



Health Services
Request for Proposals
RFP C161877
Electronic Health Records (EHR)
Issued: 9/9/2026

DESIGNATED CONTACTS:

Pursuant to State Finance Law §139-j and §139-k, the Department of Corrections and Community Supervision identifies the following designated contacts to whom all communications concerning this procurement must be made. See **Section 1.7.1** for additional information.

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Appendices

The following appendices are included with this Solicitation:

- A. Standard Clauses for NYS Contracts
- B. General Specifications

Exhibits

The following exhibits are included with this Solicitation:

- A. DOCCS Geographical Map and Facilities Listing
- C. Non-Disclosure Agreement (for the awarded Bidder)
- D. Consultant Disclosure Reporting Requirements (for the awarded Bidder)
- E. Business Associate Agreement (for the awarded Bidder)

Attachments

The following attachments pertain to this Solicitation:

- 1. No-Bid Form
- 2. Submission Checklist
- 3. Bidder's Certified Statements
- 4. Diversity Practices Questionnaire
- 5. Cost Proposal
- 6. Non-Collusive Bidding Certification
- 7. Vendor Assurance of No Conflict of Interest or Detrimental Effect
- 8. Procurement Lobbying Certification and Disclosure of Prior Non-Responsibility Determination
- 9. Sexual Harassment Prevention Policy Certification (State Finance Law §139-l Certification)
- 10. Gender-Based Violence Prevention Policy Certification (State Finance Law §139-m Certification)
- 11. Executive Order 16 Prohibiting State Agencies and Authorities from Contracting with Businesses Conducting Business in Russia
- 12. Executive Order 177 Prohibiting Contracts with Entities that Support Discrimination
- 13. Vendor Responsibility Attestation
- 14. Encouraging Use of New York Businesses in Contract Performance
- 15. MWBE and EEO Policy Statement
- 16. Equal Employment Opportunity Staffing Plan (EEO100)

1.0 INTRODUCTION AND ADMINISTRATIVE INFORMATION

Through this Request for Proposals (“RFP”, “Solicitation”), the New York State (“State”, “NYS”) Department of Corrections and Community Supervision (“DOCCS”, “The Department”) is seeking competitive proposals from qualified Vendors to provide **Electronic Health Records** in accordance with the requirements specified in this solicitation as further detailed in [Section 4.0 - Scope of Work](#) and any resulting contract. It is the Department’s intent to award **1 contract** from this procurement. Vendors entering into a Contract with the State are expected to comply with all terms and conditions contained herein.

For purposes of this Solicitation:

- a. The terms “bidders”, “vendors”, “offerors”, and “contractors” are used interchangeably.
- b. The use of the terms “shall”, “must” and “will” are used interchangeably when describing the Contractor’s/Bidder’s duties.
- c. The terms “proposal” and “bid” are used interchangeably herein and shall have the same meaning.
- d. The name of this agency, NYS Department of Corrections and Community Supervision, is used interchangeably herein with “the Department” and “DOCCS”.

1.1 Calendar of Events

RFP C161877 - ELECTRONIC HEALTH RECORDS	
<u>EVENT</u>	<u>DATE</u>
Issuance of Request for Proposals	09/09/26
Deadline for Submission of Written Questions	No later than 3:00 p.m. EST 09/23/26
Responses to Written Questions Posted by DOCCS	On or about 10/7/26
Deadline for Submission of 2 nd Round of Written Questions	No later than 3:00 p.m. EST 10/14/26
Responses to 2 nd Round of Written Questions Posted by DOCCS	On or about 10/21/26
Deadline for Submission of Proposals/Bid Opening	No later than 3:00 p.m. EST 11/4/26
<u>Anticipated</u> Contract Start Date	June 1, 2027

NOTE: This is a tentative timetable which may ONLY be modified to address the State’s needs.

1.2 Submission of Written Questions

It is the Bidder’s responsibility to ensure email(s) containing written questions, including requests for clarification and/or requests for bid exceptions, are received no later than the Deadline for Submission of Written Questions as specified in [Section 1.1 - Calendar of Events](#). Questions received after the deadline may not be answered.

All written questions must be emailed to the Designated Contact(s) listed on the cover page of this solicitation, with “RFP 2025-49” in the subject line. Where applicable, your email should cite the

particular RFP Section and paragraph number relevant to your inquiry.

Official answers to all written questions will be advertised as an addendum and posted in the New York State Contract Reporter (NYSCR) (<http://www.nyscr.ny.gov/>) on or about the date listed in **Section 1.1 Calendar of Events**. Only answers provided by addendum are considered official. Any amendments, clarifications, responses to questions, and updates to this Solicitation will be posted on the NYSCR as addenda. The addenda will become part of the ensuing Contract(s). It is each bidder's responsibility to visit the above website prior to submitting a bid to determine if any addenda have been issued regarding this solicitation.

Further, if the bidder discovers any ambiguity, conflict, discrepancy, omission, or other error in this RFP, the Bidder shall immediately notify DOCCS of such error in writing to the Designated Contacts for this Solicitation and request clarification or modification of the document. If, prior to the Deadline for Submission of Proposals, a Bidder fails to notify DOCCS of a known error or an error that reasonably should have been known, the Bidder shall assume the risk of proposing. If awarded the contract, the bidder shall not be entitled to additional compensation by reason of the error or its correction.

Any Addendum issued prior to the bid due date must be acknowledged by signature, dated, and be submitted on or before the bid due date. In awarding a contract any written addenda will become a part thereof.

Any verbal information obtained from, or statements made by, representatives of the Department shall not be construed as in any way amending contract documents. Only such corrections or addenda as are issued in writing shall become a part of the contract.

1.3 Incurred Costs

DOCCS shall not be held liable for any costs incurred by the Vendor:

- in the preparation, production, or submission of a proposal, or for any work performed by a Vendor prior to the approval of an award Agreement.
- in modifying or explaining details of the Vendor's proposal in response to questions from DOCCS.
- for any negotiations with DOCCS required to finalize and sign a formal Agreement document.

1.4 Examination of Solicitation and Contract Documents

Each Bidder is under an affirmative duty to inform itself by personal examination of the specifications of the proposed work and by such other means as it may select, of the character, quality, and extent of the work to be performed and the conditions under which the contract is to be executed.

Each Bidder shall examine specifications and all other data or instruction pertaining to the work. No pleas of ignorance of conditions that may be encountered or of any other matter concerning the work to be performed in the execution of the contract will be accepted by the State as an excuse for any failure or omission on the part of the Bidder to fulfill every detail of all the requirements of the documents governing the work. The Bidder, if awarded the contract, will not be allowed any extra compensation by reason of any matter or thing concerning which such Bidder might have fully informed itself prior to bidding.

1.5 Freedom of Information Law (“FOIL”) / Trade Secrets

All proposals may be disclosed or used by DOCCS to the extent permitted by law. DOCCS may disclose a proposal to any person for the purpose of assisting in evaluating the proposal or for any other lawful purpose. All proposals will become State agency records, which will be available to the public in accordance with the Freedom of Information Law. **Any portion of the proposal a Bidder believes constitutes proprietary information entitled to confidential handling, as an exception to the Freedom of Information Law, must be clearly and specifically designated in the proposal as directed in [Section 5.1](#).** If DOCCS agrees with the proprietary claim, the designated portion of the proposal will be withheld from public disclosure. Blanket assertions of proprietary material will not be accepted, and failure to specifically designate proprietary material may be deemed a waiver of any right to confidential handling of such material.

1.6 Ethics Compliance

All Vendors and their employees must comply with the requirements of §73 and §74 of the Public Officers Law, other State codes, rules, regulations, and executive orders establishing ethical standards for the conduct of business with New York State. In signing the Contract, the Contractor certifies full compliance with those provisions for any present or future dealings, transactions, sales, contracts, services, offers, relations, etc., involving New York State and/or its employees. Failure to comply with such provisions may result in disqualification from the bidding process, termination of contract, and/or other civil or criminal proceedings as required by law.

1.6.1 State Employees

Contractors, consultants, vendors, and subcontractors may hire former State Agency or Authority employees. However, as a general rule and in accordance with New York Public Officers Law, former employees of the State Agency or Authority may neither appear nor practice before the State Agency or Authority, nor receive compensation for services rendered on a matter before the State Agency or Authority, for a period of two (2)

following their separation from State Agency or Authority service. In addition, former State Agency or Authority employees are subject to a “lifetime bar” from appearing before the State Agency or Authority or receiving compensation for services regarding any transaction in which they personally participated or which was under their active consideration during their tenure with the State Agency or Authority.

The Contractor and its subcontractors shall not engage any person who is, or has been at any time, in the employ of the State to perform services in violation of the provisions of the New York Public Officers Law, other laws applicable to the service of State employees, and the rules, regulations, opinions, guidelines, or policies promulgated or issued by the New York State Joint Commission on Public Ethics, or its predecessors (collectively, the “Ethics Requirements”). The Contractor certifies that all of its employees and those of its subcontractors who are former employees of the State and who are assigned to perform services under this Contract shall be assigned in accordance with all Ethics Requirements.

During the Contract term, no person who is employed by the Contractor or its subcontractors and who is disqualified from providing services under this Contract pursuant to any Ethics Requirements may share in any net revenues of the Contractor or its subcontractors derived from this Contract. The Contractor shall identify and provide the State with notice of those employees of the Contractor and its subcontractors who are former employees of the State that will be

assigned to perform services under this Contract, and make sure that such employees comply with all applicable laws and prohibitions.

The State may request that the Contractor provide it with whatever information the State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics. The State shall have the right to withdraw or withhold approval of any subcontractor if utilizing such subcontractor for any work performed here under would be in conflict with any of the Ethics Requirements. The State shall have the right to terminate this Contract at any time if any work performed hereunder is in conflict with any of the Ethics Requirements.

1.6.2 Vendor Assurance of No Conflict of Interest or Detrimental Effect

Bidders responding to this solicitation should submit **Attachment 7 – Vendor Assurance of No Conflict of Interest or Detrimental Effect** to attest that their performance of the services outlined in this RFP does not create a conflict of interest and that the Bidder will not act in any manner that is detrimental to any other State project on which they are rendering services.

1.6.3 Non-Disclosure Agreement

Upon contract award, the vendor will be required to sign a non-disclosure agreement (see **Exhibit [C] – Non-Disclosure Agreement**).

- a. **No Use** – Recipient agrees not to use the confidential information in anyway, except for the purpose of the projects or assignments they are performing for DOCCS.
- b. **No Disclosure** – Recipient agrees to use its best efforts to prevent and protect the confidential information, or any part thereof, from disclosure to any person other than Recipient's employees and/or consultants designated by DOCCS having a need of disclosure in connection with Recipients' authorized use of the confidential information. This includes employees and consultants that may not be directly working on the project or job. Recipient agrees not to disclose the nature of the work to any third party without prior written DOCCS consent. In circumstance where the signer of this document is representing a Recipient with more than one employee, the Recipient also agrees all of its current and future staff who may be involved in the relationship with DOCCS have been and will be instructed in the requirements of this agreement.
- c. **Protection of Secrecy** – Recipient agrees to take all steps reasonably necessary to protect the secrecy of the confidential information, and to prevent the confidential information from falling into the public domain or into the possession of unauthorized persons. Such steps shall include keeping Confidential Information stored in a locked office/facility where only authorized personnel would have access.

1.6.4 Business Associate Agreement

Upon Contract award, the vendor will be required to sign a Business Associate Agreement (see **Exhibit [E]**) demonstrating their commitment to protecting sensitive data in accordance with applicable privacy laws, rules, regulations, and DOCCS directives.

1.6.5 Health Insurance Portability and Accountability Act (HIPAA)

Contractor agrees all medical information/records will be kept confidential by all employees as well as subcontractors in accordance with applicable State and federal laws, including but not

limited to the Health Insurance Portability and Accountability Act of 1996 (“HIPAA”) and the regulations thereunder. In addition, the Contractor will also be subject to any NYS laws, rules, regulations, or DOCCS directives concerning confidentiality of medical records.

1.7 Forms Pertaining to New York State Finance Law (STFL)

1.7.1 STFL Sections 139-j and 139-k; Procurement Lobbying Certification

Bidders responding to this RFP should submit **Attachment 9 – Procurement Lobbying Certification and Disclosure of Prior Non-Responsibility Determination**.

Pursuant to State Finance Law §139-j and §139-k the Department of Corrections and Community Supervision identifies Designated Contact(s), on the cover page of this RFP, to whom all communications attempting to influence the Department of Corrections and Community Supervision conduct or decision regarding this procurement, and communications related to the submission of written proposals, pre-bid questions, and debriefings must be made.

Please be advised, State law prohibits any vendor from exerting or attempting to exert any improper influence relating to its proposal. “Improper influence” means any attempt to achieve preferential, unequal, or favored consideration of a proposal based on considerations other than the merits of the proposal, including but not limited to any conduct prohibited by the Ethics in Government Act, as set forth in Public Officers Law §73 and §74.

“Restricted period” means the period of time commencing with the earliest written notice, advertisement, or solicitation of a Request for Proposals (“RFP”), Invitation for Bids (“IFB”), or solicitation of proposals, or any other method for soliciting a response from Bidders intending to result in a procurement contract with DOCCS and ending with the final contract award and approval by DOCCS and, where applicable, final contract approval by the Office of the State Comptroller.

This prohibition applies to any oral, written, or electronic communication under circumstances where a reasonable person would infer that the communication was intended to influence this procurement. Violation of any of the requirements described in this Section may be grounds for a determination that the bidder is non-responsible and therefore ineligible for this contract award. Two (2) violations within four (4) years of the rules against impermissible contacts during the “restricted period” may result in the violator being debarred from participating in DOCCS procurements for a period of four (4) years.

1.7.2 STFL Section 139-l; Sexual Harassment Prevention Certification

Pursuant to New York State Finance Law §139-l, every bid made on or after January 1, 2019 to the State or any public department or agency 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, and where otherwise required by such public department or agency, shall contain a certification that the bidder has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees (**Attachment 10 – Sexual Harassment Prevention Policy Certification**). Such policy shall, at a minimum, meet the requirements of New York State Labor Law §201-g: <https://www.nysenate.gov/legislation/laws/LAB/201-G>.

New York State Labor Law §201-g provides requirements for such policy and training and directs the Department of Labor, in consultation with the Division of Human Rights, to create and publish

a model sexual harassment prevention guidance document, sexual harassment prevention policy and sexual harassment prevention training program that employers may utilize to meet the requirements of New York State Labor Law §201-g. The model sexual harassment prevention policy, model sexual harassment training materials, and further guidance for employers, can be found online at the following URL: <https://www.ny.gov/combating-sexual-harassment-workplace/employers>.

Pursuant to New York State Finance Law §139-l, any bid by a corporate bidder containing the certification required above shall be deemed to have been authorized by the board of directors of such bidder, and such authorization shall be deemed to include the signing and submission of such bid and the inclusion therein of such statement as the act and deed of the bidder.

If the Bidder cannot make the required certification, such Bidder shall so state and shall furnish with the bid a signed statement that sets forth in detail the reasons that the Bidder cannot make the certification. After review and consideration of such statement, DOCCS may reject the bid or may decide that there are sufficient reasons to accept the bid without such certification.

1.7.3 STFL Section 139-m; Gender-based Violence Prevention Certification

Pursuant to New York State Finance Law § 139-M, every bid made on or after November 5, 2025 to the State or any public department or agency 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 following statement subscribed by the bidder and affirmed by such bidder as true under the penalty of perjury:

"By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that the bidder has and has implemented a written policy addressing gender-based violence and the workplace and has provided such policy to all of its employees, directors and board members. Such policy shall, at a minimum, meet the requirements of subdivision 11 of section five hundred seventy-five of the executive law."
<https://www.nysenate.gov/legislation/laws/EXC/575>

The statement required by New York State Finance Law § 139-M subdivision 1.a may be submitted electronically in accordance with the provisions of New York State Finance Law § 163 subdivision 7 (**Attachment 11 – Gender-Based Violence Prevention Policy Certification**).

A bid shall not be considered for award, nor shall any award be made to a bidder who has not complied with this section; provided, however, that if the bidder cannot make the foregoing certification, such bidder shall so state and shall furnish with the bid a signed statement which sets forth in detail the reasons therefor.

Any bid hereafter 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 such bid contains the statement required by this section, shall be deemed to have been authorized by the board of directors of such bidder, and such authorization shall be deemed to include the signing and submission of such bid and the inclusion therein of such statement as the act and deed of the corporation.

1.7.4 STFL Section 163(4)(g): Consultant Disclosure Provisions

In accordance with New York State Finance Law § 163(4)(g), State agencies must require all contractors, including subcontractors, that provide consulting services for State purposes pursuant to a contract to submit an annual employment report for each such contract. See **Appendix A**, clause 23 for more information.

State Consultant Services Form A, Contractor's Planned Employment:

The successful bidder 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. Form A can be accessed electronically at <http://www.osc.state.ny.us/agencies/forms/ac3271s.doc>

State Consultant Services Form B, Contractor's Annual Employment Report:

The successful bidder 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. Form B can be accessed electronically at <http://www.osc.state.ny.us/agencies/forms/ac3272s.doc>

1.8 NYS Executive Orders

1.8.1 Executive Order 16 – Prohibiting State Agencies and Authorities from Contracting with Businesses Conducting Business in Russia

[Executive Order No. 16](#), dated March 17, 2022, requires State agencies to refrain from entering into any new contract or renewing any existing contract with an entity conducting business operations in Russia. By submission of a response to this solicitation the Bidder certifies that the Bidder is not an entity conducting business operations in Russia, as those terms are defined in the Executive Order No. 16. (See **Attachment 13 – EO16**).

1.8.2 Executive Order 177 - Prohibiting Contracts with Entities that Support Discrimination

The New York State Human Rights Law, Article 15 of the Executive Law, prohibits discrimination and harassment based on age, race, creed, color, national origin, sex, pregnancy or pregnancy-related conditions, sexual orientation, gender identity or expression, disability, marital status, familial status, domestic violence victim status, prior arrest or conviction record, military status or predisposing genetic characteristics. In accordance with Executive Order No. 177 dated February 3, 2018, the Offeror certifies they do not have institutional policies or practices that fail to address those protected status under the Human Rights Law (**Attachment 14 – EO177 Certification**).

1.9 DOCCS' Reserved Rights

The State of New York DOCCS reserves the rights for the following:

- a. Withdraw the RFP at any time, at the agency's sole discretion;
- b. Prior to the bid opening, amend the RFP specifications to correct errors or oversights, or to supply additional information, as it becomes available;
- c. Prior to the bid opening, direct bidders to submit proposal modifications addressing subsequent RFP amendments;

- d. Change any of the scheduled dates;
- e. Modify any part of this RFP, including but not limited to, the date and time by which proposals must be submitted and received by DOCCS, at any time prior to the Deadline for Submission of Proposals listed in [Section 1.1 - Calendar of Events](#). Prior to the Deadline for Submission of Proposals, any such clarifications or modifications as deemed necessary by DOCCS will be posted to the NYSCR;
- f. Reject any or all proposals received in response to the RFP;
- g. Use proposal information obtained through site visits, management interviews and the state's investigation of a bidder's qualifications, experience, ability or financial standing, and any material or information submitted by the bidder in response to the agency's request for clarifying information in the course of evaluation and/or selection under the RFP;
- h. Disqualify any bidder whose conduct and/or proposal fails to conform to the requirements of the RFP;
- i. Eliminate any mandatory, non-material specifications that cannot be complied with by all of the prospective bidders;
- j. Waive any requirements that are not material;
- k. Seek clarifications and revisions of proposals;
- l. Require clarification at any time during the procurement process and/or require correction of arithmetic or other apparent errors for the purpose of assuring a full and complete understanding of an offeror's proposal and/or to determine an offeror's compliance with the requirements of the solicitation;
- m. Negotiate with the successful bidder within the scope of the RFP in the best interest of the State;
- n. Conduct contract negotiations with the next responsible bidder, should the Department be unsuccessful in negotiating with the selected bidder;
- o. Utilize any and all ideas submitted in the proposals received;
- p. Determine if a product/service is "equal" to bid specifications. DOCCS also reserves the right to have the flexibility to consider bids with minor deviations or technicalities and to waive minor deviations or technicalities if consistent with the intent and scope of the solicitation. The flexibility may permit a reasonable outcome in cases where the results of a fair, competitive process are clear, but the award of a contract is threatened due to a minor technicality or a minor deviation;
- q. Make an award under the RFP in whole or in part;
- r. Not make an award under this solicitation; and
- s. Request best and final offers. In the event DOCCS exercises this right, all Bidders that submitted a proposal that are susceptible to award will be asked to provide a best and final offer. Bidders will be informed that should they choose not to submit a best and final offer, the offer submitted with their proposal will be construed as their best and final offer.

