios, Standard Deviation, Mean, and Percentiles.
- Multiple Criteria Cut-offs for Indicating Indicative, Borderline and Acceptable Interpretations
- Interactive On-Screen Review Includes All Result Values, Rules and Demographic Information
- Accepts Internal Control Data to Provide for Inter-Instrument and Intra-Instrument Quality Control Reports and Graphs
- Storage of Patient Data for Ad-Hoc Reporting
- Storage of Analytes Tested for but not yet Reported

### **3. CMS**

Case Management System (CMS) is designed around the same Oracle based database platform as the MSDS system. This system is fully and tightly integrated with the MSDS and has been designed to handle the various tasks and responsibilities associated with the tracking and management of newborn screening data. Acting as an interface to the laboratory MSDS system, CMS provides a convenient automated method for assigning and tracking follow-up tasks associated with newborn specimen results.

#### **CMS Operations**

CMS performs all of the tasks associated with processing presumptive positive and unsatisfactory specimens through all follow-up and case management tasks and the interactions of these tasks with the health care community. Among these tasks are:

Generate initial letters to submitters/physicians, parents or local health departments based on test results.

Generate 2<sup>nd</sup> follow-up letters automatically when repeats are not received in a timely manner.

Prepare patient reports based on a large quantity of data.

Provide effective search capabilities to locate a patient history.

Maintain an on-line notebook

Store scanned or faxed images in the CMS database using the Image Retrieval Module.

Additional features include:

An on-line notebook (with linking to a single specimen)

An export facility for data sharing

Easy access to data using an external report writer (i.e. Crystal Reports) to facilitate follow-up reporting tasks.

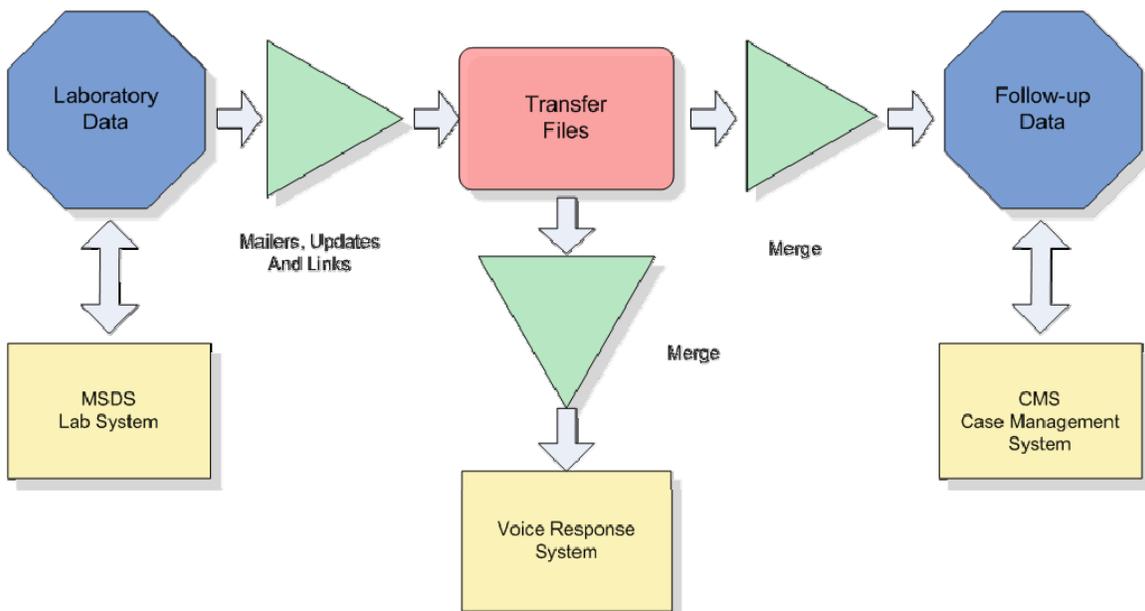
Integration of patient and test data from the State Health Laboratory with similar analysis performed by outside laboratories and tertiary centers.

An Image Retrieval Module used for Patient and Physician correspondence. This allows DOH to store scanned or faxed images in the CMS database.

### MSDS/CMS Relationship

Based upon logic within MSDS, all specimens, that are flagged to transfer to CMS, are electronically transmitted to the CMS system daily. The process is initiated from the MSDS side (see the diagram below). The “actions” that incoming specimens will generate in CMS depend on the result mnemonic assigned to the specimen in the lab. All laboratory information, including demographics and results, are transferred to CMS. When demographic or result data is updated in the Lab, on any specimen that was previously sent to CMS, that update will be automatically transmitted to CMS.

The operational flow is illustrated in the diagram below.



### Flow Diagram

#### User Configurable Functions

Additional functionality in CMS can be created by utilizing Action Codes and can be done on site without the need, in most cases, to contact the vendor. Many actions or tasks (sending letters, mailing literature, calling physicians and patients) are preconfigured.

#### Daily Merge Operations

A daily transfer of the laboratory sample data from MSDS into CMS is required and this operation is performed automatically during the MSDS overnight processing or can be run manually from the CMS Main Menu. The merge includes data from all mailed specimens, along with updates to demographic or result data of previously mailed specimens. According to the result status for each specimen, different sets of pre-defined follow-up actions are ordered automatically. These actions may include Letters, Calls, Faxes and other action

items. For each specimen, actions to be performed are posted as outstanding until completion, or until canceled by the user.

#### Disorder Tracking

This functionality allows the user to attach additional data to the patient record. The source of this data is normally obtained in the course of patient follow-up from various health care professionals or agencies. The data captured here can pertain to external results and disorders that the patient may suffer outside of what is transferred from MSDS. It includes specific test information and their results. Additional risk factors associated with a specific disorder may also be included in this section.

#### Extended Result and Disorder Tracking

These modules allow the user to attach additional data to the patient record. The source of this data is normally obtained in the course of patient follow-up from various health care professionals or State agencies. It includes specific test information and their results. Insofar as this data is an extension of the data collected from screening and confirmatory specimens, it is referred to as [Extended] Result and [Extended] Disorder data.

#### Additional Follow Up Features

The Case Management System allows the users to perform:

On-Line patient information searches

Generation of reports for each Closed and/or Open and diagnosed and/or undiagnosed cases

Generation of patient information reports, letters to physicians and parents, or the enclosing of parental counseling pamphlets.

Viewing of specimens on a per patient basis (On-Line Search) or by specific type of data (Case Demographics, Extended Results, Disorders). This provides a means by which follow-up personnel may facilitate the correlation of patient/medical data.

Retrieval of confirmed case data, risk factors and disorder information allowing for the system to be utilized as a defects registry.

### **VRS Detailed Description**

The Voice Response System (VRS) allows authorized callers, without human intervention at the DOH end, to obtain test results information concerning specimens received in the laboratory. Using the specimen ID number printed on the form, or the patient's (or mother's) social security number, the caller can learn if the specimen has arrived at the laboratory, its testing status and test results. Results and other messages are prerecorded and are spoken in a normal, non-computer-generated fashion. Integration of this system with the "live" laboratory management database provides real time availability of specimen data.

The VRS product is provided and maintained complete with a PC based system configured with special phone processing boards.

### **SRV – Secure Remote Viewer Detailed Description**

The Secure Remote Viewer is a web-based application that allows external users - clinical providers - to search for, view and print mailer images from the MSDS system. The DOH security system authenticates remote users; SRV provides the ability to view the actual stored image of the mailer.

