

RESPONSIBILITY QUESTIONNAIRE

INSTRUCTIONS:

Please complete this form answering every question. A “Yes” answer to any question requires a written explanation attached to the questionnaire and submitted on company letterhead signed by an officer of the company.

All new mailing list applicants are required to complete this form at the time of application. Companies are responsible for updating information in their Responsibility Questionnaire as changes occur. Any vendor recommended for award on a New York State contract will be required to have this form on file prior to the award date.

QUESTIONS:

Within the past five years, has your firm, any affiliate, any owner or officer or major stockholder (5% or more shares) or any person involved in the bidding or contracting process been the subject of any of the following:

- (a) a judgment or conviction for any business-related conduct constituting a crime under local, state or federal law including, but not limited to, fraud, extortion, bribery, racketeering, price-fixing, or bid collusion? _____ YES _____ NO
- (b) a criminal investigation or indictment for any business-related conduct constituting a crime under local, state or federal law including, but not limited to, fraud, extortion, bribery, racketeering, price-fixing, or bid collusion? _____ YES _____ NO
- (c) an unsatisfied judgment, injunction or lien obtained by a government agency including, but not limited to, judgments based on taxes owed and fines and penalties assessed by any government agency? _____ YES _____ NO
- (d) an investigation for a civil violation by any local, state or federal agency? _____ YES _____ NO
- (e) a grant of immunity for any business-related conduct constituting a crime under local, state or federal law including, but not limited to, fraud, extortion, bribery, racketeering, price-fixing, or bid collusion? _____ YES _____ NO
- (f) a local, state, or federal suspension, debarment or termination from the contract process? _____ YES _____ NO
- (g) a local, state or federal contract suspension or termination for cause prior to the completion of the term of a contract? _____ YES _____ NO
- (h) a local, state, or federal denial of award for non-responsibility? _____ YES _____ NO
- (i) an agreement to a voluntary exclusion from bidding/contracting? _____ YES _____ NO
- (j) an administrative proceeding or civil action seeking specific performance or restitution in connection with any local, state or federal contract? _____ YES _____ NO
- (k) a State Labor Law violation deemed willful? _____ YES _____ NO
- (l) a firm-related bankruptcy proceeding? _____ YES _____ NO
- (m) a sanction imposed as a result of judicial or administrative proceedings relative to any business or professional license? _____ YES _____ NO
- (n) a denial, decertification, revocation or forfeiture of Women’s Business Enterprise, Minority Business Enterprise or Disadvantaged Business Enterprise status? _____ YES _____ NO

- (o) a rejection of a low bid on a local, state or federal contract for failure to meet statutory affirmative action or M/WBE requirements on a previously held contract? _____ YES _____ NO
- (p) 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 government laws? _____ YES _____ NO
- (q) an occupational Safety and Health Act citation and Notification of Penalty containing a violation classified as serious or willful? _____ YES _____ NO
- (r) a rejection of a bid on a New York State contract for failure to comply with the MacBride Fair Employment Principles? _____ YES _____ NO
- (s) a citation, notice, violation order, pending administrative hearing or proceeding or determination for violations of:
- federal, state or local health laws, rules or regulations
 - unemployment insurance or workers' compensation coverage or claim requirements
 - ERISA (Employee Retirement Income Security Act)
 - federal, state or local human rights laws
 - federal or state security laws
 - federal INS and Alienage laws
 - Sherman Act or other federal anti-trust laws
- _____ YES _____ NO

NOTES:

Information on the following additional topics should also be submitted with this questionnaire. Check "none" if topic does not apply.

- (1) agency complaints or reports of contract deviation received within the past two years for contract performance issues arising out of a contract with any federal, state or local agency? _____ NONE
- (2) disputes within the past two years concerning your company's failure to provide commodities or services to political subdivisions within the past two years pursuant to centralized contracts with the New York State Office of General Services? _____ NONE
- (3) Employee Identification No., Social Security No., Name, DBA, trade name or abbreviation previously or currently used by your business which is different from that listed on your mailing list application form? _____ NONE

CERTIFICATION:

The undersigned: recognizes that this questionnaire is submitted for the express purpose of assisting the State of New York or its agencies or political subdivisions to make a determination regarding either an application for placement on mailing lists or the status of an existing mailing list entry or to award a contract or approve a subcontract; acknowledges that the State or its agencies and political subdivisions 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 of up to \$10,000 or imprisonment of up to five years under 18 USC Section 1001; and states that the information submitted in this questionnaire and any attached pages is true, accurate and complete.

Name of Business

Signature of Officer

Address

Typed Copy of Signature

City, State, Zip

Title