2.0 OVERVIEW

2.1 Glossary of Terms

<u>Term</u>	<u>Definition</u>
AG	NYS Attorney General's Office
BIDDER / OFFEROR / PROPOSER / VENDOR / CONTRACTOR	Any person, partnership, firm, corporation, or other authorized entity submitting a proposal seeking to enter into a contract with the State pursuant to this RFP.

COMMISSIONER	Commissioner of the Department of Corrections and Community Supervision or duly authorized representative.
COMMUNITY SUPERVISION	Community Supervision is the program area within the Department responsible for the post-release supervision of released individuals.
DOCCS / THE DEPARTMENT	NYS Department of Corrections and Community Supervision.
ISSUING OFFICE	Department of Corrections and Community Supervision, Division of Supply Port Operations/Contract Procurement Unit
NYSID	New York State Identification Number (NYSID) is a unique identifier assigned to an individual by the New York State Division of Criminal Justice Services (DCJS).
OSC	Office of the NYS Comptroller.
PRIME CONTRACTOR	One who has the contract with the owner of a project or job and has full responsibility for its completion. A prime contractor undertakes to perform a complete contract and, when permitted, may employ (and manage) one or more subcontractors to carry out specific parts of the contract.
PROPOSAL / BID	Documentation from participating Vendors that provides the necessary information requested by the RFP.
REGIONS AND BUREAUS	A group of administrative offices and field supervision bureaus located within a designated geographic area.
RELEASEE	An individual released from incarceration and required to satisfy a period of community supervision.
RFP	Request for Proposal; this solicitation document.
RESTRICTED PERIOD	The period of time commencing with the earliest written notice, advertisement, or solicitation of a Request for Proposals ("RFP"), Invitation for Bids ("IFB"), or solicitation of proposals, or any other method for soliciting a response from Bidders intending to result in a procurement contract with DOCCS and ending with the final contract award and approval by DOCCS and, where applicable, final contract approval by the Office of the State Comptroller.
SUBCONTRACTOR	A business or person that carries out work for a company as part of a larger project. (Subcontracting is not permitted under this procurement.)

2.2 **Background**

The Mission of DOCCS is to improve public safety by providing a continuity of appropriate treatment services in safe and secure facilities where the needs of the incarcerated population are addressed and where individuals under its custody are successfully prepared for release and parolees under

community supervision receive supportive services that facilitate the successful completion of their sentence.

The New York State Department of Corrections and Community Supervision (DOCCS), guided by the Departmental Mission, is responsible for the confinement and rehabilitation of approximately 33,750 individuals under custody held at 41 state correctional facilities located throughout New York State. DOCCS is responsible for providing health care for incarcerated individuals within the correctional facilities 24 hours a day, 7 days a week. DOCCS seeks to adopt an Electronic Health Record (EHR) system to enhance patient care quality, improve operational efficiency, ensure regulatory compliance and reduce long-term costs.

2.3 Purpose and Objectives

DOCCS seeks an integrated EHR solution to maintain thorough digital patient and clinic records to include patient demographics, physician treatment records, dental records, patient directives, medications, history, and methods of treatment.

The offeror's solution must detail the following elements: system design, data migration, development, implementation, testing, conversion, training, and documentation required to implement the solution. This solution must be easy to navigate, and accessible to DOCCS personnel while working on-site and off-site at the current 41 correctional facilities and Central Office.

2.4 Term of Agreement

The contract term is for 7 years with a 2-year implementation period then 5 years. The contract resulting from this RFP will commence on the date above in **Section 1.1 - Calendar of Events** or upon approval by the Office of the New York State Comptroller, whichever comes later, subject to the availability of sufficient funding, successful contractor performance, and approvals from the New York State Office of the Attorney General (OAG) and the Office of the State Comptroller (OSC).

2.5 Subcontracting

Bidders may propose the use of a subcontractor. The Contractor shall obtain prior written approval from DOCCS before entering into an Agreement for services to be provided by a subcontractor. The Contractor is solely responsible for assuring the requirements of the RFP are met. All subcontracts shall contain provisions specifying that the work performed by the subcontractor must be in accordance with the terms of the prime contract, and that the subcontractor specifically agrees to be bound by the confidentiality provisions set forth in the Agreement between DOCCS and the Contractor. DOCCS reserves the right to request removal of any Bidder's staff or subcontractor's staff if, in DOCCS' discretion, such staff are not performing in accordance with the Agreement. Subcontractors whose contracts are valued at or above \$100,000 will be required to submit the Vendor Responsibility Questionnaire upon selection of the Prime Contractor.

Any known/planned use of subcontractors must be disclosed in detail with the bid submission. If subcontractors are to be used for base scope services, it shall be understood that the bid price includes the cost of the subcontractor and no additional markups will be allowed. The Contractor's use of subcontractors shall not diminish the Contractor's liabilities or obligations in this RFP or resultant Contract. The Contractor shall coordinate and control the work of the subcontractors.

3.0 BIDDER QUALIFICATIONS TO PROPOSE

3.1 Minimum Qualifications

Vendors interested in participating in the RFP must meet the qualifications outlined in this Section.

DOCCS will accept proposals from organizations with the following types and levels of experience as a prime contractor:

- a) Offeror must have at least five (5) years of experience developing electronic health records systems, including: development of an EHR capable of interfacing with multiple systems and the provision of consulting and technical support to large businesses entities and/or correctional systems with multiple geographical locations.
- b) Additionally, offeror must have at least five (5) years of experience successfully managing data migration from a legacy system where the Offeror specifically lead the design and implementation.
- c) Offeror must have developed and implemented an electronic health records system for at least four (4) different customers, and two (2) must have been within an institutional setting (examples; prison systems, nursing homes, hospitals, etc.).

For the purposes of this RFP, a prime contractor is defined as one who has the contract with the owner of a project or job and has full responsibility for its completion. A prime contractor undertakes to perform a complete contract and, if permitted, may employ (and manage) one or more subcontractors to carry out specific parts of the contract.

Failure to meet these Minimum Qualifications will result in a proposal being found non-responsive and eliminated from consideration. Required evidence of qualifications are listed in [Section 5.1.A Mandatory Submissions](#). For minimum qualifications that do not have specific documentation, a statement explaining how your organization meets the minimum requirement is required.

3.2 Vendor Responsibility

Section 163(9)(f) of the New York State Finance Law requires that a state agency make a determination that a Bidder is responsible before awarding that bidder a state contract. All proposals are subject to a Vendor Responsibility determination before the award is made, and the determination can be revisited at any point up to the final approval of the contract by the NYS Office of the State Comptroller (OSC). Vendors must maintain their Vendor Responsibility throughout the duration of the contract.

Bidders should complete, certify, and file a New York State Vendor Responsibility Questionnaire. Questionnaires in the VendRep System that have been completed in the last six (6) months in response to contracts or bid announcements do not need to be updated. **Confirmation of completion of the vendor responsibility process should be submitted with your Administrative Proposal.** Bidders may submit **Attachment 15 - Vendor Responsibility Attestation**, or Bidders using the Online Questionnaire may go to the bottom of their certified questionnaire, click the button called "Form Overview", and print the subsequent page to include with their proposal.

DOCCS recommends that vendors file the required Vendor Responsibility Questionnaire online via the New York State VendRep System. To access the VendRep System to enroll or update your existing online questionnaire, click [Online Questionnaire](#).

Vendors opting to complete and submit a paper questionnaire can obtain the appropriate

questionnaire from the VendRep website, <https://www.osc.state.ny.us/state-vendors/vendrep/vendor-responsibility-forms>, or may contact the Office of the State Comptroller's Help Desk for a copy of the paper form.

Vendors must provide their New York State Vendor Identification Number when enrolling. To request a Vendor Identification Number or for direct VendRep System user assistance, contact the OSC Help Desk at 866-370-4672 or 518-408-4672 or by email at itservicedesk@osc.ny.gov.

4.0 SCOPE OF WORK

This section describes the services required to be provided by the selected Vendor. The selected Contractor must be able to provide all these services, at minimum, throughout the contract term. The Contractor must comply with federal, state, local, and DOCCS regulations in the performance of the Contract resulting from this Solicitation.

PLEASE NOTE: As part of the Technical Proposal, Bidders are requested to provide responses that address all the requirements of this RFP (see [Section 5.2](#)).

DOCCS seeks an integrated EHR solution to maintain thorough digital patient and clinic records to include, but not limited to patient demographics, physician treatment records, dental records, patient directives, medications, history, and methods of treatment.

4.1 SUPPLIES AND/OR SERVICES REQUIRED

4.1.1 Software

The EHR software must be compatible (but not limited to compatibility) with the following systems:

- KALOS CIPS, Fusion (or any other Pharmacy Management Software)
- Nexgen DXScript
- Pharmacy Automation Software and Hardware
- Bioreference Care Evolve
- Prestige Medical Imaging Picture Archiving Communications System (or any other PAC system)
- DOCCS Mainframe Systems
- DOCCS COTS
- Open Systems Applications
- ClaimConnect (cloud-based healthcare claims payment system)

The software must also:

- Support medical device integration such that data are incorporated seamlessly from medical devices into the EHR.
- Ensure compliance with all applicable federal and state regulations
- Support/provide algorithms based on peer reviewed processes that help generate treatments, alerts, and diagnoses.
- Support Telehealth.
- Support population health analytics and management.
- Provide Predicative Modeling from clinical data.
- Provide Business intelligence data for clinical and financial management.

- Be accessible remotely by selected providers (e.g. telehealth providers caring for a patient remotely).

4.1.2 Interfaces

- The Offeror's solution must ensure that all data exchanges, including inbound and outbound interfaces, comply with industry standards (e.g. Health Level 7 [HL7], Fast Healthcare Interoperability Resources [FHIR]).
- The Offeror's solution must interface with, but not be limited to the following systems:
 - DOCCS Mainframe, DOCCS Open System Applications, ClaimConnect and/or DOCCS COTS.
- The Offeror's solution must provide a bi-directional interface to import data elements such as new bookings, housing locations, and releases along with other demographic information including pictures.
- Pharmacy Management System (CIPS – Current).
- The Offeror's solution must provide a bi-directional interface to import and export medication orders and various medication information.
- Laboratory Information System (BioReference, or any other related service vendor).
- The Offeror's solution must provide a bi-directional interface to import and export lab orders/results.
- Lab results will be fully integrated within EHR system and each patient's chart.
- Individual lab results values must be stored for later reporting and graphing.
- PACS (currently Cloud 9).
- The Offeror's solution must provide a bi-directional interface to import and export radiology orders/results and images.
- Radiology results will be fully integrated within EHR system and each patient's chart.
- Health Information Exchange (RHIO).
- The Offeror's solution must provide a bi-directional interface to export CCD/CDA transcripts to RHIOs.

4.1.3 Artificial Intelligence (AI)*

- Offerors' solution should include any optional detailed description of current Artificial Intelligence (AI) components and functionalities, including management and recommended auditing protocols:
 - Ambient clinical documentation (voice-to-text note generation) and any options for voice recording, not just dictation:
 - Support voice-to-text note generation and audio recording beyond basic dictation;
 - Provide tools for note generation, editing and user control;
 - Accept flexible audio sources for correctional clinical environments.
 - AI note recording Options:
 - Deliver real-time transcription during patient interactions;
 - Generate automated clinical summaries;
 - Extract actionable clinical items and follow-ups.
 - Clinical decision support, and analytics:
 - Include predictive analytics for patient deterioration risks;
 - Provide a daily user dashboard to streamline workflows and reduce medical errors.
 - Detailed Dashboard should allow for customized and adjusted views.
 - Correctional Setting:
 - Support specialized correctional workflows including sick-call management;
 - Provide scheduling and coordination tools to help manage and organize outside medical trips.
 - AI Auditing and Governance:

- Offerors' solution must implement systematic auditing procedures to verify the accuracy and integrity of all AI data.

Proved management and recommended auditing protocols for all AI components. *All inclusion of AI supported functions is required to be reviewed by the state prior to inclusion.

4.1.4 Security and Permissions

Security

- Offeror shall comply fully with all security procedures of DOCCS. Offeror acknowledges that such security procedures may vary based on the specific DOCCS correctional facility at which the Offeror is providing services. Offeror agrees that its agents, employees and subcontractors performing services on-site at a DOCCS correctional facility or those with logical access to DOCCS data (i.e. log-in access) shall be required to undergo the State's same security clearances as are required of the employees of the State. Specifically, before any contractor enters a DOCCS facility, each prospective and current employee of the offeror designated to work under any Agreement with DOCCS shall submit identifying information and be fingerprinted. DOCCS shall arrange for the scheduling of fingerprinting. Offeror shall pay the reasonable costs not to exceed \$150.00 per person, of the fingerprinting. Such fingerprints shall be submitted to the Division of Criminal Justice Services for a state criminal history record check and, where authorized the Federal Bureau of Investigation for a national criminal history record check. DOCCS, in its sole discretion, may reject or bar from any DOCCS correctional facility any employee or agent of the offeror or its subcontractors performing work under any agreement resultant from this RFP, and such action by DOCCS shall not relieve the Offeror of the obligation to perform all work in compliance with the terms of any Agreement. In addition, Offeror must perform background checks and document results of their employees who may perform functions with DOCCS.
- The solution will offer the ability to lock records once the user electronically "signs off" on the record.
- The solution shall enforce a limit of consecutive invalid access attempts by a user. The solution shall protect against further, possibly malicious, user authentication attempts using an appropriate mechanism.
- The solution shall provide session management abilities such as prevention of duplicate logins, remote logout, and location-specific session timeouts, etc.
- The solution will offer different levels of security based on user role or site.
- The solution will allow administrator to terminate user connections/sessions (remotely).
- The solution will offer the ability to lockout user (upgrades, employee terminations, etc.)
- The solutions will allow DOCCS the ability to create new security rights/roles based on need.
- Process must be compliant with federal and state laws, such as HIPAA and HITECH and associated updates must be provided in a timely manner, which must protect individually identifiable Health Information (PHI). Offeror shall use appropriate means to preserve and protect State Data. This includes, but is not limited to, use of stable storage Media, regular data backups and archiving, password protection of volumes, and data encryption. All Data transmitted between ITS and the Offeror must comply with NYS ITS Standard NYS-S14-007 Encryption Standard (<http://its.ny.gov/document/encryption-standard>)
- The terms of this section shall apply equally to offeror, officers, agents, employees, and Subcontractors, if any. Offeror agrees that all officers, agents, employees, and Subcontractors, if any, shall be made aware of and shall agree to the terms of this section.

Permissions

- The solution must provide role-based permissions.

- When access to a user's account is restricted or locked, the solution shall provide an administrative mechanism for DOCCS to access necessary data.
- The solution must support the ability for DOCCS to create, manage, maintain and assign roles within the application.

4.1.5 Reporting and Auditing

Reporting

- The solution must include the ability to create and generate reports.
- Ad-hoc reporting capabilities that can be written by staff independent of Offeror assistance.
- The ability to print/export portions of, or an entire health record to both paper and electronic file format for external record requests.
- The solution must provide users with the ability to easily hide all PHI for cases in which a printed call out list is needed.
- Access and work with reports from other components
- Export report data
- Customize business reports
- Utilize flexible query tools capable of building complex queries with multiple conditions
- Provide detailed and summary security audit reports that may be used to track activity by the provider, by the patient, and by activity type
- Track changes to chart documents such as adding or changing clinical values or text via Document Contribution Logging
- Produce patient audit reports and user audit reports

Auditing

- The solution must automatically maintain an audit trail of users, including database administrators, who pass through or view a record, regardless of whether data is changed.
- The solution must ensure the audit trail cannot be modified. Offeror's solution must also ensure that only authorized users have access to systems and audit data.
- The audit trail should be able to be viewed electronically and/or printed with appropriate user, date/time stamp
- Auditing records must be maintained for a term of seven (7) years.

4.1.6 Document Management, Terminology, and Alerts & Notifications

Document Management

- The solution must have the ability to incorporate DOCCS forms and/or encounter templates into the system with and without Offeror assistance; including but not limited to scanned PDFs, custom DOCCS forms with associated meta data, and patient encounter templates
- The solution must have the ability to create/modify forms.
- The solution must have the ability to capture Date/Time/Credentials on every entry.
- The solution must have the ability to capture signatures on forms and/or E-Sign Documents as necessary.
- The solution must include the capability to scan relevant clinical documents or import relevant files/images from community and off-site providers for integration into the appropriate place in the medical record.
- The solution must include the ability to manage tasks by staff person/user.
- The solution must include lab, x-ray, procedure, or diagnostic results and a process for alerting, within the system, the ordering physician of said results.
- The solution must be able to store scanned images, documents and other files in their native electronic data format if requested by DOCCS.

- The solution will integrate with professional document creation and have every field available for merging into a Word, HTML document, or other industry standard documentation technology. For example, but not limited to, the creation of a clinical summary.
- The solution must include the ability to graph clinical parameters over time (e.g. labs, vital signs, BMI).
- The solution must include the use of default range.
- The solution must have capabilities for creating, maintaining, and updating patient problem lists.
- The solution must have capabilities for recording and displaying patient allergies and adverse reactions, including both medications and non-drug agents.
- The solution must include the use of anatomical images for charting.

Terminology

- The solution must have the capability to integrate and use ICD-10 and CPT codes for diagnosis and treatment.

Alerts & Notifications

- The solution must include the ability for facilitating communication between health care staff within the application.
- The solution must have the ability to create, view, and respond to care alerts and flags and receive alerts and flags for encounters, test results, orders, special care alerts, etc.

4.1.7 Workflow, Intake, and Scheduling

Workflow

- The solution must contain DOCCS-specific protocols that allow for medical staff to interactively carry out the protocols.
- The solution's protocols must direct workflow based on the information entered such as automatically creating referrals, assigning tasks to other staff members, initiating or canceling orders, etc.
- The solution must include clinical decision support functionality that would aid in diagnosis and/or appropriate treatment templates

Intake

- The solution must have and support the process of ensuring patients are inputted into the EHR, screened, and processed per DOCCS standards, policy and directives. the capability for intake/reception screening and initial provider orders.

Scheduling

- The solution shall support the planning and booking of all necessary resources associated with the diagnosis, treatment and care management of the patient to include, but not limited to appointment scheduling, auto scheduling based off selected criteria, ability to access entire clinic schedule by DOCCS selected criteria, and support of accountability for patient location in clinic.
- The solution must have scheduling capabilities including clinic scheduling for both on site (inside of DOCCS Facilities) and off-site clinics.
- The solution must allow for individual appointment scheduling, including scheduling, rescheduling and canceling appointments
- The solution must allow for a class of appointments (including specific types of service) that can be scheduled by facility providers.
- The solution must allow for review of referrals (including specific types of service.)
- The solution must allow for a class of referrals that can only be scheduled by authorized users

- The solution must offer a drop-down selection of reasons for cancelled and/or missed appointments and require staff to enter reasons when “other” is selected.

4.1.8 Computerized Provider Order Entry

- The solution must have the capability to electronically transmit medication orders directly to designated pharmacy (CPOE) via interface.
- The solution must include technology used or supported to ensure security of the medication ordering process via dual factor authentication (EPCS).
- The solution must include a provider order entry system “that includes order routing: From entry by a provider to execution of the order (Start to Finish).” The solution’s entry functionality must include admission/updates/discharge orders, chronic care diagnoses order sets, labs, radiology, procedures, medications, verbal, and telephone orders, standing orders for protocols, and special need orders (diets, mental health, etc.).
- The solution must include the ability for providers to use/generate order sets to streamline the order entry process.
- The solution must have the ability to automatically discontinue orders on a specified date.
- The solution must have the ability to recognize and alert for potential adverse reactions or allergies.