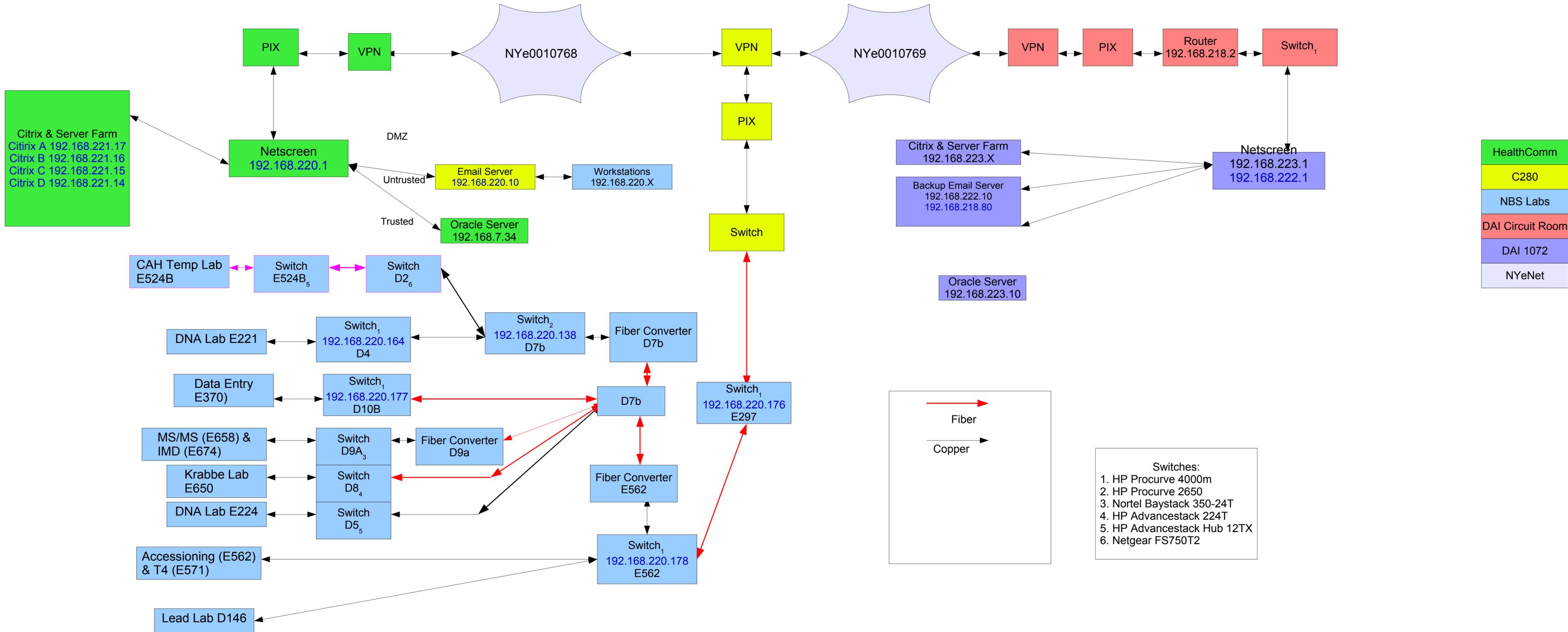
Once authenticated into the system, the SRV icon launches a remote viewing session in a browser window. Records that are available for a search are limited to the Provider ID number as logged into the network and which is displayed below the Secure Remote Viewer name in the window. A logged in provider will be able to find and view the most recent mailer for each patient.

A search may be initiated with either the Mother's Social Security Number, Laboratory ID number or the Medical Record number.

An administrator is also presented with additional screens and functions: Hospital Maintenance and a Statistics Report. Here additional providers can be assigned to a case OR a case can be transferred from one provider to another. The Statistics Report will show which providers have logged into the system, what has been viewed and whether the sample data or actual mailers have been viewed.

# **Attachment Two**

## **Server Diagram**



HealthComm
C280
NBS Labs
DAI Circuit Room
DAI 1072
NYeNet

# Attachment Three

## Service Level Agreement

*Notice to Bidders: An authorized signature on this Service Level Agreement, consenting to be bound by the performance standards herein, is mandatory. Bids without a signed SLA will be rejected.*

Signature of Bidder's authorized representative \_\_\_\_\_

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

Effective Date: This SLA is effective during the dates approved for the contract as set forth by the New York State Office of the State Comptroller. This SLA may be altered by mutual consent of the CONTRACTOR and the STATE, using the contract amendment process.

### Components

1. Scope of work
2. Performance Standards
3. Reports
4. Problem Management
5. Local and Remote Access
6. Disaster Prevention and Recovery
7. Payment

#### 1. Scope of Work

1. The CONTRACTOR will take full responsibility for the operation of the Neometrics application software, oracle database, server operating system, and server hardware.
2. The CONTRACTOR will take primary responsibility for the correct functioning and performance of the Newborn Screening network, sharing this responsibility with the STATE.

3. The CONTRACTOR will take full responsibility for the confidentiality of any STATE data held on the CONTRACTOR'S systems for test purposes.
4. The CONTRACTOR will develop any additional reports, new tests, or additional modules required by the STATE. The STATE will provide requirements in sufficient detail to allow efficient development.
5. The CONTRACTOR will provide reports on their compliance with this SLA as required by the STATE, and will attend any meetings required by the STATE in person or by teleconference.
6. The CONTRACTOR will respond to all Help Calls submitted by the STATE'S representative, and in emergencies by any STATE staff.

## 2. Performance Standards

1. Application uptime during working hours will be no less than 99.5% (maximum of 14 hours of unplanned down time per year)
2. Application uptime during nonworking hours will be no less than 95% (maximum of 143 hours unplanned downtime in nonworking hours per year)
3. Application will perform as defined in requirements, service calls and meetings 100% once tested and rolled out.
4. Application will perform at sufficient speed, as defined in original 2002 requirements and updated in meetings, by written agreement of both parties. Original 2002 requirements are contained in **Attachment Five**.
5. "Downtime" includes any major module being unusable. See Definitions, below.
6. Any 'releases' of software updates will be planned with STATE staff and the CONTRACTOR mutually, with the CONTRACTOR giving the STATE no less than one week's notice except in the case of emergency updates. The functionality included in each update will be determined solely by the STATE.
7. The CONTRACTOR will provide live support during the hours of 7am local time to 5pm local time Monday through Friday. The STATE will place help calls only through the designated representative except in emergencies, when all STATE staff are authorized to call the CONTRACTOR.
8. The CONTRACTOR will respond to all Help Calls within one hour by return call, email, or by discussion of the problem during the initial call. Help Calls placed after 3:30pm local time may be responded to by 8am local time the following business day.
9. The CONTRACTOR will resolve help calls according to their classification; all calls will be classified by the STATE into one of the following categories:

- Emergency: Immediate maximum effort by the CONTRACTOR, with continuous effort 24 hours per day until the problem is solved. This will include onsite effort if determined to be necessary by the STATE.
- High Urgent: Resolve within one working day and before the total of 20 open calls is exceeded.
- Urgent: Resolve within five working days and before the total of 20 open calls is exceeded.
- Routine: Resolve within three months and before the total of 20 open calls is exceeded unless otherwise agreed.
- Project: Resolve according to schedule agreed upon by the CONTRACTOR and the STATE, on a case-by-case basis. Projects are nontrivial tasks that are not urgent.

In no case will the sum of unresolved High Urgent, Urgent and Routine help calls exceed 20. The authoritative count of calls will be done by the STATE. In case of any Emergency call, the clock for all calls will be suspended for the duration of the emergency.

### **3. Reports**

1. The CONTRACTOR will provide monthly statistical reports in sufficient detail to determine the CONTRACTOR'S conformance to the standards in this SLA.
2. The CONTRACTOR will provide other performance reports as requested by the STATE, such as network performance statistics, Oracle database performance statistics, server subsystem performance reports, and any other performance information requested by the STATE.

### **4. Problem Management**

1. The CONTRACTOR and the STATE will mutually ensure management and technical staff are reasonably available for meetings, conference calls and emails.
2. The CONTRACTOR will conference call with the STATE's designated contact at least monthly. These calls may be waived by the STATE if circumstances permit.
3. The CONTRACTOR will meet more frequently with STATE staff, including meetings held at the STATE'S location, should the CONTRACTOR's performance on any aspect of this SLA fall substantially below standards. This determination will be made by the STATE.
4. In emergencies (defined above), the CONTRACTOR will immediately commit all available staff to the resolution of the problem and will keep them committed

continuously until the problem is resolved.

5. The STATE will meet with the CONTRACTOR at any time requested by the CONTRACTOR, at the STATE's location, and will make the full technical and management team available, given reasonable planning time.

6. The CONTRACTOR agrees to minimize personnel changes to the maximum extent possible, and to allow the STATE to accept or reject any new staff added to the contract. If any staff are rejected by the STATE, the CONTRACTOR agrees to replace the individual with a substitute of similar qualifications in a timely manner. CONTRACTOR personnel changes or shortages shall not constitute justification for waiving any part of this SLA.

7. The CONTRACTOR will retain sufficient staff to meet these performance standards, and commit them as necessary.

## **5. Local and Remote Access**

1. The CONTRACTOR and the STATE will mutually ensure dial-in access availability via STATE security standards for remote support of the application. The CONTRACTOR will agree to follow all STATE remote access policies.