Orders/Task Manager

- The solution must have capabilities for providing work (or task) lists that show items needing completion or review such as lab/diagnostic and follow-up items.
- The solution must have priority-based task management capabilities and the ability to generate task lists available to all users and task lists only available to the user that creates them

4.1.9 Modules

eMar

- The solution must include a fully integrated, non-third-party module that includes electronic documentation of administration of medications to patient,
- Solution must include capabilities for barcode scanning, recording, tracking, and auditing medication administration records.
- The solution must include a treatment module.
- The solution must include methods used to make the process of medication administration rapid and efficient with a minimum of mouse clicks, text entry fields, and screens.
- The solution must allow for distinguishing between nurse dispensed medication and medication self-carried (KOP/Keep on person) by patients.
- The solution must include “off-line” capabilities for administration of medication in case of network/internet failure.
- The solution must include capabilities for monitoring and reporting patient compliance percentages with medications as well as individual missed doses.
- The solution must have mobile capabilities and not be solely stationary.

eDental

- The solution must include a fully integrated, non-third-party dental module that has capabilities for documentation and oral examinations, and the ability to interface with dental radiology technology
- The solution must have in-depth capability of graphical and interactive tooth chart.

E-Prescribing

- The solution must provide e-prescribing function for controlled and noncontrolled substances sent via Electronic Data Interchange (EDI)
- The solution must include a drug database updated periodically (no less than monthly).

- The solution must maintain complete records of prescribed medications and automatically transmitted and updated into Pharmacy Management Software (CIPS - Current).
- The solution must be compliant with NYS Public Health Law Section 3302(37).
- The solution must be compliant with NYS Title 10 NYCRR Part 80 Rules and Regulations on Controlled Substances.

4.1.10 Disclosure Management System (DMS)

DOCCS must have a system in place to track the requests and disclosure of protected health information (PHI) by a specific individual/entity. The DMS must minimally contain the HIPAA required elements of an "Accounting of Disclosures" as required by HIPAA. This includes:

- a. The date of the disclosure
- b. The name and address of the entity or person who requested/received the protected health information
- c. A brief description of the information disclosed
- d. A brief statement of the purpose of the disclosure
- e. Ability to include a monetary charge for the request, which accounts for the number of pages (no billing/revenue cycle functionality)
- f. Reports to include:
 - i. Requests that are complete and incomplete ("in process")
 - ii. Requests made at a particular facility for a specific timeframe

Laboratory Requisition

- The solution should include but not be limited to a fully integrated, non-third-party module that allows the user to generate an electronic lab requisition form to be sent to a clinical diagnostic laboratory that identifies the test or tests to be performed for the patient.

Electronic Signature

- The solution must include a fully integrated, non-third-party module that lets patients and staff electronically sign documents including Date/Time/Credentials for the signatory and any co-signatories.

Reference Materials

- The solution must have the ability for provision of patient education, including printing of appropriate material for items such as medications, immunizations, medical or behavioral health conditions, etc.
- The solution must have the ability to create, review, or edit patient education materials.
- The solution must include language alternatives to English for educational materials.

4.2 Cloud Solution

Software process must be compliant with federal and state laws, and associated updates must be provided in a timely manner. Product must be compliant with HIPAA and HITECH laws, in their current form and any future forms, when creating, receiving, maintaining, or transmitting electronic protected health information (ePHI).

Product must maintain compliance with all NYS security standards and procedures for data security. Additionally, Cloud computing is governed by NYS Office of Information Technology Services (ITS) Secure System Development Life Cycle set forth in NYS-S13-0012 or successor.

Must interface with DOCCS IBM DB2 Mainframe and various COTS systems and DOCCS open system applications via real time web service to verify and pull/ push appropriate incarcerated individual information. Software must be Cloud based/web based hosted solution Technical Support plan and Service Level Agreement (SLA).

4.3 Training

Offeror must provide a detailed outline of their training strategy for all categories of users. At a minimum, this should include training of system administrators, super users, clinical and administrative staff, as well as any training guides/resources that will be provided, user forums, and on-going training for existing and new staff, and comprehensive training plan for project implementation based on the functional and technical components of the system. The training plan should address the following elements:

1. A Training Environment to be made available prior to and after project implementation to manage ongoing training needs. Training documentation must be updated periodically to reflect application modifications.
2. Onsite training for System Administrators Administrative Team and Super Users which will include but not be limited to:
 - Technical Training/ installation
 - Application Monitoring and Troubleshooting
 - System Integration and Modifications
 - Account Creation/Termination
 - Interface Monitoring and Maintenance
 - Report Creation/Modification
3. Initial training of all Nurses, MDs, PAs, NPs, Dentists, Clerical Staff prior to deployment. There are approximately 2500-3000 staff that will require initial training. Initial training will consist of familiarizing users with the basic administrative and clinical features of the product and training for integrating the EHR with practice workflow.
4. Implementation training for all users which will include:
 - Go-live training and support during production/conversion
 - Module-specific training sessions
 - Shadow support/training in the initial weeks of implementation.
5. Post-implementation training which will include:
 - Periodic Training for Regional Trainers (Super Users) using a Train-The-Trainer model to reach all end-users. Train-the- trainer sessions in various locations around the state.
 - i. Locations, modalities, dates, times, and attendees will be determined by DOCCS and subject to change per DOCCS.
 - ii. DOCCS utilization review agent, currently based in Harrisburg PA, will be trained
 - iii. Offeror must submit the training plan to DOCCS for review and approval.
 - Training for updates and enhancements to the EHR software as needed and provide release notes
6. Training Materials (to include but not be limited to):
 - Manuals/tutorials (printed and/or online)
 - Videos
 - Short Task Guides
 - Training materials specific to different modules of disciplines (e.g. Dental Training Guide, Nursing Training Guide, Prescriber Training Guide, et al.)
 - Rights to replicate training materials as needed internally to account for staff turnover.

All training materials to be approved by NYSDOCCS prior to deployment. A preliminary training schedule for all aforementioned components must be provided to DOCCS prior to the start of any phase of training. Training materials must reflect the current version of the application. Copies of materials are to be provided in a sufficient quantity to each site to ensure users have easy access to reference material.

4.4 Support

4.4.1 Offeror Shall:

- Address any software defects, gaps, omissions or errors that are discovered in the offeror's work as they pertain to operation in the test or production environment.
- Resolve any configuration, performance or compatibility issues that arise as a result of migration of the Offeror's work to the test or production environment;

- Assist with production issue triage, root cause and remedy analysis and wherever possible.
- Propose workarounds, fixes, patches or remedies (code-based, procedural or environmental).
- Will work with NYS ITS and necessary vendors to triage and resolve application issues. NYS ITS refers to the New York State Office of Information Technology Services. It is a centralized government agency established in 2012 to provide comprehensive IT services, cybersecurity, and strategic technology direction for state agencies, local governments, and partners.
- Provide Help desk support (with physical location in United States) to address connectivity issues, provide on- demand instruction via phone and/or e-mail and communicate hours of operation and response times based on urgency of need
- Provide after-hours contact procedures for support calls
- Detail and document how a customer can escalate a support case if unsatisfied with the response.
- For the duration of the Agreement, the Cloud Solution shall conform to the Cloud Solution Manufacturer's specifications, Documentation, performance standards (including applicable license terms, warranties, guarantees, Service Level Agreements, service commitments, and credits).

4.4.2 Cloud Implementation

Offeror will train DOCCS staff as identified above. Offeror will ensure connectivity to the Cloud Solution and that each user is able to access the Cloud solution. Offeror will work with NYS ITS and DOCCS during all phases of planning and implementation to ensure all standards and policies are executed.

- **Cloud Service Model:** Software as a Service (SaaS)
- **Cloud Deployment Model:** Private Cloud
- **Data Categorization:** Data is classified as High-Risk data due to HIPAA. Offerors not carrying insurance to cover high risk data will be allotted time to obtain appropriate insurance. Insurance must be obtained prior to implementation.
Health data elements include, but are not limited to, incarcerated individual name, DOB, DIN Number, Medicaid CIN number, physical location and all information from a standard medical claim including but not limited to procedure codes, diagnosis codes, CPT codes, ICD10 codes, modifiers, present on admission indicators pricing, place of service, name of provider, provider ID number, Federal Tax ID number, address of provider. Billing data elements including but not limited to check /EFT info, payment voucher info, account codes, and contract info. Will also require updated Medicaid and Medicare rate files.
All data is considered Personal Health Information and is HIPAA protected. System must meet HIPAA and HITECH data standard.
- **Data Ownership:** Offeror acknowledges that DOCCS shall own all rights, title, and interest in Data and agrees that all DOCCS data will be returned to DOCCS if the contract is terminated for any reason. Return of the data includes providing data in an industry standard format, current at the time, either to the DOCCS or to a DOCCS designated contractor and assisting with any required data verification and transfer to ensure data is complete and useable.
- **Data Location:** All Data shall remain in the Continental United States (CONUS).
- **Compliance with NYS Security Policies and Standards:** Offeror shall have Security Policies and Standards based on industry best practices, that include but are not limited to warrants, covenants and represents that it shall comply with all NYS ITS Information Security policies and procedures located at <https://its.ny.gov/tables/technologypolicyindex.htm/security>, this includes but is not limited to:
 - Acceptable Use of Information Technology (IT) Resources Policy
 - Information Security Policy
 - Information Security Controls Standard
 - Encryption Standard

NYS DOCCS RFP 2025-49 Electronic Health Records (EHR)

- Vulnerability Scanning Standard
- Information Security Risk Management Standard
- Patch Management Standard
- Mobile Device Security Standard
- Remote Access Standard
- Sanitization/Secure Disposal Standard
- Secure System Development Life Cycle (SSDLC) Standard
- Security Logging Standard

If the requirements set forth in the solicitation and/or contract are not the same as the NYS ITS policies, then the more restrictive policy applies. NYS DOCCS Directives also contain requirements for information security. However, the most restrictive policy applies. All terms shall apply to contractor, officers, agents, employees, and subcontractors. It is the responsibility of contractor to ensure all entities above are aware and agree to stated terms.

A consensus Assessment Initiative Questionnaire (CAIQ) will be submitted by the contractor annually. A description of the Offerors physical/virtual security and internal controls process is required. Security Logs and Reports formats to be determined. Offeror and DOCCS will create a Security Incidence Response Plan that is in compliance with [ITS Policy NYS- P03-002](#)

- **Maintenance/Support:** Support must be available 24/7, 365 days a year. with a maximum call back time of 1 hour. Maintenance will be performed during off-high volume hours to avoid disruptions during the timeframe the system is in use. Maintenance schedules will be negotiated with DOCCS Central Office after award.
 - **Infrastructure Support Services:** DOCCS must be notified two weeks prior to any Infrastructure support services directly or indirectly access Data must be provided in a off hours approved by DOCCS .
 - **Business Continuity/Disaster Recovery (BC/Dr) Operations:** Offeror must have a business continuity/disaster recovery plan. System cannot be down more than 24 hours in a row. 95% uptime. DOCCS and Offeror will collaborate on a BC/DR plan mutually agreeable to both parties.
 - **Authentication Tokens/User Access:** Users will be assigned a user ID and password. Initially there will be four levels of user security: universal read only, employee, supervisor and superuser (must be able to add additional security levels if requested). User password must be at least 14 characters in length, contain a Capital letter, number and special symbol. User will be prompted to change password every 90 days. Offeror will ensure access will be allowed only from the DOCCS network and non-DOCCS partners as needed and approved only by DOCCS for access. Attempts from a non-approved source to access the EHR will be blocked, logged, and made available through an included system report.
 - **Application Program Interface (API) Or Self Electronic Portal:** Cloud system must interface with all DOCCS data bases, including DOCCS IBM Mainframe, COTS and open system databases via real time web service to verify incarcerated individual location, eligibility, etc.
- a. The Contractor shall be responsible for quality control performance, implementation of intervention measures, and quality assurance throughout the entire contract period.
 - b. At a minimum, the Contractor shall provide 24/7/365 toll-free phone number for any technical support issue and/or service request required by DOCCS.
 - c. The Contractor shall provide end-to-end customer support services for all aspects for Section 4.0 Scope of Work.

4.5 Statement of Work

4.5.1 Cloud Implementation

The offeror will work with DOCCS and NYS ITS to convert any needed data from existing DOCCS databases Mainframe IBM DB2, COTS, and open system applications, etc. and create appropriate interfaces with the DOCCS mainframe, etc. using real time web services to verify such elements as incarcerated individual location and eligibility.

The offeror must provide a dedicated project manager who must provide a project plan to include a draft Acceptance Test developed by the offeror. DOCCS will evaluate this plan for comprehensiveness and reserves the right to make modifications to the plan to meet DOCCS' needs. Failure to successfully complete the Acceptance Test may result in termination of offeror's services and cancellation of the contract. DOCCS shall be the sole determinant of the success of the Acceptance Test. If the initial acceptance test is not successfully accomplished, DOCCS, at its sole discretion, may require a retest of one or more of the acceptance test criteria.

4.5.2 Recurring Services

Continuous back up and preservation of all data. Offeror must be able to demonstrate on a regular basis and as requested by DOCCS the ability to restore data either in full or incremental.

4.5.3 Transfer of Data

Upon the start of the agreement, and throughout the contract as needed, Contractor will upload necessary data from the DOCCS Mainframe (IBM DB2) or any DOCCS Open System or COTS to populate certain data elements into the Contractors cloud solution. Offeror will also need to interface with DOCCS IBM mainframe or any DOCCS Open System or COTS using real time web services for necessary data elements.

Data will be available in report formats defined by DOCCS for verifying transactions as applicable. Although most reports will be utilized electronically, reports must be available in a printable format.

Offeror cannot charge for the transfer of Data unless the charges are provided for in response to this RFP.

In the event this contract ends, and a new vendor is awarded a subsequent contract, offeror will work with DOCCS and the new vendor to transfer data in a technically modern, electronic, and acceptable format to the new vendor. There may be a need for cloud services to overlap during the transition to a new vendor. Offeror must be able to complete a full transfer within 90 business days of DOCCS' notification to Offeror of intent to transfer.

Upon notification from DOCCS, the offeror will destroy data and media used during the contract. Data must be destroyed in accordance with NYS ITS Policies S13-003 and S14-003 or successor. A certification of destruction is required for the data.

4.5.4 Ownership

Offeror acknowledges DOCCS has full ownership of all data in the EHR and agrees that all data will be returned to DOCCS if the contract is terminated for any reason. Return of the data includes providing data in an industry standard, electronic format, current at the time and approved by DOCCS, either to DOCCS or to a DOCCS designated Contractor and assisting with any required data verification and transfer to ensure data is complete and usable.

4.6 Implementation

DOCCS anticipates the implementation of this solution to range between 18-24 months after the purchase is made.

4.6.1 Project Management

- The Offeror shall apply proven project management and system development methodologies to the implementation of the proposed solution. The Offeror shall propose an approach that will satisfy the scope of work and incorporate activities required. The Offeror shall adhere to

the Project Management Institute (PMI) or similar project management standards and approach throughout the contract term and will be required to deliver a Project Management Plan (PMP) in addition to other project planning deliverables.

- The Offeror shall implement communication/documentation software tools for electronic documentation, tracking action items, decisions, issues, risks, and defects.

4.6.2 Project Deliverables

The offeror shall adhere to the Statement of Work specifications identified herein.

4.6.3 Technical Requirements

Hosting:

- The Offeror must deliver the software as a Cloud-Hosted Solution in a Tier 4 data center.
- The Offeror's datacenter(s) must be HIPAA, FEDRAMP and CJIS compliant.
- The Offeror must provide and utilize a minimum of four (4) environments:
 - Development
 - UAT – For DOCCS application testing also, DOCCS UAT environment must utilize real DOCCS data and support on demand refreshes. UAT must mirror the DOCCS production environment including all security roles. Offeror must have the ability to deidentify I/I data as it is loaded into the UAT system.
 - Staging
 - Production

4.7 Scanning and Indexing

Provide all necessary equipment, materials, personnel, and supplies as required to prepare documents for scanning and/or indexing, and perform the actual scanning at all 41 facilities and Central Office for the current incarcerated population of approximately 34,175.

Review scanned and/or indexed material for quality assurance, reassemble the documents, and return documents to their office in the condition in which they were received.

Offeror must have the capability to process multiple task orders at multiple sites concurrently.

Offeror shall have database development capabilities that can capture keyword information for various document types so the process to scan, tag and index documents can be automated to mitigate data entry errors.

4.7.1 Document Preparation

1. Ensure that all documents are properly prepared for scanning, including:
 - Removal of staples, clips, and other types of binders.
 - Sticky notes do not obscure content on the document pages. Notes that obscure the content shall be reviewed and scanned on a separate page.
 - Handle and prepare fragile and damaged pages carefully for scanning.
2. Advise DOCCS if any document would irreparably damage the document and determine if any special handling requirements be needed prior to the document being scanned.
3. Advise DOCCS during the preparation process of any missing pages or pages that are not in order. Files should be re-ordered in chronological order (most recent in front) prior to scanning.

4.7.2 Scanning Services Shall Include

- Scan pages on both sides (duplex) as grayscale, in industry standard DPI PDF/OCR image files.
- Delete blank pages and exclude from count as a scanned page.
- Scan any pages with any, writing, drawing, marks, etc.
- Accommodate documents that are larger than 11" by 17'. Document types will primarily include 8.5" by 11" however, there may be documents that are larger, smaller, or odd shaped.

- Be able to accommodate paper that are fragile so as not to damage the original.
- Scan color photos, graphs, and drawings including colored test.
- Visually review every page for legibility, clarity, and orientation. If necessary, re-scan pages as needed depending on the condition of the original hard copy. Make DOCCS aware of any pages that require special consideration

4.7.3 Specifications for scanning all documents are as follows

- Industry Standard DPI resolution for documents.
- Files saved as an OCR PDF
- Documents scanned at 256-bit grayscale or 24-bit color, or better as applicable.

4.8 DOCCS Departmental Directive, Policies, and Procedures

Upon award of the Contract, the Contractor will be provided with further appropriate instruction with respect to facility rules, regulations, and directives, as well as required behavior of employees in a correctional setting. Any employee, subcontractor, volunteer, consultant, or other agent of the Contractor performing under this Contract must abide by the policies, procedures, rules, regulations, and directives of DOCCS.

4.9 Security

The selected Contractor must comply with the privacy and security policies and procedures of the Department (<https://its.ny.gov/eiso/policies/security>) and applicable state and federal law and administrative guidance with respect to the performance of this contract. The Contractor will comply fully with all future updates of the security procedures of DOCCS and NYS Information Technology Services (ITS), as well as applicable state and federal requirements, in performance of this contract. In the event the Contractor is unable to comply with a future security requirement or procedure update, Contractor will notify DOCCS within 24 (twenty-four) hours.

The Contractor will develop and maintain adequate fully trained staff to respond to all stakeholder inquiries while protecting confidentiality and maintaining the security and integrity of all systems. Staff must be trained to understand and observe requirements related to confidentiality and operating guidelines for functions included in this RFP. The Contractor is required to maintain and provide to DOCCS, prior to the start of work and upon request, their data confidentiality plans and procedures for meeting security requirements as they relate to the deliverables and services within this RFP, including all plans as they relate to subcontractor work where applicable.

The Contractor is expected to provide secure and confidential backup, storage, and transmission for hard copy and electronically stored information. All DOCCS data must be stored within the continental United States (CONUS). Contractor will ensure there will be no ability to view or access DOCCS' confidential data from any location outside of the CONUS, will ensure all data is isolated from other State's/customer's assets, and will provide all data to DOCCS at the end of the contract, or when requested, at no additional cost. Under no circumstances will any records be released to any person, agency, or organization without specific written permission of DOCCS. The Contractor is obligated to ensure any Subcontractor hired by Contractor who stores, processes, analyzes, or transmits data on behalf of Contractor has the appropriate security requirements in place and must be approved by DOCCS. If any breach or suspected breach of the data or confidentiality occurs, whether the breach occurred with the Contractor or Subcontractor, DOCCS must be notified within 2 (two) hours of the Contractor becoming aware of the breach. If a vendor-responsible security breach occurs, the vendor is responsible for developing a DOCCS-approved resolution plan and implementing at the vendor's expense.

4.10 Transition

The transition represents a period when the current contract activities performed by the Contractor must be turned over to DOCCS, another DOCCS agent, or successor Contractor during or at the end of the contract.

The Contractor shall ensure any transition to DOCCS, DOCCS agent, or successor Contractor be done in a way that provides DOCCS with uninterrupted services. This includes, but is not limited to, a complete and total transfer of all data, files, reports, and records generated from the inception of the contract through the end of the contract, in a current, standard electronic format, to DOCCS or another DOCCS agent or successor contractor should that be required during or upon expiration of its contract.