2. The CONTRACTOR will be provided full physical and system access to the systems when at the STATE's location.

## **6. Disaster Prevention and Recovery**

1. The CONTRACTOR's responsibility for system uptime includes the failover servers maintained at the STATE's hot site, to the same performance standards.

2. The CONTRACTOR and the STATE share mutual responsibility for the network connect to the failover servers.

3. The CONTRACTOR will ensure all backup procedures are functioning properly. The STATE will change backup tapes, verify backups, and store tapes.

## **7. Payment**

1. The CONTRACTOR shall invoice the STATE monthly. Invoices will be submitted with a monthly performance report attached to the invoice.

2. The STATE will process the invoice in accordance with New York State finance law.

3. If the performance standards in this SLA are being met, the invoice will be processed. If the performance standards are not being met, the STATE reserves the right to withhold payment, in accordance with New York State finance law, until such time as the SLA terms are met.

## **DEFINITIONS**

**Uptime calculations:** Percent availability =  $((\text{total hours per month} - \text{hours unavailable}) \times 100) / \text{total hours per month}$ .

**Working Hours:** 7am to 5pm, Monday through Friday, and 7am to 12 noon, Saturday.  
Total of 2860 working hours per year

**NonWorking Hours:** All hours not defined as working hours above.

**Downtime:** The system will be considered down if any one of the major modules are nonfunctional. Major modules include: On-line search, Instrument Merging, Result Entry, Data Entry, Case Management, and Reports.

**Emergency:** Complete system failure of any duration, or failure of any major module for more than 3 hours during working hours affecting time-critical operations. "Failure" refers to loss of functionality at the user end, regardless of the state of individual system components.



1b. Was the basis for the finding of non-responsibility due to the intentional provision of false or incomplete information to a Governmental Entity? (Please circle):

No

Yes

1c. If you answered yes to any of the above questions, please provide details regarding the finding of non-responsibility below.

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

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

Basis of Finding of Non-Responsibility:

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

(Add additional pages as necessary)

2a. Has any Governmental Entity or other governmental agency terminated or withheld a Procurement Contract with the above-named individual or entity due to the intentional provision of false or incomplete information? (Please circle):

No

Yes

2b. If yes, please provide details below.

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

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

Basis of Termination or Withholding:

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

(Add additional pages as necessary)

C. Offerer/Bidder certifies that all information provided to the Department of Health with respect to State Finance Law §139-k is complete, true and accurate.

**D.** Offerer/Bidder agrees to provide the following documentation either *with their submitted bid/proposal or upon award* as indicated below:

With Bid

Upon Award

1. A completed N.Y.S Taxation and Finance Contractor Certification Form ST-220.

2. A completed N.Y.S. Office of the State Comptroller Vendor Responsibility Questionnaire (for procurements greater than or equal to \$100,000)

3. A completed State Consultant Services Form A, Contractor's Planned Employment From Contract Start Date through End of Contract Term

-----

\_\_\_\_\_

(Officer Signature)

\_\_\_\_\_

(Date)

\_\_\_\_\_

(Officer Title)

\_\_\_\_\_

(Telephone)

\_\_\_\_\_

(e-mail Address)

**NEW YORK STATE  
DEPARTMENT OF HEALTH**

**NO-BID FORM**

PROCUREMENT TITLE: \_\_\_\_\_ FAU # \_\_\_\_\_

Bidders choosing not to bid are requested to complete the portion of the form below:

- We do not provide the requested services. Please remove our firm from your mailing list
- We are unable to bid at this time because:

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

- Please retain our firm on your mailing list.

\_\_\_\_\_  
(Firm Name)

\_\_\_\_\_  
(Officer Signature)                      \_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Officer Title)                              \_\_\_\_\_  
(Telephone)

\_\_\_\_\_  
(e-mail Address)

**FAILURE TO RESPOND TO BID INVITATIONS MAY RESULT IN YOUR FIRM BEING REMOVED FROM OUR MAILING LIST FOR THIS SERVICE.**

**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 previous consent, in writing, of the State and any attempts to assign the contract without the State's written consent are null and void. The Contractor may, however, assign its right to receive payment without the State's prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.

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

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

**5. NON-DISCRIMINATION REQUIREMENTS.** To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, sex, national origin, sexual orientation, age, disability, genetic predisposition or carrier status, or marital status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the

performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

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

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

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

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

**10. RECORDS.** The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively, "the Records"). The Records must be kept for the balance of the calendar year in which they were made and for six (6) additional years thereafter. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this contract, shall have access to the Records during normal business hours at an office of the Contractor

within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying. The State shall take reasonable steps to protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law (the "Statute") provided that: (i) the Contractor shall timely inform an appropriate State official, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the State's right to discovery in any pending or future litigation.

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

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

(b) PRIVACY NOTIFICATION. (1) The authority to request the above personal information from a seller of goods or services or a lessor of real or personal property, and the authority to maintain such information, is found in Section 5 of the State Tax Law. Disclosure of this information by the seller or lessor to the State is mandatory. The principal purpose for which the information is collected is to enable the State to identify individuals, businesses and others who have been delinquent in filing tax returns or may have understated their tax liabilities and to generally identify persons affected by the taxes administered by the Commissioner of Taxation and Finance. The information will be used for tax administration purposes and for any other purpose authorized by law.

(2) The personal information is requested by the purchasing unit of the agency contracting to purchase the goods or services or lease the real or personal property covered by this contract or lease. The information is maintained in New York State's Central Accounting System by the Director of Accounting Operations, Office of the State Comptroller, 110 State Street, Albany, New York 12236.

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

In accordance with Section 312 of the Executive Law, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000.00, whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of \$100,000.00 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of \$100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon for such project, then:

(a) The Contractor will not discriminate against employees or applicants for employment because of race, creed, color, national origin, sex, age, disability or marital status, and will undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination. Affirmative action shall mean recruitment,

employment, job assignment, promotion, upgradings, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation;

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

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

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

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

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

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

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

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

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

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

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

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

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

NYS Department of Economic Development  
Division for Small Business  
30 South Pearl St -- 7<sup>th</sup> Floor  
Albany, New York 12245  
Telephone: 518-292-5220  
Fax: 518-292-5884  
<http://www.empire.state.ny.us>

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

NYS Department of Economic Development  
Division of Minority and Women's Business Development  
30 South Pearl St -- 2nd Floor  
Albany, New York 12245  
Telephone: 518-292-5250  
Fax: 518-292-5803  
<http://www.empire.state.ny.us>

The Omnibus Procurement Act of 1992 requires that by signing this bid proposal or contract, as applicable, Contractors certify that whenever the total bid amount is greater than \$1 million:

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

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

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

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

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

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

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APPENDIX D  
GENERAL SPECIFICATIONS

- A. By signing the "Bid Form" each bidder attests to its express authority to sign on behalf of this company or other entity and acknowledges and accepts that:
- All specifications, general and specific appendices, including Appendix-A, the Standard Clauses for all New York State contracts, and all schedules and forms contained herein will become part of any contract entered, resulting from the Request for Proposal. Anything which is not expressly set forth in the specification, appendices and forms and resultant contract, but which is reasonable to be implied, shall be furnished and provided in the same manner as if specifically expressed.
- B. The work shall be commenced and shall be actually undertaken within such time as the Department of Health may direct by notice, whether by mail, telegram, or other writing, whereupon the undersigned will give continuous attention to the work as directed, to the end and with the intent that the work shall be completed within such reasonable time or times, as the case may be, as the Department may prescribe.
- C. The Department reserves the right to stop the work covered by this proposal and the contract at any time that the Department deems the successful bidder to be unable or incapable of performing the work to the satisfaction of the Department and in the event of such cessation of work, the Department shall have the right to arrange for the completion of the work in such manner as the Department may deem advisable and if the cost thereof exceeds the amount of the bid, the successful bidder and its surety be liable to the State of New York for any excess cost on account thereof.
- D. Each bidder is under an affirmative duty to be informed by personal examination of the specifications and location of the proposed work and by such other means as it may select, of character, quality, and extent of work to be performed and the conditions under which the contract is to be executed.
- E. The Department of Health will make no allowances or concession to a bidder for any alleged misunderstanding or deception because of quantity, quality, character, location or other conditions.
- F. The bid price is to cover the cost of furnishing all of the said services, materials, equipment, and labor to the satisfaction of the Department of Health and the performance of all work set forth in said specifications.
- G. The successful bidder will be required to complete the entire work, or any part thereof as the case may be, to the satisfaction of the Department of

Health in strict accordance with the specifications and pursuant to a contract therefore.