The Contractor shall provide technical and business process support as necessary and required by DOCCS to transition and assume contract requirements to DOCCS or another DOCCS agent, should that be required during or at the end of the contract.

The Contractor shall manage and maintain the appropriate number of staff to meet all requirements listed in the RFP during the transition. All reporting and record requirements, security standards, and performance standards are still in effect during the transition period.

The Contractor is required to develop a work plan and timeline to securely and smoothly transfer any data and records generated from the inception of the contract through the end of the contract to DOCCS or another DOCCS agent or successor contractor, should that be required during or upon expiration of its contract. Offeror must be able to complete a full transfer within 90 business days of DOCCS' notification to Offeror of intent to transfer.

5.0 PROPOSAL CONTENT

The following includes the format and information to be provided by each Bidder. Bidders responding to this RFP must satisfy all requirements stated in this RFP. All Bidders are requested to submit complete Administrative and Technical Proposals and Diversity Practice Questionnaires, and are required to submit a complete Cost Proposal. A proposal that is incomplete in any material respect may be rejected.

To expedite review of the proposals, Bidders are requested to submit proposals in separate Administrative, Technical, Diversity Practices, and Cost packages inclusive of all materials as summarized in **Attachment 2 – Submission Checklist**. This separation of information will facilitate the review of the material requested. No information beyond that specifically requested is required, and Bidders are requested to keep their submissions to the shortest length consistent with making a complete description of qualifications. Evaluations of the Administrative, Technical, Diversity Practices, and Cost Proposals received in response to this RFP will be conducted separately. Bidders are therefore cautioned not to include any Cost Proposal information in the Administrative, Technical, or Diversity Practice proposal documents.

DOCCS will not be responsible for expenses incurred in preparing and submitting the Administrative, Technical, Diversity Practices, or Cost Proposals.

5.1 Administrative Proposal

The information requested should be provided in the prescribed format. A proposal that is incomplete in any material respect or does not follow the prescribed format may be eliminated from consideration.

All responses to the RFP may be subject to verification for accuracy. Please provide the documents in the same order in which they are requested.

The Administrative Proposal should also contain all items listed below:

- **Freedom of Information Law (FOIL) – Proposal Redactions.** Bidders must clearly and specifically identify any portion of the proposal a Bidder believes constitutes proprietary information entitled to confidential handling as an exception to the Freedom of Information Law. See **Section 1.6 - Freedom of Information Law**.
- **Submission Checklist.** Submit a signed **Attachment 2 – Submission Checklist**.
- **Vendor Assurance of No Conflict of Interest or Detrimental Effect.** Submit **Attachment 7**, which includes information regarding the Bidder, members, shareholders, parents, affiliates, or subcontractors. **Attachment 7** must be signed by an individual authorized to bind the Bidder contractually.
- **Procurement Lobbying Certification and Disclosure of Prior Non-Responsibility Determination.** Submit a completed and signed **Attachment 9**.
- **Sexual Harassment Prevention Policy Certification/State Finance Law §139-l Certification.** Submit a completed **Attachment 10**.
- **Gender-based Violence in the Workplace Prevention Policy Certification/State Finance Law §139-m Certification.** Submit a completed **Attachment 11**.
- **Executive Order 16 - Prohibiting State Agencies and Authorities from Contracting with Businesses Conducting Business in Russia.** Submit a completed **Attachment 13** certifying the Bidder does not contract with businesses conducting business in Russia.
- **Executive Order 177 – Prohibiting Contracts with Entities that Support Discrimination.** Submit a completed **Attachment 14 – EO 177 Certification** certifying the Bidder does not have institutional policies or practices that fail to address the harassment and discrimination of individuals on the basis of protected status under the Human Rights Law.
- **Vendor Responsibility Attestation.** Bidders should complete and submit **Attachment 15**.
- **Encouraging Use of New York State Businesses in Contract Performance.** Submit **Attachment 16** to identify which New York Businesses you will use in the performance of the Contract, if awarded.
- **MWBE Forms.** Submit completed **Attachment 17 – MWBE/EEO Policy Statement** agreeing to adopt DOCCS' policies to assist in achieving the MWBE Contract participation goals set by DOCCS and provide equal employment opportunities; and **Attachment 18 – EEO100 Staffing Plan** identifying the anticipated workforce to be utilized on the Contract, if awarded.

5.2 **Technical Proposal**

The purpose of the Technical Proposal is to demonstrate the Bidder's ability to meet, and expressly respond to each element and information requested in [Section 4.0 - Scope of Work](#). The Technical Proposal should provide satisfactory evidence of the qualifications, competence, and capacity of the Bidder and the staff to be assigned to perform the services contained in this Solicitation.

A Technical Proposal that is incomplete in any material respect may be eliminated from consideration. The following outlines the information requested to be provided by Bidders. The information requested should be provided in the prescribed format. Responses that do not follow the prescribed format may be eliminated from consideration. All responses to the RFP may be subject to verification for accuracy.

While additional data may be presented, the following should be included. Please provide the information in the same order in which it is requested. Your proposal should contain sufficient information to assure DOCCS of its accuracy. Failure to follow these instructions may result in disqualification.

DO NOT include pricing/Cost Proposal information in the Technical Proposal documents.

A. Title Page

Include a Title Page providing the RFP subject and number; the Bidder's name and address; the name, address, telephone number, and email address of the Bidder's contact person; and the date of the Proposal.

B. Table of Contents

The Table of Contents should clearly identify all material (by section and page number) included in the proposal.

C. Minimum Qualifications (see Section 3.1 of this RFP)

Bidders who fail to provide documentation that provides sufficient evidence of meeting the Minimum Qualifications will be disqualified. DOCCS reserves the right to reject a proposal that contains insufficient documentation of how the Bidder meets the Minimum Qualifications. **DOCCS will accept proposals from organizations with the following types and levels of experience as a prime contractor:**

- a. Offeror must have at least five (5) years of experience developing electronic health records systems, including: development of an EHR capable of interfacing with multiple systems and the provision of consulting and technical support to large businesses entities and/or correctional systems with multiple geographical locations.
- b. Offeror must have at least five (5) years of experience successfully managing data migration from a legacy system where the Offeror specifically lead the design and implementation.
- c. Offeror must have developed and completed an electronic health records system for at least four (4) different customers

D. Narrative

Bidder should **respond to each element** of the Technical Proposal **and label each section by its corresponding number** below, providing a detailed narrative for each of the following:

1. SUPPLIES AND/OR SERVICES REQUIRED

1. Software

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.1.1 Software.

2. Interfaces

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.1.2 Interfaces.

3. Artificial Intelligence (AI)

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.1.3 Artificial Intelligence (AI).

4. Security and Permissions

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.1.4 Security and Permissions.

5. Reporting and Auditing

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.1.5 Reporting and Auditing.

6. Document Management, Terminology, and Alerts & Notifications

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.1.6 Document Management, Terminology, and Alerts & Notifications.

7. Workflow, Intake, and Scheduling

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.1.7 Workflow, Intake, and Scheduling.

8. Computerized Provider Order Entry, Orders/Task Manager

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.1.8 Computerized Provider Order Entry and Orders/Task Manager.

9. Modules

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.1.9 Modules: eMar, eDental, and E-Prescribing.

10. Disclosure Management System (DMS), Laboratory Requisition, Electronic Signature, and Reference Materials

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.1.10, Disclosure Management System (DMS), Laboratory Requisition, Electronic Signature, and Reference Materials

2. CLOUD SOLUTION

1. Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.2 Cloud Solution.

3. TRAINING

1. Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.3 Training.

4. SUPPORT

1. Offeror Shall

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.4.1 Offeror Shall.

2. Cloud Implementation

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.4.2 Cloud Implementation.

5. STATEMENT OF WORK

1. Cloud Implementation

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.5.1 Cloud Implementation.

2. Recurring Services

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.5.2 Recurring Services.

3. Transfer of Data

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.5.3 Transfer of Data.

4. Ownership

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.5.4 Ownership.

6. IMPLEMENTATION

1. Project Management

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.6.1 Project Management.

2. Technical Requirements

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.6.3 Technical Requirements.

7. SCANNING AND INDEXING

1. Document Preparation

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.7.1 Document Preparation.

2. Scanning Services

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.7.2 Scanning and Services.

3. Specifications for Scanning

Describe in detail your company's ability and plan to meet the requirements outlined in Section 4.7.3 Specifications for Scanning

8. SECURITY

1. Provide a data security plan(s) in compliance with all NYS security policies and standards (see **Section 4.9 Security**).
2. Outline a resolution plan in the event a vendor-responsible security breach occurs.
3. Describe how the proposed solution meets federal, state, and DOCCS security requirements.

9. TRANSITION

- Provide an overview of the bidder's transition plan as described in **Section 4.10 Transition**.

5.3 Diversity Practices Questionnaire

Pursuant to New York State Executive Law Article 15-A, the Department has determined that the assessment of the diversity practices of respondents of this procurement is practical, feasible, and appropriate. Accordingly, respondents to this procurement should include **Attachment 4 - Diversity Practices Questionnaire** as part of their response to this RFP.

Diversity practices are the efforts of contractors to include New York State-certified Minority- and Women-owned Business Enterprises ("MWBE") in their business practices. Diversity practices may include past, present, or future actions and policies, and include activities of contractors on contracts with private entities and governmental units other than the State of New York. Assessing the diversity practices of contractors enables contractors to engage in meaningful, capacity-building collaborations with MWBE.

5.4 Cost Proposal

Bidders are required to submit pricing using a completed **Attachment 5 - Cost Proposal**. Cost information **must not** appear in the Administrative Proposal, Technical Proposal, or Diversity Practices Questionnaire.

Pricing for the proposed solution shall be inclusive of all costs of furnishing the said services in this RFP, including but not limited to: travel, license, insurance, training, Contractor time and materials, administrative expenses, overhead, profit, all labor and equipment costs, reporting or other requirements, and any other ancillary costs.

DOCCS will retain fifteen (15%) percent of the Bid Price of Deliverables 1-6 ("Retainage"). At the completion of each deliverable, the Contractor will invoice for the deliverable price, less the 15% Retainage percentage. Prior to DOCCS releasing any Retainage, Deliverables 1-6 shall have been Accepted and DOCCS shall have indicated that all Severity 1 and 2 defects have been resolved to DOCCS' satisfaction, such satisfaction not to be unreasonably withheld. Once DOCCS has indicated that all Severity 1 and 2 defects have been resolved, a ninety (90) day system stabilization period shall immediately begin. Upon the expiration of the ninety (90) day system stabilization period, all Retainage shall be due and owing and Vendor shall invoice DOCCS for the full amount of Retainage.

Please note that change orders are not anticipated, however, if changes become necessary, such work must be authorized by DOCCS, in writing, before such work can proceed and may require an amendment to the Statement of Work or to the Contract. For the purpose of calculating a Total Bid Price, the Change Order Rate is estimated at fifty (50) hours for evaluation of the Total Bid Price. **There is no minimum guarantee of change order request hours.**

Pricing should be provided based on the following estimation of required system licenses:

Description	Quantity	License Metric
Electronic Health Record (EHR)	850	Concurrent User
Electronic Medication Administration Record (eMAR)	850	Concurrent User
eDental	850	Concurrent User
Electronic Signature Capture (eSign)	850	Concurrent User
Orders/Task Manager	850	Concurrent User
Laboratory Manager	850	Concurrent User
Document Management	850	Concurrent User
Disclosure Management	850	Concurrent User
ePrescribe	227	Per Provider
Electronic Prescribing of Controlled Substances (EPCS)	227	Per Provider
Form Editing Tool	1	Enterprise
Interface Engine	1	Enterprise

All costs proposed shall include all required and necessary supplies, software, features, services, training, and incidental expenses necessary to accomplish the project requested for the term of the contract, including any annual maintenance, enhancements, and support fees associated with the software and/or services.

6.0 PROPOSAL SUBMISSION

Every offer shall be firm and not revocable for a period of 90 (ninety) days from the bid opening, to the extent not inconsistent with section 2-205 of the uniform commercial code. Subsequent to such 90 (ninety) days, any offer is subject to withdrawal communicated in a writing signed by the offeror.

Submission of proposals in a manner other than as described in these instructions will not be accepted.

A. A proposal consists of four (4) distinct parts which should be submitted in four (4) separate, clearly labeled emails to doccscontracts@doccs.ny.gov.

- 1) **Administrative Proposal** - Mandatory submissions listed in **Section 5.1.A** must be included. Items in **Section 5.1.B** should also be submitted in the Administrative Proposal. Notarized signatures are required on some forms. Your email should contain subject line "RFP 2025-49 [Electronic Health Records] Administrative Proposal submitted by [bidder name]".
- 2) **Technical Proposal** - Must consist of the Technical Proposal. Your email should contain subject line "RFP 2025-49 [Electronic Health Records] Technical Proposal submitted by [bidder name]".
- 3) **Diversity Practices Questionnaire** - Must consist of the Diversity Practices Questionnaire. Your email should contain subject line "RFP 2025-49 [Electronic Health Records] Diversity

Practices Questionnaire submitted by [bidder name]”.

- 4) **Cost Proposal** - Must consist of the Cost Proposal. Your email should contain subject line “RFP 2025-49 [Electronic Health Records] Cost Proposal submitted by [bidder name]”.

- B. **The proposal must be received by DOCCS no later than the Deadline for Submission of Proposals specified in [Section 1.1 - Calendar of Events](#). Late bids may not be considered.**
- C. Proposal materials should be clearly page numbered on the bottom of each page with appropriate header and footer information. Black font, and a font size of 11 points or larger should be used.
- D. Where signatures and/or notaries are required, proposal documents must have an original, handwritten signature and be signed in ink.

***ALL PROPOSALS MUST BE SUBMITTED ELECTRONICALLY (VIA EMAIL).**

NOTE: The Department recommends all bidders request a receipt containing the time and date received and the signature of the receiver for all hand-deliveries and ask that this information also be written on the package(s).

- E. The Department discourages overly lengthy proposals. Therefore, marketing brochures, user manuals or other materials, beyond that sufficient to present a complete and effective proposal, are not desired. Elaborate artwork or expensive paper is not necessary or desired. In order for DOCCS to evaluate proposals fairly and completely, proposals should follow the format described in this RFP to provide all requested information. The Bidder should not repeat information in more than one section of the proposal. If information in one section of the proposal is relevant to a discussion in another section, the Bidder should make specific reference to the other section rather than repeating the information.
- F. Audio and/or videotapes are not allowed. Any submitted audio or videotapes will be ignored by the evaluation team.

****PROPOSALS WILL NOT BE ACCEPTED VIA FAX OR EMBEDDED LINK****

6.1 No-Bid Form

Bidders choosing not to bid are requested to complete the **Attachment 1 - No-Bid form**.

7.0 METHOD OF AWARD

7.1 General Information

The evaluation process will be conducted in a comprehensive and impartial manner, as set forth herein, by an Evaluation Committee. DOCCS will evaluate each proposal based on the “Best Value” concept. This means the proposal that best “optimizes quality, cost, and efficiency among responsive and responsible offerors” shall be selected for award (State Finance Law, Article 11, §163(1)(j)). The basis of the award will be the highest final composite Technical (weighted 75%), Diversity Practices Questionnaire (weighted 5%), and Cost (weighted 20%) evaluation scores.

Bidders may be requested by DOCCS to clarify the contents of their proposals. Other than to provide such information as may be requested by DOCCS, no Bidder will be allowed to alter its proposal or add information after the Deadline for Submission of Proposals listed in [Section 1.1 - Calendar of Events](#).

DOCCS at its sole discretion, will determine which proposal(s) best satisfies its requirements. Proposals failing to meet the requirements of this document may be eliminated from consideration. DOCCS reserves all rights with respect to the award.

The evaluation process will include separate technical, diversity practices, and cost evaluations, and the result of each evaluation shall remain confidential until evaluations have been completed and a selection of the winning proposal is made. The final composite score will be calculated by DOCCS by adding the technical narrative, diversity practices, and cost scores awarded. The highest-scoring responsive and responsible bidder will be awarded the contract.

In the event of a tie, the determining factors for award, in descending order, will be:

- (1) highest technical score;
- (2) lowest cost;
- (3) NYS-certified MWBE;
- (4) NYS Business.

7.2 Submission Review – Eligibility and Compliance

All proposals received in a proper and timely manner will undergo a preliminary evaluation to verify Bidder Qualifications to Propose as listed in [Section 3.0](#). DOCCS will also examine to determine if proposals meet the proposal submission requirements as described in [Section 5.0 - Proposal Content](#) and [Section 6.0 - Proposal Submission](#), including documentation requested for the Administrative Proposal. Proposals that are materially deficient in meeting the submission requirements or that have omitted material documents, in the sole opinion of DOCCS, may be rejected. All proposals deemed to be responsive to the requirements of this procurement will be evaluated and scored for technical qualities, diversity practices, and cost.

7.3 Technical Evaluation

A Technical Evaluation Team comprised of DOCCS program staff will review and evaluate all proposals that pass the Eligibility and Compliance Review. All Evaluation Committee members will independently score their respective section that meets the submission requirements of this RFP. The individual scores will be averaged to calculate the Technical Score for each responsive Bidder.

The Technical Evaluation is worth **75% (up to 75 points)** of the final score.

7.4 Diversity Practices Evaluation

A Diversity Practices Evaluation Team comprised of DOCCS MWBE staff will independently review and evaluate all Diversity Practices Questionnaires. The responses will be evaluated using a predetermined rating scale.

The Diversity Practices Evaluation is worth **5% (up to 5 points)** of the final score.

7.5 Cost Evaluation

The Cost Evaluation Team will examine the Cost Proposal documents. The Cost Proposals will be opened and reviewed for responsiveness to cost requirements. If a Cost Proposal is found to be non-responsive, that proposal may not receive a cost score and may be eliminated from consideration.

The Cost Proposals will be scored based on a maximum weighted score of 20 points. The Cost Proposal with the lowest total cost will be awarded the maximum possible points. All other responsive proposals will receive a proportionate score based on the relation of their Cost Proposal to the proposals offered at the lowest final cost, using this formula:

$$(Y/Z) * 20 = X$$

Y is Total price of Cost Proposal being scored;

Z is Total price of lowest cost proposal; and

X is the Cost score.

The Cost Evaluation is worth **20% (up to 20 points)** of the final score.

7.6 Composite Score

A final composite score will be calculated by DOCCS by adding the preliminary Technical, Diversity Practices, and Cost scores awarded. The highest-scoring responsive and responsible bidder will be awarded the contract.

7.7 Award Recommendation

The Evaluation Committee will submit a recommendation for award to the Finalist with the highest composite score whose experience and qualifications have been verified.

The Department will notify the awarded Bidder and Bidders not awarded. The awarded Bidder will enter into a written Agreement to provide the required services as specified in this RFP. The resultant contract shall not be binding until fully executed and approved by the New York State Office of the Attorney General and the Office of the State Comptroller (OSC).

7.8 Dispute Resolution

It is the policy of DOCCS Division of Support Operations / Contract Procurement Unit to provide vendors with an opportunity to administratively resolve disputes, complaints, or inquiries related to bid solicitations or contract awards. DOCCS and OSC encourage vendors to seek resolution of disputes through consultation with DOCCS Division of Support Operations / Contract Procurement Unit staff. All such matters will be accorded impartial and timely consideration. Interested parties may also file formal written disputes.

7.9 Debriefing

Pursuant to §163(9)(c) of the State Finance Law, any unsuccessful Bidder may request a debriefing regarding the reasons the proposal or bid submitted by the Bidder was not selected for award. Requests for a debriefing must be made within 15 (fifteen) calendar days of release of the written or electronic notice by the Department that the Bid submitted by the Bidder was not selected for award. Requests should be submitted in writing to a designated contact identified in the award/non-award letter.

7.10 Protest Procedure

In the event an unsuccessful Bidder wishes to protest the award resulting from this RFP, Vendors should follow the protest procedures established by OSC. These procedures can be found in Chapter XI Section 17 of the Guide to Financial Operations (GFO), available online at: <http://www.osc.state.ny.us/agencies/guide/MyWebHelp/>

8.0 EQUAL EMPLOYMENT OPPORTUNITY (EEO) REQUIREMENTS AND REPORTING

By submission of a bid in response to this solicitation, the Bidder agrees with all terms and conditions of **Appendix A** including Clause 12 - Equal Employment Opportunities for Minorities and Women. Additionally, the successful bidder will be required to certify they have an acceptable Equal Employment Opportunity (EEO) policy statement in accordance with **Attachment 11 – Minority- and Women-owned Business Enterprises (MWBE) EEO Policy Statement**, which should be submitted with the Administrative Proposal.