- H. Contractor will possess, at no cost to the State, all qualifications, licenses and permits to engage in the required business as may be required within the jurisdiction where the work specified is to be performed. Workers to be employed in the performance of this contract will possess the qualifications, training, licenses and permits as may be required within such jurisdiction.
  
- I. Non-Collusive Bidding  
By submission of this proposal, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of their knowledge and belief:
  - a. The prices of 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;
  
  - b. 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 person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition;
  
  - c. 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.

NOTE: Chapter 675 of the Laws of New York for 1966 provides that every bid made to the state or any public department, agency or official thereof, where competitive bidding is required by statute, rule or regulation, for work or services performed or to be performed or goods sold or to be sold, shall contain the foregoing statement subscribed by the bidder and affirmed by such bidder as true under penalties of perjury.

A bid shall not be considered for award nor shall any award be made where (a), (b) and (c) 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 therefore. Where (a), (b) and (c) 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 is made or its 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 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 price being bid, does not constitute, without more, a disclosure within the meaning of the above quoted certification.

Any bid made to the State or any public department, agency or official thereof by a corporate bidder for work or services performed or to be performed or goods, sold or to be sold, where competitive bidding is required by statute, rule or regulation and where such bid contains the certification set forth above shall be deemed to have been authorized by the board of directors of the bidder, and such authorization shall be deemed to include the signing and submission of the bid and the inclusion therein of the certificate as to non-collusion as the act and deed of the corporation.

- J. A bidder may be disqualified from receiving awards if such bidder or any subsidiary, affiliate, partner, officer, agent or principal thereof, or anyone in its or its employ, has previously failed to perform satisfactorily in connection with public bidding or contracts.
- K. The Department reserves the right to make awards within ninety (90) days after the date of the bid opening, during which period bids shall not be withdrawn unless the bidder distinctly states in the bid that acceptance thereof must be made within a shorter specified time.
- L. **Work for Hire Contract**  
Any contract entered into resultant from this request for proposal will be considered a "Work for Hire Contract." The Department will be the sole owner of all source code and any software which is developed or included in the application software provided to the Department as a part of this contract.
- M. **Technology Purchases Notification --** The following provisions apply if this Request for Proposal (RFP) seeks proposals for "Technology"
  - 1. For the purposes of this policy, "technology" applies to all services and commodities, voice/data/video and/or any related requirement, major software acquisitions, systems modifications or upgrades, etc., that result in a technical method of achieving a practical purpose or in improvements of productivity. The purchase can be as simple as an order for new or replacement personal computers, or for a consultant to design a new system, or as complex as a major systems improvement or innovation that changes how an agency conducts its business practices.

2. If this RFP results in procurement of software over \$20,000, or of other technology over \$50,000, or where the department determines that the potential exists for coordinating purchases among State agencies and/or the purchase may be of interest to one or more other State agencies, PRIOR TO AWARD SELECTION, this RFP and all responses thereto are subject to review by the New York State Office for Technology.
3. Any contract entered into pursuant to an award of this RFP shall contain a provision which extends the terms and conditions of such contract to any other State agency in New York. Incorporation of this RFP into the resulting contract also incorporates this provision in the contract.
4. The responses to this RFP must include a solution to effectively handle the turn of the century issues related to the change from the year 1999 to 2000.

#### N. YEAR 2000 WARRANTY

##### 1. Definitions

For purposes of this warranty, the following definitions shall apply:

- a. Product shall include, without limitation: any piece or component of equipment, hardware, firmware, middleware, custom or commercial software, or internal components or subroutines therein which perform any date/time data recognition function, calculation, comparing or sequencing. Where services are being furnished, e.g. consulting, systems integration, code or data conversion or data entry, the term Product shall include resulting deliverables.
- b. Vendor's Product shall include all Product delivered under this Agreement by Vendor other than Third Party Product.
- c. Third Party Product shall include products manufactured or developed by a corporate entity independent from Vendor and provided by Vendor on a non-exclusive licensing or other distribution Agreement with the third party manufacturer. Third Party Product does not include product where Vendor is: a) corporate subsidiary or affiliate of the third party manufacturer/developer; and/or b) the exclusive re-seller or distributor of product manufactured or developed by said corporate entity.

## 2. Warranty Disclosure

At the time of bid, Product order or Product quote, Vendor is required to disclose the following information in writing to Authorized User:

- a. For Vendor Product and for Products (including, but not limited to, Vendor and/or Third Party Products and/or Authorized User's Installed Product) which have been specified to perform as a system: Compliance or non-compliance of the Products individually or as a system with the Warranty Statement set forth below; and
- b. For Third Party Product Not Specified as Part of a System: Third Party Manufacturer's statement of compliance or non-compliance of any Third Party Product being delivered with Third Party Manufacturer/Developer's Year 2000 warranty. If such Third Party Product is represented by Third Party Manufacturer/Developer as compliant with Third Party Manufacturer/Developer's Year 2000 Warranty, Vendor shall pass through said third party warranty from the third party manufacturer to the Authorized User but shall not be liable for the testing or verification of Third Party's compliance statement.

An absence or failure to furnish the required written warranty disclosure shall be deemed a statement of compliance of the product(s) or system(s) in question with the year 2000 warranty statement set forth below.

## 3. Warranty Statement

Year 2000 warranty compliance shall be defined in accordance with the following warranty statement:

Vendor warrants that Product(s) furnished pursuant to this Agreement shall, when used in accordance with the Product documentation, be able to accurately process date/time data (including, but not limited to, calculating, comparing, and sequencing) from, into, and between the twentieth and twenty-first centuries, and the years 1999 and 2000, including leap year calculations. Where a purchase requires that specific Products must perform as a package or system, this warranty shall apply to the Products as a system.

In the event of any breach of this warranty, Vendor shall restore the Product to the same level of performance as warranted herein, or repair or replace the Product with conforming Product so as to minimize interruption to Authorized User's ongoing business processes, time being of the essence, at Vendor's sole cost and

expense. This warranty does not extend to correction of Authorized User's errors in data entry or data conversion.

This warranty shall survive beyond termination or expiration of the Agreement.

Nothing in this warranty shall be construed to limit any rights or remedies otherwise available under this Agreement.

- O. **No Subcontracting**  
Subcontracting by the contractor shall not be permitted except by prior written approval and knowledge of the Department of Health.
- P. **Superintendence by Contractor**  
The Contractor shall have a representative to provide supervision of the work which Contractor employees are performing to ensure complete and satisfactory performance with the terms of the Contract. This representative shall also be authorized to receive and put into effect promptly all orders, directions and instructions from the Department of Health. A confirmation in writing of such orders or directions will be given by the Department when so requested from the Contractor.
- Q. **Sufficiency of Personnel and Equipment**  
If the Department of Health is of the opinion that the services required by the specifications cannot satisfactorily be performed because of insufficiency of personnel, the Department shall have the authority to require the Contractor to use such additional personnel, to take such steps necessary to perform the services satisfactorily at no additional cost to the State.
- R. **Experience Requirements**  
The Contractor shall submit evidence to the satisfaction of the Department that it possesses the necessary experience and qualifications to perform the type of services required under this contract and must show that it is currently performing similar services. The Contractor shall submit at least two references to substantiate these qualifications.
- S. **Contract Amendments**  
This agreement may be amended by written agreement signed by the parties and subject to the laws and regulations of the State pertaining to contract amendments. This agreement may not be amended orally.

The contractor shall not make any changes in the scope of work as outlined herein at any time without prior authorization in writing from the Department of Health and without prior approval in writing of the amount of compensation for such changes.

T. Provisions Upon Default

1. In the event that the Contractor, through any cause, fails to perform any of the terms, covenants or promises of this agreement, the Department acting for and on behalf of the State, shall thereupon have the right to terminate this agreement by giving notice in writing of the fact and date of such termination to the Contractor
2. If, in the judgement of the Department of Health, the Contractor acts in such a way which is likely to or does impair or prejudice the interests of the State, the Department acting on behalf of the State, shall thereupon have the right to terminate this agreement by giving notice in writing of the fact and date of such termination to the Contractor. In such case the Contractor shall receive equitable compensation for such services as shall, in the judgement of the State Comptroller, have been satisfactorily performed by the Contractor up to the date of the termination of this agreement, which such compensation shall not exceed the total cost incurred for the work which the Contractor was engaged in at the time of such termination, subject to audit by the State Comptroller.

U. Termination Provision

Upon termination of this agreement, the following shall occur:

1. Contractor shall make available to the State for examination all data, records and reports relating to this Contract; and
2. Except as otherwise provided in the Contract, the liability of the State for payments to the Contractor and the liability of the Contractor for services hereunder shall cease.

V. Conflicts

If, in the opinion of the Department of Health, (1) the specifications conflict, or (2) if the specifications are not clear as to (a) the method of performing any part of the work, or as to (b) the types of materials or equipment necessary, or as to (c) the work required to be done in every such situation, the Contractor shall be deemed to have based his bid upon performing the work and furnishing materials or equipment in the most inexpensive and efficient manner. If such conflicts and/or ambiguities arise, the Department of Health will furnish the Contractor supplementary information showing the manner in which the work is to be performed and the type or types of material or equipment that shall be used.

W. MINORITY AND WOMEN OWNED BUSINESS POLICY STATEMENT

The New York State Department of Health recognizes the need to take

affirmative action to ensure that Minority and Women Owned Business Enterprises are given the opportunity to participate in the performance of the Department of Health's contracting program. This opportunity for full participation in our free enterprise system by traditionally, socially and economically disadvantaged persons is essential to obtain social and economic equality and improve the functioning of the State economy.

It is the intention of the New York State Department of Health to fully execute the mandate of Executive Law, Article 15-A and provide Minority and Women Owned Business Enterprises with equal opportunity to bid on contracts awarded by this agency in accordance with the State Finance Law.

To implement this affirmative action policy statement, the contractor agrees to file with the Department of Health within 10 days of notice of award, a staffing plan of the anticipated work force to be utilized on this contract or, where required, information on the contractor's total work force, including apprentices, broken down by specified ethnic background, gender, and Federal occupational categories or other appropriate categories specified by the Department. The form of the staffing plan shall be supplied by the Department.

After an award of this contract, the contractor agrees to submit to the Department a work force utilization report, in a form and manner required by the Department, of the work force actually utilized on this contract, broken down by specified ethnic background, gender and Federal occupational categories or other appropriate categories specified by the Department.

#### X. Contract Insurance Requirements

1. The successful bidder must without expense to the State procure and maintain, until final acceptance by the Department of Health of the work covered by this proposal and the contract, insurance of the kinds and in the amounts hereinafter provided, in insurance companies authorized to do such business in the State of New York covering all operations under this proposal and the contract, whether performed by it or by subcontractors. Before commencing the work, the successful bidder shall furnish to the Department of Health a certificate or certificates, in a form satisfactory to the Department, showing that it has complied with the requirements of this section, which certificate or certificates shall state that the policies shall not be changed or canceled until thirty days written notice has been given to the Department. The kinds and amounts of required insurance are:
  - a. A policy covering the obligations of the successful bidder in accordance with the provisions of Chapter 41, Laws of 1914, as amended, known as the Workers' Compensation Law, and the

contract shall be void and of no effect unless the successful bidder procures such policy and maintains it until acceptance of the work (reference Appendix E).

- b. Policies of Bodily Injury Liability and Property Damage Liability Insurance of the types hereinafter specified, each within limits of not less than \$500,000 for all damages arising out of bodily injury, including death at any time resulting therefrom sustained by one person in any one occurrence, and subject to that limit for that person, not less than \$1,000,000 for all damages arising out of bodily injury, including death at any time resulting therefrom sustained by two or more persons in any one occurrence, and not less than \$500,000 for damages arising out of damage to or destruction of property during any single occurrence and not less than \$1,000,000 aggregate for damages arising out of damage to or destruction of property during the policy period.
  - i. Contractor's Liability Insurance issued to and covering the liability of the successful bidder with respect to all work performed by it under this proposal and the contract.
  - ii. Protective Liability Insurance issued to and covering the liability of the People of the State of New York with respect to all operations under this proposal and the contract, by the successful bidder or by its subcontractors, including omissions and supervisory acts of the State.
  - iii. Automobile Liability Insurance issued to and covering the liability of the People of the State of New York with respect to all operations under this proposal and the contract, by the successful bidder or by its subcontractors, including omissions and supervisory acts of the State.

Y. Certification Regarding Debarment and Suspension

Regulations of the Department of Health and Human Services, located at Part 76 of Title 45 of the Code of Federal Regulations (CFR), implement Executive Orders 12549 and 12689 concerning debarment and suspension of participants in federal programs and activities. Executive Order 12549 provides that, to the extent permitted by law, Executive departments and agencies shall participate in a government-wide system for non-procurement debarment and suspension. Executive Order 12689 extends the debarment and suspension policy to procurement activities of the federal government. A person who is debarred or suspended by a federal agency is excluded from federal financial and non-financial assistance and

benefits under federal programs and activities, both directly (primary covered transaction) and indirectly (lower tier covered transactions). Debarment or suspension by one federal agency has government-wide effect.

Pursuant to the above-cited regulations, the New York State Department of Health (as a participant in a primary covered transaction) may not knowingly do business with a person who is debarred, suspended, proposed for debarment, or subject to other government-wide exclusion (including any exclusion from Medicare and State health care program participation on or after August 25, 1995), and the Department of Health must require its prospective contractors, as prospective lower tier participants, to provide the certification in Appendix B to Part 76 of Title 45 CFR, as set forth below:

1. APPENDIX B TO PART 76-CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION-LOWER TIER COVERED TRANSACTIONS

Instructions for Certification

- a. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- b. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered and erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- c. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
- d. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered Transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of

those regulations.

- e. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- f. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions.
- g. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of parties Excluded from Federal Procurement and Non-procurement Programs.
- h. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- i. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

2. Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions
  - a. The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily exclude from participation in this transaction by any Federal department agency.
  - b. Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Z. Confidentiality Clauses

1. Any materials, articles, papers, etc., developed by the CONTRACTOR under or in the course of performing this AGREEMENT shall contain the following, or similar acknowledgment: "Funded by the New York State Department of Health". Any such materials must be reviewed and approved by the STATE for conformity with the policies and guidelines for the New York State Department of Health prior to dissemination and/or publication. It is agreed that such review will be conducted in an expeditious manner. Should the review result in any unresolved disagreements regarding content, the CONTRACTOR shall be free to publish in scholarly journals along with a disclaimer that the views within the Article or the policies reflected are not necessarily those of the New York State Department of Health. The Department reserves the right to disallow funding for any educational materials not approved through its review process.
2. Any publishable or otherwise reproducible material developed under or in the course of performing this AGREEMENT, dealing with any aspect of performance under this AGREEMENT, or of the results and accomplishments attained in such performance, shall be the sole and exclusive property of the STATE, and shall not be published or otherwise disseminated by the CONTRACTOR to any other party unless prior written approval is secured from the STATE or under circumstances as indicated in paragraph 1 above. Any and all net proceeds obtained by the CONTRACTOR resulting from any such publication shall belong to and be paid over to the STATE. The STATE shall have a perpetual royalty-free, non-exclusive and irrevocable right to reproduce, publish or otherwise use, and to authorize others to use, any such material for governmental purposes.

3. No report, document or other data produced in whole or in part with the funds provided under this AGREEMENT may be copyrighted by the CONTRACTOR or any of its employees, nor shall any notice of copyright be registered by the CONTRACTOR or any of its employees in connection with any report, document or other data developed pursuant to this AGREEMENT.
4. All reports, data sheets, documents, etc. generated under this contract shall be the sole and exclusive property of the Department of Health. Upon completion or termination of this AGREEMENT the CONTRACTOR shall deliver to the Department of Health upon its demand all copies of materials relating to or pertaining to this AGREEMENT. The CONTRACTOR shall have no right to disclose or use any of such material and documentation for any purpose whatsoever, without the prior written approval of the Department of Health or its authorized agents.
5. The CONTRACTOR, its officers, agents and employees and subcontractors shall treat all information, which is obtained by it through its performance under this AGREEMENT, as confidential information to the extent required by the laws and regulations of the United States and laws and regulations of the State of New York.
6. All subcontracts shall contain provisions specifying:
  - a. that the work performed by the subcontractor must be in accordance with the terms of this AGREEMENT, and
  - b. that the subcontractor specifically agrees to be bound by the confidentiality provisions set forth in the AGREEMENT between the STATE and the CONTRACTOR.