Further, pursuant to Article 15 of the Executive Law (the “Human Rights Law”), all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor and subcontractors will not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, gender identity or expression, military status, familial status, age, disability, predisposing genetic characteristics, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

The Contractor is required to ensure that it and any subcontractors awarded a subcontract over \$25,000 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the “Work”), except where the Work is for the beneficial use of the Contractor, undertake or continue programs to ensure minority group members and women are afforded equal employment opportunities without discrimination because of race, creed (religion), color, national origin, sex, age, sexual orientation, gender identity or expression, military status, familial status, predisposing genetic characteristics, disability, or marital status. For these purposes, equal opportunity shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, termination, and rates of pay or other forms of compensation. This requirement does not apply to: (i) work, goods, or services unrelated to the Contract; or (ii) employment outside New York State.

To ensure compliance with this section, the Bidder should submit with the bid or proposal an **Attachment 12 - Equal Employment Opportunity Staffing Plan (EEO100)** identifying the anticipated work force to be utilized on the Contract. Additionally, the Bidder should submit **Attachment 11 – MWBE and EEO Policy Statement** to DOCCS with their Administrative proposal.

If awarded a Contract, bidder shall submit a Workforce Utilization Report and shall require each of its Subcontractors to submit a Workforce Utilization Report, in such format as shall be required by DOCCS on a [**quarterly/monthly**] basis as required during the term of the Contract. Pursuant to Executive Order #162, contractors and subcontractors will also be required to report the gross wages paid to each of their employees for the work performed by such employees on the contract utilizing the Workforce Utilization Report on a quarterly basis.

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

8.1 Participation Opportunities for Minority- & Women-owned Business Enterprise (“MWBE”) Requirements

MWBE FORMS ARE AVAILABLE AT: <https://doccs.ny.gov/procurement-opportunities>

Pursuant to New York State Executive Law Article 15-A, the New York State Department of Corrections and Community Supervision recognizes its obligation to promote opportunities for maximum feasible participation of certified Minority- and Women-owned Business Enterprises (MWBE) and the employment of minority group members and women in the performance of DOCCS contracts.

For purposes of this solicitation, DOCCS hereby establishes an overall goal of **30%** for MWBE participation, **15%** for Minority-owned Business Enterprises (“MBE”) participation and **15%** for Women-owned Business Enterprises (“WBE”) participation (based on the current availability of qualified MBEs and WBEs and outreach efforts to certified MWBE firms). A contractor (“Contractor”) on the subject contract (“Contract”) must document good faith efforts to provide meaningful participation by MWBEs as subcontractors or suppliers in the performance of the Contract and Contractor agrees that DOCCS may withhold payment pending receipt of the required MWBE documentation. For guidance on how DOCCS will determine “good faith efforts,” refer to 5 NYCRR §142.8.

The directory of New York State Certified MWBEs can be viewed at: <https://ny.newnycontracts.com>. The directory is found in the upper right-hand side of the webpage under “Search for Certified Firms” and accessed by clicking on the link entitled “MWBE Directory”. Engaging with firms found in the directory with like product(s) and/or service(s) is strongly encouraged, and all communication efforts and responses should be well documented.

New York State certified Minority- and/or Women-owned Business Enterprises may request that their firm’s contact information be included on a list of MWBE firms interested in serving as a subcontractor for this procurement. The listing will be publicly posted on the Empire State Development’s website for reference by the bidding community. A firm requesting inclusion on this list should send contact information and a copy of its NYS MWBE certification to BGA2024RFP@esd.ny.gov. Nothing prohibits an MWBE Vendor from proposing as a prime contractor.

8.1.1 MWBE Utilization Plan

By submitting a bid, Bidder agrees to complete an MWBE Utilization Plan of this RFP. DOCCS will review the submitted MWBE Utilization Plan. If the plan is not accepted, DOCCS may issue a notice of deficiency. If a notice of deficiency is issued, Bidder agrees that it shall respond to the notice of deficiency within seven (7) business days of receipt. DOCCS may disqualify a Bidder as being non-responsive under the following circumstances:

- a. If a Bidder fails to submit an MWBE Utilization Plan;
- b. If a Bidder fails to submit a written remedy to a notice of deficiency;
- c. If a Bidder fails to submit a request for waiver (if applicable); or
- d. If DOCCS determines the Bidder has failed to document good-faith efforts.

8.1.2 Request for Waiver

Prior to submission of a request for a partial or total waiver, Bidder/Contractor shall speak to the Designated Contacts at DOCCS for guidance.

Requests for a partial or total waiver of established goal requirements made subsequent to Contract Award may be made at any time during the term of the Contract to DOCCS but must be made no later than prior to the submission of a request for final payment on the Contract.

Waiver requests should be sent to DOCCS at MWBE-SDVOB@doccs.ny.gov.

8.1.3 Required Good Faith Efforts

The Contractor is required to attempt to utilize, in good faith, any MBE or WBE identified within its MWBE Utilization Plan, during the performance of the Contract.

8.1.4 Quarterly MWBE Contractor Compliance Report

The Contractor will be required to submit a Contractor's Quarterly MWBE Contractor Compliance & Payment Report to DOCCS, by the 10th day following each end of quarter over the term of the Contract documenting the progress made toward achievement of the MWBE goals of the Contract.

8.1.5 Breach of Contract and Damages

If the Contractor is found to have willfully and intentionally failed to comply with the MWBE participation goals set forth in the Contract, such finding will constitute a breach of Contract and DOCCS may withhold payment from the Contractor as liquidated damages.

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

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

8.2 Participation Opportunities for NYS Certified Service-Disabled Veteran-Owned Businesses (SDVOB)

SDVOB FORMS ARE AVAILABLE AT: <https://doccs.ny.gov/procurement-opportunities>

Veteran's Services Law Article 3 provides for more meaningful participation in public procurement by certified Service-Disabled Veteran-Owned Businesses ("SDVOBs"), thereby further integrating such businesses into New York State's economy. DOCCS recognizes the need to promote the employment of service-disabled veterans and to ensure that certified service-disabled veteran-owned businesses have opportunities for maximum feasible participation in the performance of DOCCS contracts.

In recognition of the service and sacrifices made by service-disabled veterans and in recognition of their economic activity in doing business in New York State, Bidders/Contractors are strongly encouraged and expected to consider SDVOBs in the fulfillment of the requirements of the Contract. Such participation may be as subcontractors or suppliers, as protégés, or in other partnering or supporting roles.

DOCCS hereby establishes an overall goal of **6%** for SDVOB participation. For purposes of providing meaningful participation by SDVOBs, the Bidder/Contractor should reference the directory of New York State Certified SDVOBs found at: <https://ogs.ny.gov/veterans/>. Questions regarding compliance with SDVOB participation goals should be directed to the DOCCS Designated Contacts. Additionally, Contractor is encouraged to contact the Office of General Services' Division of Service-Disabled Veterans' Business Development at 518-474-2015 or VeteransDevelopment@ogs.ny.gov to discuss

methods of maximizing participation by SDVOBs on the Contract. Contractor must document “good faith efforts” to provide meaningful participation by SDVOBs as subcontractors or suppliers in the performance of the Contract.

New York State certified SDVOB may request that their firm’s contact information be included on a list of SDVOB firms interested in serving as a subcontractor for this procurement. The listing will be publicly posted on the Empire State Development’s website for reference by the bidding community. A firm requesting inclusion on this list should send contact information and a copy of its NYS SDVOB certification to BGA2024RFP@esd.ny.gov. Nothing prohibits an SDVOB Vendor from proposing as a prime contractor.

8.2.1 SDVOB Utilization Plan

In accordance with 9 NYCRR § 252.2(i), Bidders are required to submit a completed SDVOB Utilization Plan on Form SDVOB 100 with their bid.

The Utilization Plan shall list the SDVOBs that the Bidder intends to use to perform the Contract, a description of the work that the Bidder intends the SDVOB to perform to meet the goals on the Contract, the estimated dollar amounts to be paid to an SDVOB, or, if not known, an estimate of the percentage of Contract work the SDVOB will perform. By signing the Utilization Plan, the Bidder acknowledges that making false representations or providing information that shows a lack of good faith as part of, or in conjunction with, the submission of a Utilization Plan is prohibited by law and may result in penalties including, but not limited to, termination of a contract for cause, loss of eligibility to submit future bids, and/or withholding of payments. Any modifications or changes to the agreed participation by SDVOBs after the Contract award and during the term of the Contract must be reported on a revised SDVOB Utilization Plan and submitted to DOCCS.

DOCCS will review the submitted SDVOB Utilization Plan and advise the Bidder/Contractor of DOCCS acceptance or issue a notice of deficiency within 20 days of receipt.

If a notice of deficiency is issued, Bidder/Contractor agrees that it shall respond to the notice of deficiency, within seven business days of receipt, by submitting to DOCCS a written remedy in response to the notice of deficiency. If the written remedy that is submitted is not timely or is found by DOCCS to be inadequate, DOCCS shall notify the Bidder/Contractor and direct the Bidder/Contractor to submit, within five business days of notification by DOCCS, a request for a partial or total waiver of SDVOB participation goals on SDVOB 200. Failure to file the waiver form in a timely manner may be grounds for disqualification of the bid or proposal.

DOCCS may disqualify a Bidder’s bid or proposal as being non-responsive under the following circumstances:

- a. If a Bidder fails to submit an SDVOB Utilization Plan;
- b. If a Bidder fails to submit a written remedy to a notice of deficiency;
- c. If a Bidder fails to submit a request for waiver; or
- d. If DOCCS determines that the Bidder has failed to document good faith efforts.

If awarded a Contract, Contractor certifies that it will follow the submitted SDVOB Utilization Plan for the performance of SDVOBs on the Contract pursuant to the prescribed SDVOB contract goals set forth above.

Contractor further agrees that a failure to use SDVOBs as agreed in the Utilization Plan shall constitute a material breach of the terms of the Contract. Upon the occurrence of such a material breach, DOCCS shall be entitled to any remedy provided herein, including but not limited to, a finding of Contractor non-responsibility.

8.2.2 Request for Waiver

Prior to submission of a request for a partial or total waiver, Bidder/Contractor shall speak to the Designated Contacts at DOCCS for guidance.

In accordance with 9 NYCRR § 252.2(m), a Bidder/Contractor that is able to document good faith efforts to meet the goal requirements, as set forth in clause IV below, may submit a request for a partial or total waiver on Form SDVOB 200, accompanied by supporting documentation. A Bidder may submit the request for waiver at the same time it submits its SDVOB Utilization Plan. If a request for waiver is submitted with the SDVOB Utilization Plan and is not accepted by DOCCS at that time, the provisions of clauses II (C), (D) & (E) will apply. If the documentation included with the Bidder's/Contractor's waiver request is complete, DOCCS shall evaluate the request and issue a written notice of acceptance or denial within 20 (twenty) days of receipt.

Requests for a partial or total waiver of established goal requirements made subsequent to Contract award may be made at any time during the term of the Contract to DOCCS but must be made no later than prior to the submission of a request for final payment on the Contract.

If DOCCS, upon review of the SDVOB Utilization Plan and Monthly SDVOB Compliance Report (SDVOB 101) determines that Contractor is failing or refusing to comply with the contract goals and no waiver has been issued in regards to such non-compliance, DOCCS may issue a notice of deficiency to the Contractor. The Contractor must respond to the notice of deficiency within seven business days of receipt. Such response may include a request for partial or total waiver of SDVOB contract goals.

Waiver requests should be sent to DOCCS at MWBE-SDVOB@doccs.ny.gov.

8.2.3 Required Good Faith Efforts

Contractor shall attempt to utilize, in good faith, the SDVOBs identified within its SDVOB Utilization Plan, during the performance of the Contract. In accordance with 9 NYCRR § 252.2(n), Contractors must document their good faith efforts toward utilizing SDVOBs on the Contract. Evidence of required good faith efforts shall include, but not be limited to, the following:

- a. Copies of solicitations to SDVOBs and any responses thereto.
- b. Explanation of the specific reasons each SDVOB that responded to Bidders'/Contractors' solicitation was not selected.
- c. Dates of any pre-bid, pre-award or other meetings attended by Contractor, if any, scheduled by DOCCS with certified SDVOBs whom DOCCS determined were capable of fulfilling the SDVOB goals set in the Contract.
- d. Information describing the specific steps undertaken to reasonably structure the Contract scope of work for the purpose of subcontracting with, or obtaining supplies from, certified SDVOBs.
- e. Other information deemed relevant to the waiver request.

8.2.4 Monthly SDVOB Contractor Compliance Report

In accordance with 9 NYCRR § 252.2(q), Contractor is required to report Monthly SDVOB Contractor Compliance to DOCCS during the term of the Contract for the preceding month's activity, documenting progress made towards achieving the Contract SDVOB goals.

This information must be submitted using form SDVOB 101 and should be completed by the Contractor and submitted to DOCCS, by the 10th day of each month during the term of the Contract, for the preceding month's activity to: MWBE-SDVOB@doccs.ny.gov.

8.2.5 Breach of Contract and Damages

In accordance with 9 NYCRR §252.2(s), any Contractor found to have willfully and intentionally failed to comply with the SDVOB participation goals set forth in the Contract, shall be found to have breached the contract and Contractor shall pay damages as set forth therein.

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

9.0 CONTRACTOR INSURANCE REQUIREMENTS

Prior to the commencement of the work to be performed by the Contractor hereunder, the Contractor shall file with The People of the State of New York, DOCCS, Certificates of Insurance (hereinafter referred to as "Certificates"), evidencing compliance with all requirements. Such Certificates shall be of a form and substance acceptable to DOCCS.

Contractors shall be required to procure, at their sole cost and expense, and shall maintain in force at all times during the term of any Contract resulting from this Solicitation, policies of insurance as required by this Section. All insurance required by this Section shall be written by companies that have an A.M. Best Company rating of "A-," Class "VII" or better. In addition, companies writing insurance intended to comply with the requirements of this Section should be licensed or authorized by the New York State Department of Financial Services to issue insurance in the State of New York. DOCCS may, in its sole discretion, accept policies of insurance written by a non-authorized carrier or carriers when certificates and/or other policy documents are accompanied by a completed Excess Lines Association of New York (ELANY) affidavit or other documents demonstrating the company's strong financial rating. If, during the term of a policy, the carrier's A.M. Best rating falls below "A-," Class "VII," the insurance must be replaced, on or before the renewal date of the policy, with insurance that meets the requirements above.

The Contractor shall not take any action or omit to take any action that would suspend or invalidate any of the required coverages during the term of the Contract.

A. General Conditions Applicable to Insurance. All policies of insurance required by this Solicitation or any Contract resulting from this Solicitation shall comply with the following requirements:

1. *Coverage Types and Policy Limits.* The types of coverage and policy limits required from Bidders and Contractors are specified in Paragraph B Insurance Requirements below.
2. *Policy Forms.* Except as otherwise specifically provided herein or agreed to in the Contract resulting from this Solicitation, all policies of insurance required by this Section

shall be written on an occurrence basis.

3. *Certificates of Insurance/Notices.* Bidders and Contractors shall provide DOCCS with a Certificate or Certificates of Insurance, in a form satisfactory to DOCCS as detailed below, and pursuant to the timelines set forth in Section B below. Certificates shall reference the Solicitation or award number and shall name The New York State Department of Corrections and Community Supervision, Harriman Campus, 1220 Washington Avenue, Albany, New York 12226-2050, as the certificate holder.

Certificates of Insurance shall:

- Be in the form acceptable to DOCCS and in accordance with the New York State Insurance Law (e.g., an ACORD certificate); Exception: **An ACORD form is not acceptable proof of New York State workers' compensation or disability benefits insurance coverage.**
- Disclose any deductible, self-insured retention, aggregate limit or exclusion to the policy that materially changes the coverage required by this Solicitation or any Contract resulting from this Solicitation;
- Refer to this Solicitation and any Contract resulting from this Solicitation by award Contract number;
- Be signed by an authorized representative of the referenced insurance carriers; and
- Contain the following language in the Description of Operations / Locations / Vehicles section: Additional insured protection afforded is on a primary and non-contributory basis. A waiver of subrogation is granted in favor of the additional insureds.

Only original documents (certificates of insurance and any endorsements and other attachments) or electronic versions of the same that can be directly traced back to the insurer, agent, or broker via email distribution or similar means will be accepted.

DOCCS generally requires Contractors to submit only certificates of insurance and additional insured endorsements, although DOCCS reserves the right to request other proof of insurance. Contractors should refrain from submitting entire insurance policies, unless specifically requested by DOCCS. If an entire insurance policy is submitted but not requested, DOCCS shall not be obligated to review and shall not be chargeable with knowledge of its contents. In addition, submission of an entire insurance policy not requested by DOCCS does not constitute proof of compliance with the insurance requirements and does not discharge Contractors from submitting the requested insurance documentation.

- B. **Primary Coverage.** All liability insurance policies shall provide that the required coverage shall be primary and non-contributory to other insurance available to the People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees. Any other insurance maintained by the People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees shall be excess of all applicable Contractor's insurance, including any umbrella and/or excess policies, and shall not contribute with the Bidder/Contractor's insurance.

- C. **Breach for Lack of Proof of Coverage.** The failure to comply with the requirements of this

Section at any time during the term of the Contract shall be considered a breach of the terms of the Contract and shall allow the People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees to avail themselves of all remedies available under the Contract or at law or in equity.

- D. **Self-Insured Retention/Deductibles.** Certificates of Insurance must indicate the applicable deductibles/self-insured retentions for each listed policy. Deductibles or self-insured retentions above \$100,000.00 are subject to approval from DOCCS. Such approval shall not be unreasonably withheld, conditioned or delayed. Bidders and Contractors shall be solely responsible for all claim expenses and loss payments within the deductibles or self-insured retentions. If the Bidder/Contractor is providing the required insurance through self-insurance, evidence of the financial capacity to support the self-insurance program along with a description of that program, including, but not limited to, information regarding the use of a third-party administrator shall be provided upon request. If the Contractor is unable to meet their obligation under any deductible, self-insured retention or self-insurance, neither the People of the State of New York nor DOCCS will be obligated to drop down to cover those amounts.
- E. **Subcontractors.** Prior to the commencement of any work by a subcontractor, the Contractor shall require such subcontractor to procure policies of insurance as required by this Section and maintain the same in force during the term of any work performed by that subcontractor.
- F. **Waiver of Subrogation.** For all liability policies and the workers' compensation insurance required below, the Bidder/Contractor shall cause to be included in its policies insuring against loss, damage or destruction by fire or other insured casualty a waiver of the insurer's right of subrogation against The People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees, or, if such waiver is unobtainable (i) an express agreement that such policy shall not be invalidated if the Contractor waives or has waived before the casualty, the right of recovery against The People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees or (ii) any other form of permission for the release of The People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees. A Waiver of Subrogation Endorsement shall be provided upon request. A blanket Waiver of Subrogation Endorsement evidencing such coverage is also acceptable.
- G. **Additional Insured.** The Contractor shall cause to be included in each of the liability policies required below, coverage for on-going and completed operations naming as additional insureds (via ISO coverage forms CG 20 10 04 13 and CG 20 37 04 13 and form CA 20 48 10 13, or a form or forms that provide equivalent coverage): The People of the State of New York, the New York State Department of Corrections and Community Supervision, any entity authorized by law or regulation to use the Contract and their officers, agents, and employees. An Additional Insured Endorsement evidencing such coverage shall be provided to DOCCS pursuant to the timelines set forth in Section B above. A blanket Additional Insured Endorsement evidencing such coverage is also acceptable. For Contractors who are self-insured, the Contractor shall be obligated to defend and indemnify the above-named additional insureds with respect to Commercial General Liability and Business Automobile Liability, in the same manner that the Contractor would have been required to pursuant to this Section had the Contractor obtained such insurance policies.