AA. Provision Related to Consultant Disclosure Legislation

1. If this contract is for the provision of consulting services as defined in Subdivision 17 of Section 8 of the State Finance Law, the CONTRACTOR shall submit a "State Consultant Services Form B, Contractor's Annual Employment Report" no later than May 15<sup>th</sup> following the end of each state fiscal year included in this contract term. This report must be submitted to:
  - a. The NYS Department of Health, at the STATE's designated payment office address included in this AGREEMENT; and

- b. The NYS Office of the State Comptroller, Bureau of Contracts, 110 State Street, 11<sup>th</sup> Floor, Albany NY 12236 ATTN: Consultant Reporting - or via fax at (518) 474-8030 or (518) 473-8808; and
- c. The NYS Department of Civil Service, Alfred E. Smith Office Building, Albany NY 12239, ATTN: Consultant Reporting.

BB. Provisions Related to New York State Procurement Lobbying Law

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

CC. Provisions Related to New York State Information Security Breach and Notification Act

- 1. 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). CONTRACTOR shall be liable for the costs associated with such breach if caused by CONTRACTOR'S negligent or willful acts or omissions, or the negligent or willful acts or omissions of CONTRACTOR'S agents, officers, employees or subcontractors.



# Contractor Certification

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

# ST-220-TD

(6/06)

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

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

## General information

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

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

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

Mail completed form to:

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

## Privacy notification

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

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

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

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

This information is maintained by the Director of Records Management and Data Entry, NYS Tax Department, W A Harriman Campus, Albany NY 12227; telephone 1 800 225-5829. From areas outside the United States and outside Canada, call (518) 485-6800.

## Need help?

 **Internet access:** [www.nystax.gov](http://www.nystax.gov)  
(for information, forms, and publications)

 **Fax-on-demand forms:** 1 800 748-3676

 **Telephone assistance** is available from 8:00 A.M. to 5:00 P.M. (eastern time), Monday through Friday.

To order forms and publications: 1 800 462-8100

**Sales Tax Information Center:** 1 800 698-2909

From areas outside the U.S. and outside Canada: (518) 485-6800

**Hearing and speech impaired** (telecommunications device for the deaf (TDD) callers only): 1 800 634-2110

 **Persons with disabilities:** In compliance with the Americans with Disabilities Act, we will ensure that our lobbies, offices, meeting rooms, and other facilities are accessible to persons with disabilities. If you have questions about special accommodations for persons with disabilities, please call 1 800 972-1233.

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

Make only one entry in each section below.

### Section 1 — Contractor registration status

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

### Section 2 — Affiliate registration status

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

### Section 3 — Subcontractor registration status

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

Sworn to this \_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_

\_\_\_\_\_  
*(sign before a notary public)*

\_\_\_\_\_  
*(title)*







# Contractor Certification to Covered Agency

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

# ST-220-CA

(6/06)

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

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

I, \_\_\_\_\_, hereby affirm, under penalty of perjury, that I am \_\_\_\_\_

(name)

(title)

of the above-named contractor, that I am authorized to make this certification on behalf of such contractor, and I further certify that:

(Mark an X in only one box)

The contractor has filed Form ST-220-TD with the Department of Taxation and Finance in connection with this contract and, to the best of contractor's knowledge, the information provided on the Form ST-220-TD, is correct and complete.

The contractor has previously filed Form ST-220-TD with the Tax Department in connection with \_\_\_\_\_  
(insert contract number or description)

and, to the best of the contractor's knowledge, the information provided on that previously filed Form ST-220-TD, is correct and complete as of the current date, and thus the contractor is not required to file a new Form ST-220-TD at this time.

Sworn to this \_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_

\_\_\_\_\_  
(sign before a notary public)

\_\_\_\_\_  
(title)

## Instructions

### General information

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

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

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

### When to complete this form

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

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

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

Individual, Corporation, Partnership, or LLC Acknowledgment

STATE OF }
: SS.:
COUNTY OF }

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

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

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

Notary Public

Registration No.

Privacy notification

The Commissioner of Taxation and Finance may collect and maintain personal information pursuant to the New York State Tax Law, including but not limited to, sections 5-a, 171, 171-a, 287, 308, 429, 475, 505, 697, 1096, 1142, and 1415 of that Law; and may require disclosure of social security numbers pursuant to 42 USC 405(c)(2)(C)(i).
This information will be used to determine and administer tax liabilities and, when authorized by law, for certain tax offset and exchange of tax information programs as well as for any other lawful purpose.
Information concerning quarterly wages paid to employees is provided to certain state agencies for purposes of fraud prevention, support enforcement, evaluation of the effectiveness of certain employment and training programs and other purposes authorized by law.
Failure to provide the required information may subject you to civil or criminal penalties, or both, under the Tax Law.
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Persons with disabilities: In compliance with the Americans with Disabilities Act, we will ensure that our lobbies, offices, meeting rooms, and other facilities are accessible to persons with disabilities. If you have questions about special accommodations for persons with disabilities, please call 1 800 972-1233.

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

BUSINESS ENTITY INFORMATION				
Legal Business Name			EIN	
Address of the Principal Place of Business/Executive Office			Phone Number	Fax Number
E-mail		Website		
<b>Authorized Contact for this Questionnaire</b>				
Name:			Phone Number	Fax Number
Title			Email	
List any other DBA, Trade Name, Other Identity, or EIN used in the last five (5) years, the state or county where filed, and the status (active or inactive): (if applicable)				
Type	Name	EIN	State or County where filed	Status

I. BUSINESS CHARACTERISTICS	
<b>1.0 Business Entity Type – Please check appropriate box and provide additional information:</b>	
a) <input type="checkbox"/> Corporation (including PC)	Date of Incorporation
b) <input type="checkbox"/> Limited Liability Co. (LLC or PLLC)	Date Organized
c) <input type="checkbox"/> Limited Liability Partnership	Date of Registration
d) <input type="checkbox"/> Limited Partnership	Date Established
e) <input type="checkbox"/> General Partnership	Date Established                      County (if formed in NYS)
f) <input type="checkbox"/> Sole Proprietor	How many years in business?
g) <input type="checkbox"/> Other	Date Established
If Other, explain:	
1.1 Was the Business Entity formed in New York State?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'No' indicate jurisdiction where Business Entity was formed:	
<input type="checkbox"/> United States      State      _____	
<input type="checkbox"/> Other                      Country      _____	
1.2 Is the Business Entity currently registered to do business in New York State with the Department of State? Note: Select 'Not Required' if the Business Entity is a Sole Proprietor or General Partnership	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Not required
If 'No' explain why the Business Entity is not required to be registered in New York State.	
1.3 Is the Business Entity registered as a Sales Tax Vendor with the New York State Department of Taxation and Finance?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If 'No', explain and provide detail, such as "not required", "application in process", or other reason for not being registered.	
1.4 Is the Business Entity publicly traded?	<input type="checkbox"/> Yes <input type="checkbox"/> No

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

I. BUSINESS CHARACTERISTICS				
<table style="width:100%; border: none;"> <tr> <td style="width: 25%; padding: 5px;"><b>CIK Code or Ticker Symbol</b></td> <td style="border: none;"></td> </tr> </table>			<b>CIK Code or Ticker Symbol</b>	
<b>CIK Code or Ticker Symbol</b>				
<b>1.5 Is the responding Business Entity a Joint Venture? <i>Note: If the Submitting Business Entity is a Joint Venture, also submit a questionnaire for each Business Entity comprising the Joint Venture</i></b>	<input type="checkbox"/> Yes <input type="checkbox"/> No			
<b>1.6 Does the Business Entity have a DUNS Number?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No			
Enter DUNS Number				
<b>1.7 Is the Business Entity's Principal Place of Business/Executive Office in New York State? If 'No', does the Business Entity maintain an office in New York State?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No			
Provide the address and telephone number for one New York office.				
<b>1.8 Is the Business Entity a New York State Certified Minority Owned Business Enterprise (MBE), Women Owned Business Enterprise (WBE), New York State Small Business or a Federally Certified Disadvantaged Business Enterprise (DBE)?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No			
If 'Yes', check all that apply: <input type="checkbox"/> New York State Certified Minority Owned Business Enterprise (MBE) <input type="checkbox"/> New York State Certified Women Owned Business Enterprise (WBE) <input type="checkbox"/> New York State Small Business <input type="checkbox"/> Federally Certified Disadvantaged Business Enterprise (DBE)				
<b>1.9 Identify Business Entity Officials and Principal Owners. For each person, include name, title and percentage of ownership, if applicable. <i>Attach additional pages if necessary.</i></b>				
<b>Name</b>	<b>Title</b>	<b>Percentage Ownership (Enter 0% if not applicable)</b>		
II. AFFILIATES AND JOINT VENTURE RELATIONSHIPS				
<b>2.0 Does the Business Entity have any Affiliates? <i>Attach additional pages if necessary.</i></b>		<input type="checkbox"/> Yes <input type="checkbox"/> No		
<b>Affiliate Name</b>	<b>Affiliate EIN (If available)</b>	<b>Affiliate's Primary Business Activity</b>		
Explain relationship with the Affiliate and indicate percent ownership, if applicable (enter N/A, if not applicable):				
<b>Are there any Business Entity Officials or Principal Owners that the Business Entity has in common with this Affiliate?</b>		<input type="checkbox"/> Yes <input type="checkbox"/> No		
<b>Individual's Name</b>	<b>Position/Title with Affiliate</b>			
<b>2.1 Has the Business Entity participated in any Joint Ventures within the past three (3) years? <i>Attach additional pages if necessary</i></b>		<input type="checkbox"/> Yes <input type="checkbox"/> No		
<b>Joint Venture Name:</b>	<b>Joint Venture EIN (If available):</b>	<b>Identify parties to the Joint Venture:</b>		

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

<b>III. CONTRACT HISTORY</b>	
<b>3.0</b> Has the Business Entity held any contracts with New York State government entities in the last three (3) years? List these contracts using Attachment A, found at <a href="http://www.osc.state.ny.us/vendrep/documents/attachmenta.doc">http://www.osc.state.ny.us/vendrep/documents/attachmenta.doc</a> .	<input type="checkbox"/> Yes <input type="checkbox"/> No

<b>IV. INTEGRITY – CONTRACT BIDDING</b>	
Within the past five (5) years, has the Business Entity or any Affiliate	
4.0 been suspended or debarred from any government contracting process or been disqualified on any government procurement?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.1 been subject to a denial or revocation of a government prequalification?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.2 been denied a contract award or had a bid rejected based upon a finding of non-responsibility by a government entity?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.3 had a low bid rejected on a government contract for failure to make good faith efforts on any Minority Owned Business Enterprise, Women Owned Business Enterprise or Disadvantaged Business Enterprise goal or statutory affirmative action requirements on a previously held contract?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.4 agreed to a voluntary exclusion from bidding/contracting with a government entity?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.5 initiated a request to withdraw a bid submitted to a government entity or made any claim of an error on a bid submitted to a government entity?	<input type="checkbox"/> Yes <input type="checkbox"/> No
For each “Yes” answer above provide an explanation of the issue(s), the Business Entity involved, the relationship to the submitting Business Entity, relevant dates, the government entity involved, and any remedial or corrective action(s) taken and the current status of the issue(s). Provide answer below or attach additional sheets with numbered responses.	

<b>V. INTEGRITY – CONTRACT AWARD</b>	
Within the past five (5) years, has the Business Entity or any Affiliate	
5.0 been suspended, cancelled or terminated for cause on any government contract?	<input type="checkbox"/> Yes <input type="checkbox"/> No
5.1 been subject to an administrative proceeding or civil action seeking specific performance or restitution in connection with any government contract?	<input type="checkbox"/> Yes <input type="checkbox"/> No
5.2 entered into a formal monitoring agreement as a condition of a contract award from a government entity?	<input type="checkbox"/> Yes <input type="checkbox"/> No
For each “Yes” answer provide an explanation of the issue(s), the Business Entity involved, the relationship to the submitting Business Entity, relevant dates, the government entity involved, and any remedial or corrective action(s) taken and the current status of the issue(s). Provide answer below or attach additional sheets with numbered responses.	

<b>VI. CERTIFICATIONS/LICENSES</b>	
Within the past five (5) years, has the Business Entity or any Affiliate	
6.0 had a revocation, suspension or disbarment of any business or professional permit and/or license?	<input type="checkbox"/> Yes <input type="checkbox"/> No
6.1 had a denial, decertification, revocation or forfeiture of New York State certification of Minority Owned Business Enterprise, Women Owned Business Enterprise or federal certification of Disadvantaged Business Enterprise status, for other than a change of ownership?	<input type="checkbox"/> Yes <input type="checkbox"/> No
For each “Yes” answer provide an explanation of the issue(s), the Business Entity involved, the relationship to the submitting Business Entity, relevant dates, the government entity involved, and any remedial or corrective action(s) taken and the current status of the issue(s). Provide answer below or attach additional sheets with numbered responses.	

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

<b>VII. LEGAL PROCEEDINGS</b>	
<b>Within the past five (5) years, has the Business Entity or any Affiliate</b>	
<b>7.0</b> been the subject of an investigation, whether open or closed, by any government entity for a civil or criminal violation?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>7.1</b> been the subject of an indictment, grant of immunity, judgment or conviction (including entering into a plea bargain) for conduct constituting a crime?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>7.2</b> received any OSHA citation and Notification of Penalty containing a violation classified as serious or willful?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>7.3</b> had a government entity find a willful prevailing wage or supplemental payment violation?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>7.4</b> had any New York State Labor Law violation deemed willful?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>7.5</b> entered into a consent order with the New York State Department of Environmental Conservation, or a Federal, State or local government enforcement determination involving a violation of federal, state or local environmental laws?	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>7.6</b> other than the previously disclosed: (i) Been subject to the imposition of a fine or penalty in excess of \$1,000 imposed by any government entity as a result of the issuance of citation, summons or notice of violation, or pursuant to any administrative, regulatory, or judicial determination; or (ii) Been charged or convicted of a criminal offense pursuant to any administrative and/or regulatory action taken by any government entity?	<input type="checkbox"/> Yes <input type="checkbox"/> No
For each "Yes" answer provide an explanation of the issue(s), the Business Entity involved, the relationship to the submitting Business Entity, relevant dates, the government entity involved, and any remedial or corrective action(s) taken and the current status of the issue(s). Provide answer below or attach additional sheets with numbered responses.	

<b>VIII. LEADERSHIP INTEGRITY</b>	
<b>NOTE: If the Business Entity is a Joint Venture Entity, answer 'N/A – Not Applicable' to questions 8.0 through 8.4.)</b>	
<b>Within the past five (5) years has any individual previously identified, any other Business Entity Leader not previously identified, or any individual having the authority to sign, execute or approve bids, proposals, contracts or supporting documentation with New York State been subject to</b>	
<b>8.0</b> a sanction imposed relative to any business or professional permit and/or license?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>8.1</b> an investigation, whether open or closed, by any government entity for a civil or criminal violation for any business related conduct?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>8.2</b> an indictment, grant of immunity, judgment, or conviction of any business related conduct constituting a crime including, but not limited to, fraud, extortion, bribery, racketeering, price fixing, bid collusion or any crime related to truthfulness?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>8.3</b> a misdemeanor or felony charge, indictment or conviction for: (i) any business-related activity including but not limited to fraud, coercion, extortion, bribe or bribe-receiving, giving or accepting unlawful gratuities, immigration or tax fraud, racketeering, mail fraud, wire fraud, price fixing or collusive bidding; or (ii) any crime, whether or not business related, the underlying conduct of which related to truthfulness, including but not limited to the filing of false documents or false sworn statements, perjury or larceny?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>8.4</b> a debarment from any government contracting process?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
For each "Yes" answer provide an explanation of the issue(s), the individual involved, the government entity involved, the relationship to the submitting Business Entity, relevant dates, any remedial or corrective action(s) taken and the current status of the issue(s). Provide answer below or attach additional sheets with numbered responses.	