- H. Excess/Umbrella Liability Policies.** Required insurance coverage limits may be provided through a combination of primary and excess/umbrella liability policies; however, a minimum of \$1,000,000.00 must be primary coverage for general liability and auto liability. All Contractor's applicable insurance policies, including umbrella and excess insurance, will be primary to any insurance, self-insurance, deductible or self-insured retention of The People of the State of New York, the New York State Department of Corrections and Community Supervision, or any entity authorized by law or regulation to use the Contract and their officers, agents, and employees. If coverage limits are provided through excess/umbrella liability policies, then a Schedule of underlying insurance listing policy information for all underlying insurance policies (insurer, policy number, policy term, coverage and limits of insurance), including proof that the excess/umbrella insurance follows form must be provided upon request.
- I. Notice of Cancellation or Non-Renewal.** Policies shall be written so as to include the requirements for notice of cancellation or non-renewal in accordance with the New York State Insurance Law. Within five (5) business days of receipt of any notice of cancellation or non-renewal of insurance, the Contractor shall provide DOCCS with a copy of any such notice received from an insurer together with proof of replacement coverage that complies with the insurance requirements of this Solicitation and any Contract resulting from this Solicitation.
- J. Policy Renewal/Expiration.** Upon policy renewal/expiration, evidence of renewal or replacement of coverage that complies with the insurance requirements set forth in this Solicitation and any Contract resulting from this Solicitation shall be delivered to DOCCS. If, at any time during the term of any Contract resulting from this Solicitation, the coverage provisions and limits of the policies required herein do not meet the provisions and limits set forth in this Solicitation or any Contract resulting from this Solicitation, or proof thereof is not provided to DOCCS, the Contractor shall immediately cease work. The Contractor shall not resume work until authorized to do so by DOCCS.
- K. Deadlines for Providing Insurance Documents after Renewal or Upon Request.** As set forth herein, certain insurance documents must be provided to the DOCCS Contract Procurement Unit. This requirement means that the Contractor shall provide the applicable insurance document to DOCCS as soon as possible but in no event later than the following time periods:
- For certificates of insurance: 5 business days
 - For information on self-insurance or self-retention programs: 15 calendar days
 - For other requested documentation evidencing coverage: 15 calendar days
 - For additional insured and waiver of subrogation endorsements: 30 calendar days

Notwithstanding the foregoing, if the Contractor shall have promptly requested the insurance documents from its broker or insurer and shall have thereafter diligently taken all steps necessary to obtain such documents from its insurer and submit them to DOCCS, DOCCS shall extend the time period for a reasonable period under the circumstances, but in no event shall the extension exceed 30 calendar days.

- L. Insurance Requirements.** Contractors shall obtain and maintain in full force and effect, throughout the term of any Contract resulting from this Solicitation, at their own expense, the following insurance with limits not less than those described below and as required by the terms of any Contract resulting from this Solicitation, or as required by law, whichever is greater:

Insurance Type		Proof of Coverage is Due
Commercial General Liability	Not less than \$1,000,000 each occurrence	Prior to the start of work. Updated in accordance with Contract.
General Aggregate	\$2,000,000	
Products – Completed Operations Aggregate	\$2,000,000	
Personal and Advertising Injury	\$1,000,000	
Medical Expenses Limit	\$5,000	
Business Automobile Liability Insurance	\$1,000,000	
Technology Errors and Omissions	Not less than \$1,000,000 each occurrence	
Data Breach/Cyber Liability	Not less than \$1,000,000 each occurrence	
Workers' Compensation		Upon notice of tentative award. Contact your Ins. Carrier or licensed NYS insurance agent for these forms.
Disability Benefits		

1. **Commercial General Liability Insurance:** Such liability shall be written on the current edition of ISO occurrence form CG 00 01, or a substitute form providing equivalent coverage and shall cover liability arising from premises operations, independent contractors, products-completed operations, broad form property damage, personal & advertising injury, cross liability coverage, liability assumed in a contract (including the tort liability of another assumed in a contract) [and explosion, collapse & underground coverage].

Policy shall include bodily injury, property damage, and broad form contractual liability coverage.

- General Aggregate
- Products – Completed Operations Aggregate
- Personal and Advertising Injury
- Each Occurrence

Coverage shall include, but not be limited to:

- premises liability;
- independent contractors;
- blanket contractual liability, including tort liability of another assumed in a contract;
- defense and/or indemnification obligations, including obligations assumed under the Contract;
- cross liability for additional insureds;
- products/completed operations for a term of no less than three (3) years commencing upon acceptance of the work, as required by the Contract;
- explosion, collapse, and underground hazards; and
- Contractor means and methods.

2. ***Business Automobile Liability Insurance:*** Such insurance shall cover liability arising out of any automobile used in connection with performance under the Contract, including owned, leased, hired and non-owned automobiles bearing or, under the circumstances under which they are being used, required by the Motor Vehicles Laws of the State of New York to bear, license plates.

In the event the Contractor does not own, lease, or hire any automobiles used in connection with performance under the Contract, the Contractor does not need to obtain Business Automobile Liability Insurance, but must attest to the fact that the Contractor does not own, lease or hire any automobiles used in connection with performance under the Contract on a form provided by DOCCS. If, however, during the term of the Contract, the Contractor acquires, leases or hires any automobiles that will be used in connection with performance under the Contract, the Contractor must obtain Business Automobile Liability Insurance that meets all of the requirements of this Section and provide proof of such coverage to DOCCS in accordance with the insurance requirements of any Contract resulting from this Solicitation.

In the event the Contractor does not own or lease any automobiles used in connection with performance under the Contract, but the Contractor does subcontract, hire and/or utilize non-owned automobiles in connection with performance under the Contract, the Contractor, subcontractor or owner of the automobile(s) must: (i) obtain Business Automobile Liability Insurance as required by this Solicitation or any Contract resulting from this Solicitation, except that such insurance may be limited to liability arising out of hired and/or non-owned automobiles, as applicable; and (ii) attest to the fact that the Contractor does not own or lease any automobiles used in connection with performance under the Contract, on a form provided by DOCCS. If, however, during the term of the Contract, the Contractor acquires or leases any automobiles that will be used in connection with performance under the Contract, the Contractor must obtain Business Automobile Liability Insurance that meets all of the requirements of this Section and provide proof of such coverage to DOCCS in accordance with the insurance requirements of any Contract resulting from this Solicitation.

3. ***Technology Errors and Omissions:*** The Contractor shall maintain, during the term of this Contract Technology/Professional Errors and Omissions Insurance for claims for damages arising from computer related services including, but not limited to, the following: consulting, data processing, programming, system integration, hardware or software development, installation, distribution or maintenance, systems analysis or design, training, staffing or other support services, any electronic equipment, computer software developed, manufactured, distributed, licensed, marketed or sold.

If the policy is written on a claims-made basis, the Contractor must provide to the Department of Corrections and Community Supervision proof that the policy provides the option to purchase an Extended Reporting Period ("tail coverage") providing coverage for no less than one (1) year after work is completed in the event that coverage is cancelled or not renewed. This requirement applies to both primary and excess liability policies, as applicable.

4. ***Data Breach/Cyber Insurance:*** Contractor is required to maintain during the term of this contract and as otherwise required herein, Data Breach and Privacy/Cyber Liability Insurance, including coverage for failure to protect confidential information and failure of the security of the Contractor's computer systems or the Authorized Users' system due to the actions of the Contractor which results in unauthorized access to the Authorized User(s) or their data.

Said insurance shall provide coverage for damages arising from, but not limited to the

following:

- Breach of duty to protect the security and confidentiality of nonpublic proprietary corporate information;
- Personally identifiable nonpublic information (e.g., medical, financial, or personal in nature in electronic or non-electronic form);
- Privacy notification costs;
- Regulatory defense and penalties;
- Website media liability; and
- Cyber theft of customer's property, including but not limited to money and securities.

If the policy is written on a claims made basis, the Contractor must submit to the Department of Corrections and Community Supervision proof that the policy provides the option to purchase an Extended Reporting Period ("tail coverage") providing coverage for no less than one (1) year after work is completed in the event that coverage is cancelled or not renewed. This requirement applies to both primary and excess liability policies, as applicable.

5. ***Workers' Compensation Insurance and Disability Benefits Requirements:*** Sections 57 and 220 of the New York State Workers' Compensation Law require the heads of all municipal and state entities to ensure that businesses applying for contracts have appropriate workers' compensation and disability benefits insurance coverage. These requirements apply to both original contracts and renewals. **Failure to provide proper proof of such coverage or a legal exemption will result in a rejection of a Bid or any contract renewal. A Bidder will not be awarded a Contract unless proof of workers' compensation and disability insurance is provided to DOCCS.** Proof of workers' compensation and disability benefits coverage, or proof of exemption must be submitted to DOCCS at the time of Bid submission, policy renewal, contract renewal, and upon request. Proof of compliance must be submitted on one of the following forms designated by the New York State Workers' Compensation Board. **An ACORD form is not acceptable proof of New York State workers' compensation or disability benefits insurance coverage.**

The failure to comply with the requirements of this Section at any time during the term of any Contract resulting from this Solicitation shall be considered a breach of the terms of any Contract resulting from this Solicitation and shall allow the People of the State of New York, the New York State Office of General Services, any entity authorized by law or regulation to use any Contract resulting from this Solicitation and their officers, agents, and employees to avail themselves of all remedies available under any Contract resulting from this Solicitation, at law or in equity.

Proof of Compliance with Workers' Compensation Coverage Requirements:

- Form CE-200, *Certificate of Attestation for New York Entities With No Employees and Certain Out of State Entities, That New York State Workers' Compensation and/or Disability Benefits Insurance Coverage is Not Required*, which is available on the Workers' Compensation Board's website (www.wcb.ny.gov);
- Form C-105.2 (9/07), *Certificate of Workers' Compensation Insurance*, sent to DOCCS by the Contractor's insurance carrier upon request, or if coverage is provided by the New York State Insurance Fund, they will provide Form U-26.3 to DOCCS upon request from the Contractor; or
- Form SI-12, *Certificate of Workers' Compensation Self-Insurance*, available from the New York State Workers' Compensation Board's Self-Insurance Office, or
- Form GSI-105.2, *Certificate of Participation in Workers' Compensation Group Self-Insurance*, available from the Contractor's Group Self-Insurance Administrator.

Proof of Compliance with Disability Benefits Coverage Requirements:

- Form CE-200, *Certificate of Attestation for New York Entities With No Employees and Certain Out of State Entities, That New York State Workers' Compensation and/or Disability Benefits Insurance Coverage is Not Required*, which is available on the Workers' Compensation Board's website (www.wcb.ny.gov);
- Form DB-120.1, Certificate of Disability Benefits Insurance, sent to DOCCS by the Contractor's insurance carrier upon request; or
- Form DB-155, Certificate of Disability Benefits Self-Insurance, available from the New York State Workers' Compensation Board's Self-Insurance Office.

An instruction manual clarifying the New York State Workers' Compensation Law requirements is available for download at the New York State Workers' Compensation Board's website, <http://www.wcb.ny.gov>. Once on the site, click on the Employers/Businesses tab and then click on Employers' Handbook.

10.0 ADDITIONAL CONTRACT CLAUSES

10.1 Standard Clauses for New York State Contracts

It should be noted that **Appendix A - Standard Clauses for New York State Contracts**, dated June 2023, contains important information related to the Contract to be entered into as a result of this Solicitation. All provisions and requirements of **Appendix A** will be incorporated, without change or amendment, into any Contract resulting from this Solicitation and will be binding upon the parties to such contract. By submitting a response to the RFP, the Bidder agrees to comply with all the provisions of **Appendix A**. Please retain this document for future reference.

10.2 General Specifications for DOCCS Contracts

Appendix B - General Specifications, dated April 2016, attached hereto, is hereby expressly made a part of this Bid Document as fully as if set forth at length herein and shall govern any situations not covered by this Bid Document or **Appendix A**. Please retain this document for future reference.

10.3 Order of Precedence - Terms and Conditions

Conflicts between documents shall be resolved in the following order of precedence:

- a. Appendix A – Standard Clauses for NYS Contracts
- b. This Request For Proposals, including its attachments
- c. Appendix B – General Specifications

10.4 Intellectual Property

Any work product created pursuant to this Agreement and any subcontract shall become the sole and exclusive property of the New York State Department of Corrections and Community Supervision, which shall have all rights of ownership and authorship in such work product.

10.5 Extent of Services

DOCCS reserves the right to re-negotiate at its discretion, to reduce the amount of services provided under any Contract resulting from this solicitation. This reduction in services shall be effectuated by written amendment to the Contract and subject to approval by the Office of the State Comptroller.

10.6 **Payment**

Payment for services rendered in accordance with the terms and conditions specified in this RFP and to the satisfaction of DOCCS are to be paid based on [Section 4.0 - Scope of Work](#), [Section 6.4 - Cost Proposal](#), **Attachment 5 - Cost Proposal**, and the following:

- a. The Contractor will be held responsible for any costs incurred by DOCCS above the cost of the contract pricing to obtain the services covered under this contract by another service provider due to Contractor negligence.
- b. Contractor will be paid/reimbursed only for actual and necessary expenses for services actually performed in accordance with this RFP and its resulting Contract.

Every Contractor doing business with the State of New York is required to be a registered vendor with the Office of the State Comptroller's Vendor Management Unit. For contracts to be approved and executed by both DOCCS and the Office of the State Comptroller, a Contractor must be registered within the Statewide Financial Management System (SFS). If the awardee does not already have a NYS Vendor ID number, upon contract award notice, the Contractor must submit a substitute W-9 form to DOCCS. This information will allow DOCCS to request the addition of the Contractor within SFS. Once a vendor has received a NYS Vendor ID, they will be able to enroll in SFS. If the Contractor is already a registered vendor within SFS, the Contractor shall provide the assigned Vendor ID number upon request.

Any payment made by DOCCS to the Contractor will be made through direct payment upon submission of billing invoices. Compensating balances will not be employed. Payment for invoices submitted (if applicable) by the Contractor shall be rendered electronically unless payment by paper check is expressly authorized by the Commissioner, in the Commissioner's sole discretion, due to extenuating circumstances. Such electronic payment shall be made in accordance with ordinary State procedures and practices. The Contractor shall comply with the State Comptroller's procedures to authorize electronic payments. Authorization forms are available at the State Comptroller's website at <https://www.osc.state.ny.us/state-vendors>.

Vendor acknowledges that it will not receive payment on any invoices submitted under this contract if it does not comply with the State Comptroller's electronic payment procedures, except where the Commissioner has expressly authorized payment by paper check as set forth above.

10.6.1 **Billing**

The Contractor will need to submit monthly billing invoices. Contractor must provide complete and accurate billing invoices to DOCCS in order to receive payment. Billing invoices submitted to DOCCS on a standard voucher must contain all information and supporting documentation required by the Contract, DOCCS, and OSC. DOCCS has agreed to the timely review and processing of all invoices. All invoices are subject to verification and audit processes.

Invoices must be submitted within 120 days of the date of service unless DOCCS has agreed in writing to a later submission. After notice of contract award, specific invoicing schedule will be determined mutually between DOCCS and the Contractor and instructions regarding invoice submission will be provided to the vendor.

Vendors must submit invoices with the following:

- A unique invoice number
- Contract Number
- SFS Vendor ID Number
- FEIN
- Contractor Name
- Date(s) of Service
- Amount Charged

Any other requested information will be determined prior to the start of work.

10.7 Encouraging Use of New York Businesses in Contract Performance

Public procurements can drive and improve the State's economic engine through promotion of the use of New York businesses by its contractors. New York State businesses have a substantial presence in State contracts and strongly contribute to the economies of the state and the nation. In recognition of their economic activity and leadership in doing business in New York State, bidders/proposers for this contract for commodities, services or technology are strongly encouraged and expected to consider New York State businesses in the fulfillment of the requirements of the contract. Such partnering may be as subcontractors, suppliers, protégés or other supporting roles. All bidders should complete **Attachment 10 - Encouraging Use of New York Businesses in Contract Performance**, to indicate their intent to use/not use New York Businesses in the performance of this contract.

10.8 Contract Performance in Facilities and/or Involving Contact with Incarcerated Individuals

Not applicable.

10.9 Tax Law §5-a; Sales and Compensating Use Tax Certification

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 offeror meeting the registration requirements but who is not so registered in accordance with the law.

The successful Bidder must file a properly completed Form ST-220-CA with the Department of Corrections and Community Supervision and Form ST-220-TD with the DTF. These requirements must be met before a contract may take effect. Further information can be found at the New York State Department of Taxation and Finance's website, available through this link: <http://www.tax.ny.gov/pdf/publications/sales/pub223.pdf>.

Forms are available through these links:

- ST-220 CA: http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf
- ST-220 TD: http://www.tax.ny.gov/pdf/current_forms/st/st220td_fill_in.pdf

10.10 Breach of Services

The failure to exercise any right herein in the past shall not operate as a waiver of such right. No breach of this Agreement shall be deemed waived unless such waiver shall be in writing and signed by the party claimed to have waived. No waiver of any breach of the Agreement at any time in the past shall constitute a waiver of subsequent breach.

10.11 Indemnification

The Contractor shall assume all risks of liability for its performance, or that of any of its officers, employees, subcontractors, or agents, of any contract resulting from this solicitation and shall be solely responsible and liable for all liabilities, losses, damages, costs or expenses, including attorney's fees, arising from any claim, action, or proceeding relating to or in any way connected with the performance of this Agreement and covenants and agrees to indemnify and hold harmless the State of New York, its agents, officers and employees, from any and all claims, suits, causes of action, and losses of whatever kind and nature, arising out of or in connection with its performance of any contract resulting from this solicitation, including negligence, active or passive or improper conduct of the Contractor, its officers, agents, subcontractors, or employees, or the failure by the Contractor, its officers, agents, subcontractors, or employees to perform any obligations or commitments to the State or third parties arising out of or resulting from any contract resulting from this solicitation. The Contractor's duty to indemnify shall cover direct, indirect, special, and consequential damages. Such indemnity shall not be limited to the insurance coverage herein prescribed.

10.12 Termination

In the event of termination, the Contractor shall be entitled to compensation for Services performed through the date of termination which are acceptable to DOCCS, in DOCCS sole discretion. In the event that a part of this agreement is terminated, the Contractor shall be entitled to compensation for non-terminated Services which are acceptable to DOCCS, in its sole discretion.

Bankruptcy: This Agreement may be deemed terminated immediately at the option of the State upon the filing of a petition in bankruptcy or insolvency, by or against the Contractor. Such termination shall be immediate and complete, without termination costs or further obligations by the State to the Contractor.

Breach of Services: In the event of any material breach of service by the contractor, the Department shall give written notice specifying the material breach. If such written notice of material breach is given and the contractor does not correct the breach to DOCCS satisfaction within 30 (thirty) days after receipt of the written notice, DOCCS shall have the right to unilaterally and immediately terminate the contract and seek a replacement provider in order to maintain services without penalty to DOCCS.

Cause: All or any part of this Agreement may be terminated immediately by the State, upon written notice of termination to the Contractor, if the Contractor fails to comply with any of the terms and conditions of the Agreement and/or with any laws, rules, regulations, policies, or procedures that are applicable to the Agreement.

Convenience: The State shall have the right to terminate this contract early for convenience. The State may only invoke its right to terminate for convenience on the end date of Year 1 of the Contract and on each subsequent anniversary date of the contract (except for the contract expiration date), provided that the State has given written notice to the contractor no later than 90 (ninety) days prior to the anniversary date.

Ethics Requirements: The State shall have the right to terminate this Contract at any time if any work performed hereunder is in conflict with any of the Ethics Requirements (see **Section 1.7**).

Lack of Funds: If for any reason the State or the Federal government terminates or reduces its appropriation or fails to pay the full amount of the allocation for the operation of one or more programs funded under this Agreement, the Agreements may be terminated or reduced at DOCCS discretion, provided that no such reduction or termination shall apply to allowable costs already incurred by the Contractor where funds are available to the State for payment of such costs. Upon termination or reduction of the Agreement, all remaining funds paid to the Contractor that are not subject to allowable costs already incurred by the Contractor shall be returned to the State. In any event, no liability shall be incurred by the State beyond monies available for the purposes of the Agreement. The Contractor acknowledges that any funds due to the State because of disallowed expenditures after audit shall be the Contractor's responsibility.

Mutual Consent: All or any part of this Agreement may be terminated by mutual written agreement of the contracting parties.

Procurement Lobbying (State Finance Law §139-k): DOCCS 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 (see **Section 1.7.3**). Upon such finding, DOCCS may exercise its termination right by providing written notification to the Contractor in accordance with the written notification terms of this Contract.

Sales and Compensating Use Tax Certification (Tax Law §5-a): DOCCS reserves the right to terminate this Contract in the event it is found that the certification filed by the Contractor in accordance with §5-a of the Tax Law is not timely filed during the term of the Contract or the certification furnished was intentionally false or intentionally incomplete (see **Section 8.20**). Upon such finding, DOCCS may exercise its termination right by providing written notification to the Contractor.

10.13 Piggybacking

New York State Finance Law §163(10)(e) (see also <https://www.nysenate.gov/legislation/laws/STF/163>) allows the Commissioner of the NYS Office of General Services to consent to the use of this contract by other New York State Agencies, and other authorized purchasers, subject to conditions and the Contractor's consent.

Appendices

APPENDIX A

STANDARD CLAUSES FOR NEW YORK STATE CONTRACTS

**PLEASE RETAIN THIS DOCUMENT
FOR FUTURE REFERENCE.**

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STANDARD CLAUSES FOR NYS CONTRACTS

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

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

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

3. COMPTROLLER’S APPROVAL. In accordance with Section 112 of the State Finance Law, if this contract exceeds \$50,000 (or \$75,000 for State University of New York or City University of New York contracts for goods, services, construction and printing, and \$150,000 for State University Health Care Facilities) 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 \$25,000, 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, either for itself or its customer agencies by the Office of General Services Business Services Center, is required when such contracts exceed \$85,000. Comptroller’s approval of contracts established as centralized contracts through the Office of General Services is required when such contracts exceed \$125,000, and when a purchase order or other procurement transaction issued under such centralized contract exceeds \$200,000.

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

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

accordance with the Labor Law. Additionally, effective April 28, 2008, if this is a public work contract covered by Article 8 of the Labor Law, the Contractor understands and agrees that the filing of payrolls in a manner consistent with Subdivision 3-a of Section 220 of the Labor Law shall be a condition precedent to payment by the State of any State approved sums due and owing for work done upon the project.

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

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

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

10. RECORDS. The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively, the "Records"). The Records

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

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

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

12. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN.

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

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

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

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

Contractor will include the provisions of "(a), (b) and (c)" above, in every subcontract over \$25,000.00 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work") except where the Work is for the beneficial use of the Contractor. Section 312 does not

apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State. The State shall consider compliance by a contractor or subcontractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this clause. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Department of Economic Development's Division of Minority and Women's Business Development pertaining hereto.

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

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

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

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

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

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

law will be the responsibility of the contractor to establish to meet with the approval of the State.

In addition, when any portion of this contract involving the use of woods, whether supply or installation, is to be performed by any subcontractor, the prime Contractor will indicate and certify in the submitted bid proposal that the subcontractor has been informed and is in compliance with specifications and provisions regarding use of tropical hardwoods as detailed in § 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 and Technology Development
625 Broadway
Albany, New York 12245
Telephone: 518-292-5100

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

NYS Department of Economic Development
Division of Minority and Women's Business Development
633 Third Avenue 33rd Floor
New York, NY 10017
646-846-7364
email: mwbebusinessdev@esd.ny.gov
<https://ny.newnycontracts.com/FrontEnd/searchcertifieddirectory.asp>

The Omnibus Procurement Act of 1992 (Chapter 844 of the Laws of 1992, codified in State Finance Law § 139-i and Public Authorities Law § 2879(3)(n)-(p)) 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, codified in State Finance Law § 165(6) and Public Authorities Law § 2879(5)) require that they be denied contracts which they would otherwise obtain. NOTE: As of May 2023, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii.

22. COMPLIANCE WITH BREACH NOTIFICATION AND DATA SECURITY LAWS. Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law §§ 899-aa and 899-bb and State Technology Law § 208).

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

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

25. CERTIFICATION OF REGISTRATION TO COLLECT SALES AND COMPENSATING USE TAX BY CERTAIN STATE CONTRACTORS, AFFILIATES AND SUBCONTRACTORS.

To the extent this agreement is a contract as defined by Tax Law § 5-a, if the contractor fails to make the certification required by Tax Law § 5-a or if during the term of the contract, the Department of Taxation and Finance or the covered agency, as defined by Tax Law § 5-a, discovers that the certification, made under penalty of perjury, is false, then such failure to file or false certification shall be a material breach of this contract and this contract may be terminated, by providing written notification to the Contractor in accordance with the terms of the agreement, if the covered agency determines that such action is in the best interest of the State.

26. IRAN DIVESTMENT ACT. By entering into this Agreement, Contractor certifies in accordance with State Finance Law § 165-a that it is not on the “Entities Determined to be Non-Responsive Bidders/Offerers pursuant to the New York State Iran Divestment Act of 2012” (“Prohibited Entities List”) posted at: <https://ogs.ny.gov/iran-divestment-act-2012>

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

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

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

27. ADMISSIBILITY OF REPRODUCTION OF CONTRACT. Notwithstanding the best evidence rule or any other legal principle or rule of evidence to the contrary, the Contractor acknowledges and agrees that it waives any and all objections to the admissibility into evidence at any court proceeding or to the use at any examination before trial of an electronic reproduction of this contract, in the form approved by the State Comptroller, if such approval was required, regardless of whether the original of said contract is in existence.

APPENDIX B
GENERAL SPECIFICATIONS

PLEASE RETAIN THIS DOCUMENT FOR FUTURE REFERENCE

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GENERAL

1. **APPLICABILITY** The terms and conditions set forth in this Appendix B are expressly incorporated in and applicable to the resulting procurement contracts let by the Department of Corrections and Community Supervision, or let by any other Authorized User where incorporated by reference in its Bid Documents. Captions are intended as descriptive and are not intended to limit or otherwise restrict the terms and conditions set forth herein.

2. **GOVERNING LAW** This procurement, the resulting contract and any purchase orders issued hereunder shall be governed by the laws of the State of New York except where the Federal supremacy clause requires otherwise, and actions or proceedings arising from the contract shall be heard in a court of competent jurisdiction in the State of New York.

3. **ETHICS COMPLIANCE** All Bidders/Contractors and their employees must comply with the requirements of Sections 73 and 74 of the Public Officers Law, other State codes, rules, regulations and executive orders establishing ethical standards for the conduct of business with New York State. In signing the Bid, Bidder certifies full compliance with those provisions for any present or future dealings, transactions, sales, contracts, services, offers, relationships, etc., involving New York State and/or its employees. Failure to comply with those provisions may result in disqualification from the Bidding process, termination of contract, and/or other civil or criminal proceedings as required by law.

4. **CONFLICT OF TERMS** Unless otherwise set forth in the procurement or contract documents, conflicts among documents shall be resolved in the following order of precedence:

- a. **Appendix A** (Standard Clauses for NYS Contracts)
- b. **Mini-Bid Project Definition** if applicable and in accordance with the terms and conditions of the Back-Drop Contract.
- c. **Contract and other writing(s)** setting forth the final agreements, clarifications and terms between the Bid Documents and Contractor's Bid. In the latter circumstance, clarifications must specifically note in writing what was offered by the Contractor and what was accepted by the State. If not, such clarifications shall be considered last in the order of precedence under this paragraph.
- d. **Bid Documents** (Other than Appendix A).
 - i. Bid Specifications prepared by the Authorized User.
 - ii. Appendix B (General Specifications).
 - iii. Incorporated Contract Appendices, if any, following the order of precedence as stated for Contract above.
- e. **Contractor's Bid or Mini-Bid Proposal**.
- f. **Unincorporated Appendices** (if any).

5. **DEFINITIONS** Terms used in this Appendix B shall have the following meanings:

AFFILIATE Any individual or other legal entity, (including but not limited to sole proprietor, partnership, limited liability company, firm or corporation) that effectively controls another company in which (a) the Bidder owns more than 50% of the ownership; or (b) any individual or other legal entity which owns more than 50% of the ownership of the Bidder. In addition, if a Bidder owns less than 50% of the ownership of another legal entity, but directs or has the right to direct such entity's daily operations, that entity will be an Affiliate.

AGENCY OR AGENCIES The State of New York, acting by or through one or more departments, boards, commissions, offices or institutions of the State of New York.

ATTORNEY GENERAL Attorney General of the State of New York.

AUTHORIZED USER(S) Agencies, or any other entity authorized by the laws of the State of New York to participate in NYS centralized contracts (including but not limited to political subdivisions, public authorities, public benefit corporations and certain other entities set forth in law), or the State of New York acting on behalf of one or more such Agencies or other entities, provided that each such Agency or other entity shall be held solely responsible for liabilities or payments due as a result of its participation.

BID OR BID PROPOSAL An offer or proposal submitted by a Bidder to furnish a described product or a solution, perform services or means of achieving a practical end, at a stated price for the stated Contract term. As required by the Bid Documents, the Bid or proposal may be subject to modification through the solicitation by the Agency of best and final offers during the evaluation process prior to recommendation for award of the Contract.

BIDDER/OFFERER Any individual or other legal entity (including but not limited to sole proprietor, partnership, limited liability company, firm or corporation) which submits a Bid in response to a Bid Solicitation. The term Bidder shall also include the term "offeror." In the case of negotiated Contracts, "Bidder" shall refer to the "Contractor."

BID DOCUMENTS Writings by the State setting forth the scope, terms, conditions and technical specifications for a procurement of Product. Such writings typically include, but are not limited to: Invitation for Bids (IFB), Request for Quotation (RFQ), Request for Proposals (RFP), addenda or amendments thereto, and terms and conditions which are incorporated by reference, including but not limited to, Appendix A (Standard Clauses for NYS Contracts), Appendix B, (General Specifications). Where these General Specifications are incorporated in negotiated Contracts that have not been competitively Bid, the term "Bid Documents" shall be deemed to refer to the terms and conditions set forth in the negotiated Contract and associated documentation.

BID SPECIFICATION A written description drafted by the Authorized User setting forth the specific terms of the intended procurement, which may include: physical or functional characteristics, the nature of a commodity or construction item, any description of the work to be performed, Products to be provided, the necessary qualifications of the Bidder, the capacity and capability of the Bidder to successfully carry out the proposed Contract, or the process for achieving specific results and/or anticipated outcomes or any other requirement necessary to perform work. Where these General Specifications are incorporated in negotiated Contracts that have not been competitively Bid, the term "Bid Specifications" shall be deemed to refer to the terms and conditions set forth in the negotiated Contract and associated documentation.

COMMISSIONER Commissioner of DOCCS, or in the case of Bid Specifications issued by an Authorized User, the head of such Authorized User or their authorized representative.

COMPTROLLER Comptroller of the State of New York.

CONTRACT The writing(s) which contain the agreement of the Commissioner and the Bidder/Contractor setting forth the total legal obligation between the parties as determined by applicable rules of law, and which most typically include the following classifications of public procurements:

a. Agency Specific Contracts Contracts where the specifications for a Product or a particular scope of work are described and defined to meet the needs of one or more Authorized User(s).

b. Piggyback Contract A Contract let by any department, agency or instrumentality of the United States government, or any department, agency, office, political subdivision or instrumentality of any state or state(s) which is adopted and extended for use by the DOCCS Commissioner in accordance with the requirements of the State Finance Law.

c. Contract Letter A letter to the successful Bidder(s) indicating acceptance of its Bid in response to a solicitation. Unless otherwise specified, the issuance of a Letter of Acceptance forms a Contract but is not an order for Product, and Contractor should not take any action with respect to actual Contract deliveries except on the basis of Purchase Orders sent from Authorized User(s).

CONTRACT AWARD NOTIFICATION An announcement to Authorized Users that a Contract has been established.

CONTRACTOR Any successful Bidder(s) to whom a Contract has been awarded by the Commissioner.

DOCUMENTATION The complete set of manuals (e.g., user, installation, instruction or diagnostic manuals) in either hard or electronic copy, which are necessary to enable an Authorized User to properly test, install, operate and enjoy full use of the Product.

EMERGENCY An urgent and unexpected requirement where health and public safety or the conservation of public resources is at risk.

ENTERPRISE The total business operations in the United States of Authorized User (s) without regard to geographic location where such operations are performed or the entity actually performing such operations on behalf of Authorized User.

ENTERPRISE LICENSE A license grant of unlimited rights to deploy, access, use and execute Product anywhere within the Enterprise up to the maximum capacity stated on the Purchase Order or in the Contract.

ERROR CORRECTIONS Machine executable software code furnished by Contractor which corrects the Product so as to conform to the applicable warranties, performance standards and/or obligations of the Contractor.

INVITATION FOR BIDS (IFB) A type of Bid Document which is most typically used where requirements can be stated and award will be made based on lowest price to the responsive and responsible Bidder(s).

LICENSED SOFTWARE Software transferred upon the terms and conditions set forth in the Contract. "Licensed Software" includes error corrections, upgrades, enhancements or new releases, and any deliverables due under a maintenance or service contract (e.g., patches, fixes, PTFs, programs, code or data conversion, or custom programming).

LICENSEE One or more Authorized Users who acquire Product from Contractor by issuing a Purchase Order in accordance with the terms and conditions of the Contract; provided that, for purposes of compliance with an individual license, the term "Licensee" shall be deemed to refer separately to the individual Authorized User(s) who took receipt of and who is executing the Product, and who shall be solely responsible for performance and liabilities incurred. In the case

of acquisitions by State Agencies, the Licensee shall be the State of New York.

LICENSE EFFECTIVE DATE The date Product is delivered to an Authorized User. Where a License involves Licensee's right to copy a previously licensed and delivered Master Copy of a Program, the license effective date for additional copies shall be deemed to be the date on which the Purchase Order is executed.

LICENSOR A Contractor who transfers rights in proprietary Product to Authorized Users in accordance with the rights and obligations specified in the Contract.

MINI-BID PROJECT DEFINITION A Bid Document containing project specific Bid Specifications developed by or for an Authorized User which solicits Bids from Contractors previously qualified under a Back-Drop Contract.

MULTIPLE AWARD A determination and award of a Contract in the discretion of the Commissioner to more than one responsive and responsible Bidder who meets the requirements of a specification, where the multiple award is made on the grounds set forth in the Bid Document in order to satisfy multiple factors and needs of Authorized Users (e.g., complexity of items, various manufacturers, differences in performance required to accomplish or produce required end results, production and distribution facilities, price, compliance with delivery requirements, geographic location or other pertinent factors).

NEW PRODUCT RELEASES (Product Revisions) Any commercially released revisions to the licensed version of a Product as may be generally offered and available to Authorized Users. New releases involve a substantial revision of functionality from a previously released version of the Product.

PROCUREMENT RECORD Documentation by the Authorized User of the decisions made and approach taken during the procurement process and during the contract term.

PRODUCT A deliverable under any Bid or Contract which may include commodities, services and/or technology. The term "Product" includes Licensed Software.

PROPRIETARY Protected by secrecy, patent, copyright or trademark against commercial competition.

PURCHASE ORDER The Authorized User's fiscal form or format that is used when making a purchase (e.g., formal written Purchase Order, Procurement Card, electronic Purchase Order, or other authorized instrument).

REQUEST FOR PROPOSALS (RFP) A type of Bid Document that is used for procurements where factors in addition to cost are considered and weighted in awarding the contract and where the method of award is "best value," as defined by the State Finance Law.

REQUEST FOR QUOTATION (RFQ) A type of Bid Document that can be used when a formal Bid opening is not required (e.g., discretionary, sole source, single source or emergency purchases).

RESPONSIBLE BIDDER A Bidder that is determined to have financial and organizational capacity, legal authority, satisfactory previous performance, skill, judgment and integrity, and that is found to be competent, reliable and experienced, as determined by the Commissioner. For purposes of being deemed responsible, a Bidder must also be determined to be in compliance with Sections 139-j and 139-k of the State Finance Law relative to restrictions on contacts

during the procurement process and disclosure of contacts and prior findings of non-responsibility under these statutes.

RESPONSIVE BIDDER A Bidder meeting the specifications or requirements prescribed in the Bid Document or solicitation, as determined by the Commissioner.

SINGLE SOURCE A procurement where two or more Bidders can supply the required Product, and the Commissioner may award the contract to one Bidder over the other.

SITE The location (street address) where Product will be executed or services delivered.

SOLE SOURCE A procurement where only one Bidder is capable of supplying the required Product.

SOURCE CODE The programming statements or instructions written and expressed in any language understandable by a human being skilled in the art which are translated by a language compiler to produce executable machine Object Code.

STATE State of New York.

SUBCONTRACTOR Any individual or other legal entity, (including but not limited to sole proprietor, partnership, limited liability company, firm or corporation) who has entered into a contract, express or implied, for the performance of a portion of a Contract with a Contractor.

TERMS OF LICENSE The terms and conditions set forth in the Contract that are in effect and applicable to a Purchase Order at the time of order placement.

VIRUS Any computer code, whether or not written or conceived by Contractor, that disrupts, disables, harms, or otherwise impedes in any manner the operation of the Product, or any other associated software, firmware, hardware, or computer system (such as local area or wide-area networks), including aesthetic disruptions or distortions, but does not include security keys or other such devices installed by Product manufacturer.

BID SUBMISSION

6. INTERNATIONAL BIDDING All offers (tenders), and all information and Product required by the solicitation or provided as explanation thereof, shall be submitted in English. All prices shall be expressed, and all payments shall be made, in United States Dollars (\$US). Any offers (tenders) submitted which do not meet the above criteria will be rejected.

7. BID OPENING Bids may, as applicable, be opened publicly. The Commissioner reserves the right at any time to postpone or cancel a scheduled Bid opening.

8. BID SUBMISSION All Bids are to be packaged, sealed and submitted to the location stated in the Bid Specifications. Bidders are solely responsible for timely delivery of their Bids to the location set forth in the Bid Specifications prior to the stated Bid opening date/time.

A Bid return envelope, if provided with the Bid Specifications, should be used with the Bid sealed inside. If the Bid response does not fit into the envelope, the Bid envelope should be attached to the outside of the sealed box or package with the Bid inside. If using a commercial

delivery company that requires use of their shipping package or envelope, Bidder's sealed Bid, labeled as detailed below, should be placed within the shipper's sealed envelope to ensure that the Bid is not prematurely opened.

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

"BID ENCLOSED (bold print, all capitals)

- Group Number
- IFB or RFP Number
- Bid Submission date and time"

In the event that a Bidder fails to provide such information on the return Bid envelope or shipping material, the receiving entity reserves the right to open the shipping package or envelope to determine the proper Bid number or Product group, and the date and time of Bid opening. Bidder shall have no claim against the receiving entity arising from such opening and such opening shall not affect the validity of the Bid or the procurement.

Notwithstanding the receiving agency's right to open a Bid to ascertain the foregoing information, Bidder assumes all risk of late delivery associated with the Bid not being identified, packaged or labeled in accordance with the foregoing requirements.

All Bids must be signed by a person authorized to commit the Bidder to the terms of the Bid Documents and the content of the Bid (offer).

9. FACSIMILE SUBMISSIONS Unless specifically prohibited by the terms of the Bid Specifications, facsimile Bids may be SUBMITTED AT THE SOLE OPTION AND RISK OF THE BIDDER. Only the FAX number(s) indicated in the Bid Specifications may be used. Access to the facsimile machine(s) is on a "first come, first serve" basis, and the Commissioner bears no liability or responsibility and makes no guarantee whatsoever with respect to the Bidder's access to such equipment at any specific time. Bidders are solely responsible for submission and receipt of the entire facsimile Bid by the Authorized User prior to Bid opening and must include on the first page of the transmission the total number of pages transmitted in the facsimile, including the cover page. Incomplete, ambiguous or unreadable transmissions in whole or in part may be rejected at the sole discretion of the Commissioner. Facsimile Bids are fully governed by all conditions outlined in the Bid Documents and must be submitted on forms or in the format required in the Bid Specifications, including the executed signature page and acknowledgment.

10. AUTHENTICATION OF FACSIMILE BIDS The act of submitting a Bid by facsimile transmission, including an executed signature page or as otherwise specified in the Bid Documents, shall be deemed a confirming act by Bidder which authenticates the signing of the Bid.

11. LATE BIDS For purposes of Bid openings held and conducted by DOCCS, a Bid must be received in such place as may be designated in the Bid Documents.

Any Bid received at the specified location after the time specified will be considered a late Bid. A late Bid shall not be considered for award unless: (i) no timely Bids meeting the requirements of the Bid Documents are received or, (ii) in the case of a multiple award, an insufficient number of timely Bids were received to satisfy the multiple award; and acceptance of the late Bid is in the best interests of the Authorized Users. Delays in United States mail deliveries or

any other means of transmittal, including couriers or agents of the Authorized User shall not excuse late Bid submissions. Similar types of delays, including but not limited to, bad weather, or security procedures for parking and building admittance shall not excuse late Bid submissions. Determinations relative to Bid timeliness shall be at the sole discretion of the Commissioner.