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

<b>IX. FINANCIAL AND ORGANIZATIONAL CAPACITY</b>	
<b>9.0</b> Within the past five (5) years, has the Business Entity or any Affiliates received a formal unsatisfactory performance assessment(s) from any government entity on any contract?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If "Yes" provide an explanation of the issue(s), the Business Entity involved, the relationship to the submitting Business Entity, relevant dates, the government entity involved, and any remedial or corrective action(s) taken and the current status of the issue(s). Provide answer below or attach additional sheets with numbered responses.	
<b>9.1</b> Within the past five (5) years, has the Business Entity or any Affiliates had any liquidated damages assessed over \$25,000?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If "Yes" provide an explanation of the issue(s), the Business Entity involved, the relationship to the submitting Business Entity, relevant dates, contracting party involved, the amount assessed and the current status of the issue(s). Provide answer below or attach additional sheets with numbered responses.	
<b>9.2</b> Within the past five (5) years, has the Business Entity or any Affiliates had any liens, claims or judgments (not including UCC filings) over \$25,000 filed against the Business Entity which remain undischarged or were unsatisfied for more than 90 days?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If "Yes" provide an explanation of the issue(s), the Business Entity involved, the relationship to the submitting Business Entity, the lien holder or claimant's name, the amount of the lien(s) and the current status of the issue(s). Provide answer below or attach additional sheets with numbered responses.	
<b>9.3</b> In the last seven (7) years, has the Business Entity or any Affiliates initiated or been the subject of any bankruptcy proceedings, whether or not closed, regardless of the date of filing, or is any bankruptcy proceeding pending?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If "Yes" provide the Business Entity involved, the relationship to the submitting Business Entity, the Bankruptcy chapter number, the Court name, and the docket number. Indicate the current status of the proceedings as "Initiated," "Pending" or "Closed." Provide answer below or attach additional sheets with numbered responses.	
<b>9.4</b> During the past three (3) years, has the Business Entity and any Affiliates failed to file or pay any tax returns required by federal, state or local tax laws?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If "Yes" provide the Business Entity involved, the relationship to the submitting Business Entity, the taxing jurisdiction (federal, state or other), the type of tax, the liability years, the tax liability amount the Business Entity failed to file/pay and the current status of the tax liability. Provide answer below or attach additional sheets with numbered responses.	
<b>9.5</b> During the past three (3) years, has the Business Entity and any Affiliates failed to file or pay any New York State unemployment insurance returns?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If "Yes" provide the Business Entity involved, the relationship to the submitting Business Entity, the years the Business Entity failed to file/pay the insurance, explain the situation and any remedial or corrective action(s) taken and the current status of the issue(s). Provide answer below or attach additional sheets with numbered responses.	
<b>9.6</b> During the past three (3) years, has the Business Entity or any Affiliates had any government audits? If "yes" did any audit reveal material weaknesses in the Business Entity's system of internal controls? If "Yes", did any audit reveal non-compliance with contractual agreements or any material disallowance (if not previously disclosed in 9.6)?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
For each "Yes" answer provide an explanation of the issue(s), the Business Entity involved, the relationship to the submitting Business Entity, relevant dates, the government entity involved, and any remedial or corrective action(s) taken and the current status of the issue(s). Provide answer below or attach additional sheets with numbered responses.	

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

<b>X. FREEDOM OF INFORMATION LAW (FOIL)</b>	
<b>10.0</b> Indicate whether any information supplied herein is believed to be exempt from disclosure under the Freedom of Information Law (FOIL). Note: A determination of whether such information is exempt from FOIL will be made at the time of any request for disclosure under FOIL.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Indicate the question number(s) and explain the basis for the claim.	

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

**Certification**

The undersigned: recognizes that this questionnaire is submitted for the express purpose of assisting the State of New York’s contracting entities in making a responsibility determination regarding an award of contract or approval of a subcontract; acknowledges that the State or its contracting entities may in its discretion, by means which it may choose, verify the truth and accuracy of all statements made herein; acknowledges that intentional submission of false or misleading information may constitute a felony under Penal Law Section 210.40 or a misdemeanor under Penal Law Section 210.35 or Section 210.45, and may also be punishable by a fine and/or imprisonment of up to five years under 18 USC Section 1001 and may result in contract termination; and states that the information disclosed in response to the questionnaire and any attached documents is true, accurate and complete.

The undersigned certifies that he/she:

- is knowledgeable about the submitting Business Entity’s business and operations;
- has read and understands all of the questions contained in the questionnaire;
- has not altered the content of the questionnaire in any manner;
- has reviewed and/or supplied full and complete responses to each question;
- to the best of their knowledge, information and belief, confirms that the Business Entity’s responses are full, complete and accurate including all attachments; if applicable;
- understands that New York State will rely on information disclosed in the questionnaire when entering into a contract with the Business Entity; and
- is under obligation to update the information provided herein to include any material changes to the Business Entity’s responses through contract award notification, and may be required to update the information at the request of the state’s contracting entities or the Office of the State Comptroller prior to the award and/or approval of the contract, or during the term of the contract.

Signature of Owner/Officer \_\_\_\_\_

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

Title \_\_\_\_\_

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

Address \_\_\_\_\_

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

Sworn to before me this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_;

\_\_\_\_\_ Notary Public

State Consultant Services  
**FORM A**

OSC Use Only  
 Reporting Code:  
 Category Code:  
 Date Contract Approved:

Contractor's Planned Employment  
 From Contract Start Date through End of Contract Term

New York State Department of Health Contractor Name:	Agency Code 12000 Contract Number:
Contract Start Date: / /	Contract End Date: / /

Employment Category	Number of Employees	Number of Hours to be Worked	Amount Payable Under the Contract
Totals this page:	0	0	\$ 0.00
Grand Total:	0	0	\$ 0.00

Name of person who prepared this report:

Title:

Phone #:

Preparer's signature:

Date Prepared: / /

Page of  
 (use additional pages if necessary)

# Instructions

State Consultant Services

Form A: Contractor's Planned Employment

And

Form B: Contractor's Annual Employment Report

Form A: This report must be completed before work begins on a contract. Typically it is completed as a part of the original bid proposal. The report is submitted only to the soliciting agency who will in turn submit the report to the NYS Office of the State Comptroller.

Form B: This report must be completed annually for the period April 1 through March 31. The report must be submitted by May 15<sup>th</sup> of each year to the following three addresses:

1. the designated payment office (DPO) outlined in the consulting contract.
2. NYS Office of the State Comptroller  
Bureau of Contracts  
110 State Street, 11<sup>th</sup> Floor  
Albany, NY 12236  
Attn: Consultant Reporting  
or via fax to –  
(518) 474-8030 or (518) 473-8808
3. NYS Department of Civil Service  
Alfred E. Smith Office Building  
Albany, NY 12239  
Attn: Consultant Reporting

## Completing the Reports:

**Scope of Contract (Form B only):** a general classification of the single category that best fits the predominate nature of the services provided under the contract.

**Employment Category:** the specific occupation(s), as listed in the O\*NET occupational classification system, which best describe the employees providing services under the contract. Access the O\*NET database, which is available through the US Department of Labor's Employment and Training Administration, on-line at [online.onetcenter.org](http://online.onetcenter.org) to find a list of occupations.)

**Number of Employees:** the total number of employees in the employment category employed to provide services under the contract during the Report Period, including part time employees and employees of subcontractors.

**Number of hours (to be) worked:** for Form A, the total number of hours to be worked, and for Form B, the total number of hours worked during the Report Period by the employees in the employment category.

**Amount Payable under the Contract:** the total amount paid or payable by the State to the State contractor under the contract, for work by the employees in the employment category, for services provided during the Report Period.

State Consultant Services

# FORM B

OSC Use Only  
Reporting Code:  
Category Code:

Contractor's Annual Employment Report  
Report Period: April 1, \_\_\_\_ to March 31, \_\_\_\_

New York State Department of Health	Agency Code 12000
Contract Number:	
Contract Start Date: / /	Contract End Date: / /
Contractor Name:	
Contractor Address:	
Description of Services Being Provided:	

Scope of Contract (Chose one that best fits):

Analysis	Evaluation	Research
Training	Data Processing	Computer Programming
Other IT Consulting	Engineering	Architect Services
Surveying	Environmental Services	Health Services
Mental Health Services	Accounting	Auditing
Paralegal	Legal	Other Consulting

Employment Category	Number of Employees	Number of Hours to be Worked	Amount Payable Under the Contract
Totals this page:	0	0	\$ 0.00
Grand Total:	0	0	\$ 0.00

Name of person who prepared this report:  
Title:

Phone #:

Preparer's signature:

Date Prepared: / /

Page of  
(use additional pages if necessary)

# Instructions

State Consultant Services

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**Amount Payable under the Contract:** the total amount paid or payable by the State to the State contractor under the contract, for work by the employees in the employment category, for services provided during the Report Period.