12. BID CONTENTS Bids must be complete and legible. All Bids must be signed. All information required by the Bid Specifications must be supplied by the Bidder on the forms or in the format specified. No alteration, erasure or addition is to be made to the Bid Documents. Changes may be ignored by the Commissioner or may be grounds for rejection of the Bid. Changes, corrections and/or use of white-out in the Bid or Bidder's response portion of the Bid Document must be initialed by an authorized representative of the Bidder. Bidders are cautioned to verify their Bids before submission, as amendments to Bids or requests for withdrawal of Bids received by the Commissioner after the time specified for the Bid opening, may not be considered.

13. EXTRANEOUS TERMS Bids must conform to the terms set forth in the Bid Documents, as extraneous terms or material deviations (including additional, inconsistent, conflicting or alternative terms) may render the Bid non-responsive and may result in rejection of the Bid.

Extraneous term(s) submitted on standard, pre-printed forms (including but not limited to: product literature, order forms, license agreements, contracts or other documents) that are attached or referenced with submissions shall not be considered part of the Bid or resulting Contract, but shall be deemed included for informational or promotional purposes only.

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

- a. Each proposed extraneous term (addition, deletion, counter-offer, deviation, or modification) must be specifically enumerated in a writing which is not part of a pre-printed form; and
- b. The writing must identify the particular specification requirement (if any) that Bidder rejects or proposes to modify by inclusion of the extraneous term; and
- c. The Bidder shall enumerate the proposed addition, counter offer, modification or deviation from the Bid Document, and the reasons therefore.

No extraneous term(s), whether or not deemed "material," shall be incorporated into a Contract or Purchase Order unless submitted in accordance with the above and the Commissioner or Authorized User expressly accepts each such term(s) in writing. Acceptance and/or processing of the Bid shall not constitute such written acceptance of Extraneous Term(s).

14. CONFIDENTIAL/TRADE SECRET MATERIALS

a. **Contractor** Confidential, trade secret or proprietary materials as defined by the laws of the State of New York must be clearly marked and identified as such upon submission by the Bidder. Marking the Bid as "confidential" or "proprietary" on its face or in the document header or footer shall not be considered by the Commissioner or Authorized User to be sufficient without specific justification as to why disclosure of particular information in the Bid would cause substantial injury to the competitive position of the Bidder. Bidders/Contractors intending to seek an exemption from disclosure of these materials under the Freedom of Information Law must request the exemption in writing, setting forth the reasons for the claimed

exemption. Acceptance of the claimed materials does not constitute a determination on the exemption request, which determination will be made in accordance with statutory procedures. Properly identified information that has been designated confidential, trade secret, or proprietary by the Bidder will not be disclosed except as may be required by the Freedom of Information Law or other applicable State and federal laws.

b. **Commissioner or Authorized User** Contractor further warrants, covenants and represents that any confidential information obtained by Contractor, its agents, Subcontractors, officers, distributors, resellers or employees in the course of performing its obligations, including without limitation, security procedures, business operations information, or commercial proprietary information in the possession of the State or any Authorized User hereunder or received from another third party, will not be divulged to any third parties. Contractor shall not be required to keep confidential any such material that is publicly available through no fault of Contractor, independently developed by Contractor without reliance on confidential information of the Authorized User, or otherwise obtained under the Freedom of Information Act or other applicable New York State laws and regulations. This warranty shall survive termination of this Contract. Contractor further agrees to take appropriate steps as to its agents, Subcontractors, officers, distributors, resellers or employees regarding the obligations arising under this clause to insure such confidentiality.

15. RELEASE OF BID EVALUATION MATERIALS Requests concerning the evaluation of Bids may be submitted under the Freedom of Information Law. Information, other than statistical or factual tabulations or data such as the Bid Tabulation, shall only be released as required by law after Contract award. Bid Tabulations are not maintained for all procurements. Names of Bidders may be disclosed after Bid opening upon request. Written requests should be directed to the Commissioner.

16. FREEDOM OF INFORMATION LAW During the evaluation process, the content of each Bid will be held in confidence and details of any Bid will not be revealed (except as may be required under the Freedom of Information Law or other State law). The Freedom of Information Law provides for an exemption from disclosure for trade secrets or information the disclosure of which would cause injury to the competitive position of commercial enterprises. This exception would be effective both during and after the evaluation process. If the Bid contains any such trade secret or other confidential or proprietary information, it must be accompanied in the Bid with a written request to the Commissioner to not disclose such information. Such request must state with particularity the reasons why the information should not be available for disclosure and must be provided at the time of submission of the Bid. Notations in the header, footer or watermark of the Bid Document will not be considered sufficient to constitute a request for non-disclosure of trade secret or other confidential or proprietary information. Where a Freedom of Information request is made for trademark or other confidential or proprietary information, the Commissioner reserves the right to determine upon written notice to the Bidder whether such information qualifies for the exemption for disclosure under the law. Notwithstanding the above, where a Bid tabulation is prepared and Bids publicly opened, such Bid tabulation shall be available upon request.

17. PREVAILING WAGE RATES - PUBLIC WORKS AND BUILDING SERVICES CONTRACTS If any portion of work being Bid is subject to the prevailing wage rate provisions of the Labor Law, the following shall apply:

- a. **"Public Works" and "Building Services" - Definitions**

i. Public Works Labor Law Article 8 applies to contracts for public improvement in which laborers, workers or mechanics are employed on a “public works” project (distinguished from public “procurement” or “service” contracts). The State, a public benefit corporation, a municipal corporation (including a school district), or a commission appointed by law must be a party to the Contract. The wage and hours provision applies to any work performed by Contractor or Subcontractors.

ii. Building Services Labor Law Article 9 applies to Contracts for building service work over \$1,500 with a public agency, that: (i) involve the care or maintenance of an existing building, or (ii) involve the transportation of office furniture or equipment to or from such building, or (iii) involve the transportation and delivery of fossil fuel to such building, and (iv) the principal purpose of which is to furnish services through use of building service employees.

b. Prevailing Wage Rate Applicable to Bid Submissions A copy of the applicable prevailing wage rates to be paid or provided are annexed to the Bid Documents. Bidders must submit Bids which are based upon the prevailing hourly wages, and supplements in cash or equivalent benefits (i.e., fringe benefits and any cash or non-cash compensation which are not wages, as defined by law) that equal or exceed the applicable prevailing wage rate(s) for the location where the work is to be performed. Bidders may not submit Bids based upon hourly wage rates and supplements below the applicable prevailing wage rates as established by the New York State Department of Labor. Bids that fail to comply with this requirement will be disqualified.

c. Wage Rate Payments / Changes During Contract Term The wages to be paid under any resulting Contract shall not be less than the prevailing rate of wages and supplements as set forth by law. It is required that the Contractor keep informed of all changes in the Prevailing Wage Rates during the Contract term that apply to the classes of individuals supplied by the Contractor on any projects resulting from this Contract, subject to the provisions of the Labor Law. Contractor is solely liable for and must pay such required prevailing wage adjustments during the Contract term as required by law.

d. Public Posting & Certified Payroll Records In compliance with Article 8, Section 220 of the New York State Labor Law:

i. Posting The Contractor must publicly post on the work site, in a prominent and accessible place, a legible schedule of the prevailing wage rates and supplements.

ii. Payroll Records Contractors and Subcontractors must keep original payrolls or transcripts subscribed and affirmed as true under the penalties of perjury as required by law. For public works contracts over \$25,000 where the Contractor maintains no regular place of business in New York State, such records must be kept at the work site. For building services contracts, such records must be kept at the work site while work is being performed.

iii. Submission of Certified Payroll Transcripts for Public Works Contracts Only Contractors and Subcontractors on public works projects must submit monthly payroll transcripts to the Authorized User that has prepared or directs the preparation of the plans and specifications for a public works project, as set forth in the Bid Specifications. For “agency specific” Bids, the payroll records should be submitted to the entity issuing the purchase order. Upon mutual agreement of the Contractor and the Authorized User, the form of submission may be submitted in a specified disk format acceptable to the Department of Labor provided: 1) the Contractor/Subcontractor retains the original records; and, (2) an original signed letter by a duly

authorized individual of the Contractor or Subcontractor attesting to the truth and accuracy of the records accompanies the disk. This provision does not apply to Article 9 of the Labor Law building services contracts.

iv. Records Retention Contractors and Subcontractors must preserve such certified transcripts for a period of three years from the date of completion of work on the awarded contract.

Day's Labor Eight hours shall constitute a legal day's work for all classes of employees in this state except those engaged in farm and domestic service unless otherwise provided by law.

No laborers, workmen or mechanics in the employ of the Contractor, Subcontractor or other person doing or contracting to do all or part of the work contemplated by the Contract shall be permitted or required to work more than eight hours in any one calendar day or more than five calendar days in any one week except in cases of extraordinary emergency including fire, flood or danger to life or property. “Extraordinary emergency” shall be deemed to include situations in which sufficient laborers, workers and mechanics cannot be employed to carry on public work expeditiously as a result of such restrictions upon the number of hours and days of labor and the immediate commencement or prosecution or completion without undue delay of the public work is necessary in the judgment of the NYS Commissioner of Labor for the preservation of the Contract site or for the protection of the life and limb of the persons using the Contract site.

18. TAXES

a. Unless otherwise specified in the Bid Specifications or Contract, the quoted Bid price includes all taxes applicable to the transaction.

b. Purchases made by the State of New York and certain non-State Authorized Users are exempt from New York State and local sales taxes and, with certain exceptions, federal excise taxes. To satisfy the requirements of the New York State Sales tax exemption, either the Purchase Order issued by a State Agency or the invoice forwarded to authorize payment for such purchases will be sufficient evidence that the sale by the Contractor was made to the State, an exempt organization under Section 1116 (a) (1) of the Tax Law. Non-State Authorized Users must offer their own proof of exemption upon request. No person, firm or corporation is, however, exempt from paying the State Truck Mileage and Unemployment Insurance or Federal Social Security taxes, which remain the sole responsibility of the Bidder/Contractor.

c. Pursuant to Revised Tax Law 5-a, Contractor will be required to furnish sales tax certification on its behalf and for its affiliates, and subcontractors for Contracts with a value greater than \$100,000 in accordance with provisions of the law.

d. Purchases by Authorized Users other than the State of New York may be subject to certain taxes which were not included in the Bid price, and in those instances the tax should be computed based on the Contract price and added to the invoice submitted to such entity for payment.

19. EXPENSES PRIOR TO CONTRACT EXECUTION The Commissioner and any Authorized User(s) are not liable for any costs incurred by a Vendor, Bidder or Contractor in the preparation and production of a Bid, Mini-Bid or best and final offers or for any work performed prior to Contract execution.

20. ADVERTISING RESULTS The prior written approval of the Commissioner is required in order for results of the Bid to be used by

the Contractor as part of any commercial advertising. The Contractor shall also obtain the prior written approval of the Commissioner relative to the Bid or Contract for press or other media releases.

21. PRODUCT REFERENCES

a. **“Or Equal”** In all Bid Specifications the words “or equal” are understood to apply where a copyrighted, brand name, trade name, catalog reference, or patented Product is referenced. References to such specific Product are intended as descriptive, not restrictive, unless otherwise stated. Comparable Product will be considered if proof of compatibility is provided, including appropriate catalog excerpts, descriptive literature, specifications and test data, etc. The Commissioner’s decision as to acceptance of the Product as equal shall be final.

b. **Discrepancies in References** In the event of a discrepancy between the model number referenced in the Bid Specifications and the written description of the Products which cannot be reconciled, with respect to such discrepancy, then the written description shall prevail.

22. REMANUFACTURED, RECYCLED, RECYCLABLE OR RECOVERED MATERIALS Upon the conditions specified in the Bid Specifications and in accordance with the laws of the State of New York, Contractors are encouraged to use recycled, recyclable or recovered materials in the manufacture of Products and packaging to the maximum extent practicable without jeopardizing the performance or intended end use of the Product or packaging unless such use is precluded due to health, welfare, safety requirements or in the Bid Specifications. Contractors are further encouraged to offer remanufactured Products to the maximum extent practicable without jeopardizing the performance or intended end use of the Product and unless such use is precluded due to health, welfare, safety requirements or by the Bid Specifications. Where such use is not practical, suitable, or permitted by the Bid Specifications, Contractor shall deliver new materials in accordance with the “Warranties” set forth below.

Items with recycled, recyclable, recovered, refurbished or remanufactured content must be identified in the Bid or Bidder will be deemed to be offering new Product.

23. PRODUCTS MANUFACTURED IN PUBLIC INSTITUTIONS Bids offering Products that are manufactured or produced in public institutions will be rejected.

24. PRICING

a. **Unit Pricing** If required by the Bid Specifications, the Bidder should insert the price per unit specified and the price extensions in decimals, not to exceed four places for each item unless otherwise specified, in the Bid. In the event of a discrepancy between the unit price and the extension, the unit price shall govern unless, in the sole judgment of the Commissioner, such unit pricing is obviously erroneous.

b. **Net Pricing** Unless otherwise required by the Bid Specifications, prices shall be net, including transportation, customs, tariff, delivery and other charges fully prepaid by the Contractor to the destination(s) indicated in the Bid Specifications, subject to the cash discount.

c. **“No Charge” Bid** When Bids are requested on a number of Products as a Group or Lot, a Bidder desiring to Bid “no charge” on a Product in the Group or Lot must clearly indicate such. Otherwise, such Bid may be considered incomplete and be rejected, in whole or in part, at the discretion of the Commissioner.

d. **Educational Pricing** All Products to be supplied for educational purposes that are subject to educational discounts shall be identified in the Bid and such discounts shall be made available to qualifying institutions.

e. **Third Party Financing** If Product acquisitions are financed through any third party financing, Contractor may be required as a condition of Contract Award to agree to the terms and conditions of a “Consent & Acknowledgment Agreement” in a form acceptable to the Commissioner.

f. **Best Pricing Offer** During the Contract term, if substantially the same or a smaller quantity of a Product is sold by the Contractor outside of this Contract upon the same or similar terms and conditions as that of this Contract at a lower price to a federal, state or local governmental entity, the price under this Contract, at the discretion of the Commissioner, shall be immediately reduced to the lower price.

Price decreases shall take effect automatically during the Contract term and apply to Purchase Orders submitted on or after:

(i) **GSA Changes**: Where NYS Net Prices are based on an approved GSA Schedule, the date the approved GSA Schedule pricing decreases during the Contract term; or

(ii) **Commercial Price List Reductions**: Where NYS Net Prices are based on a discount from Contractor’s list prices, the date Contractor lowers its pricing to its customers generally or to similarly situated government customers during the Contract term; or

(iii) **Special Offers/Promotions Generally**: Where Contractor generally offers more advantageous special price promotions or special discount pricing to other customers during the Contract term for a similar quantity, and the maximum price or discount associated with such offer or promotion is better than the discount or Net Price otherwise available under this Contract, such better price or discount shall apply for similar quantity transactions under this Contract for the life of such general offer or promotion; and

(iv) **Special Offers/Promotions to Authorized Users**: Contractor may offer Authorized Users, under either this Contract or any other Contracting vehicle, competitive pricing which is lower than the NYS Net Price set forth herein at any time during the Contract term and such lower pricing shall not be applied as a global price reduction under the Contract pursuant to the foregoing paragraph (iii).

Unless otherwise specified in the Bid Specifications, Contractor may offer lower prices or better terms (see Modification of Contract Terms) on any specific Purchase Order(s) from any Authorized User without being in conflict with, or obligation to comply on a global basis, with the terms of this clause.

g. **Best and Final Prices** As specified in the Bid Documents and Contract, a Contractor may be solicited at the time of issuance of a Purchase Order or Mini-Bid award for best and final pricing for the Product or service to be delivered to the Authorized User. Contractors are encouraged to reduce their pricing upon receipt of such request.

25. DRAWINGS

a. **Drawings Submitted With Bid** When the Bid Specifications require the Bidder to furnish drawings and/or plans, such drawings and/or plans shall conform to the mandates of the Bid Documents and shall, when approved by the Commissioner, be considered a part of the Bid and of any resulting Contract. All symbols and other representations appearing on the drawings shall be considered a part of the drawing.

b. **Drawings Submitted During the Contract Term** Where required to develop, maintain and deliver diagrams or other technical schematics regarding the scope of work, Contractor shall do so on an

ongoing basis at no additional charge, and must, as a condition of payment, update drawings and plans during the Contract term to reflect additions, alterations, and deletions. Such drawings and diagrams shall be delivered to the Authorized User's representative.

c. Accuracy of Drawings Submitted All drawings shall be neat and professional in manner and shall be clearly labeled as to locations and type of product, connections and components. Drawings and diagrams are to be in compliance with accepted drafting standards. Acceptance or approval of such plans shall not relieve the Contractor from responsibility for design or other errors of any sort in the drawings or plans, or from its responsibility for performing as required, furnishing product, services or installation, or carrying out any other requirements of the intended scope of work.

26. SITE INSPECTION Where a site inspection is required by the Bid Specifications or Project Definition, Bidder shall be required to inspect the site, including environmental or other conditions for pre-existing deficiencies that may affect the installed Product, equipment, or environment or services to be provided and, which may affect Bidder's ability to properly deliver, install or otherwise provide the required Product. All inquiries regarding such conditions shall be made in writing. Bidder shall be deemed to have knowledge of any deficiencies or conditions which such inspection or inquiry might have disclosed. Bidder must provide a detailed explanation with its Bid if additional work is required under this clause in order to properly complete the delivery and installation of the required Product or provide the requested service.

27. PROCUREMENT CARD The State has entered into an agreement for purchasing card services. The Purchasing Card enables Authorized Users to make authorized purchases directly from a Contractor without processing a Purchase Orders or Purchase Authorizations. Purchasing Cards are issued to selected employees authorized to purchase for the Authorized User and having direct contact with Contractors. Cardholders can make purchases directly from any Contractor that accepts the Purchasing Card.

The Contractor shall not process a transaction for payment through the credit card clearinghouse until the purchased products have been shipped or services performed. Unless the cardholder requests correction or replacement of a defective or faulty Product in accordance with other Contract requirements, the Contractor shall immediately credit a cardholder's account for products returned as defective or faulty.

28. SAMPLES

a. Standard Samples Bid Specifications may indicate that the Product to be purchased must be equal to a standard sample on display in a place designated by the Commissioner and such sample will be made available to the Bidder for examination prior to the opening date. Failure by the Bidder to examine such sample shall not entitle the Bidder to any relief from the conditions imposed by the Bid Specifications.

b. Bidder Supplied Samples The Commissioner reserves the right to request from the Bidder/Contractor a representative sample(s) of the Product offered at any time prior to or after award of a contract. Unless otherwise instructed, samples shall be furnished within the time specified in the request. Untimely submission of a sample may constitute grounds for rejection of Bid or cancellation of the Contract. Samples must be submitted free of charge and be accompanied by the Bidder's name and address, any descriptive literature relating to the Product and a statement indicating how and where the sample is to be returned. Where applicable, samples must be properly labeled with the appropriate Bid or Contract reference.

A sample may be held by the Commissioner during the entire term of the Contract and for a reasonable period thereafter for comparison with deliveries. At the conclusion of the holding period the sample, where feasible, will be returned as instructed by the Bidder, at the Bidder's expense and risk. Where the Bidder has failed to fully instruct the Commissioner as to the return of the sample (i.e., mode and place of return, etc.) or refuses to bear the cost of its return, the sample shall become the sole property of the receiving entity at the conclusion of the holding period.

c. Enhanced Samples When an approved sample exceeds the minimum specifications, all Product delivered must be of the same enhanced quality and identity as the sample. Thereafter, in the event of a Contractor's default, the Commissioner may procure a Product substantially equal to the enhanced sample from other sources, charging the Contractor for any additional costs incurred.

d. Conformance with Sample(s) Submission of a sample (whether or not such sample is tested by, or for, the Commissioner) and approval thereof shall not relieve the Contractor from full compliance with all terms and conditions, performance related and otherwise, specified in the Bid Specifications. If in the judgment of the Commissioner the sample or product submitted is not in accordance with the specifications or testing requirements prescribed in the Bid Specifications, the Commissioner may reject the Bid. If an award has been made, the Commissioner may cancel the Contract at the expense of the Contractor.

e. Testing All samples are subject to tests in the manner and place designated by the Commissioner, either prior to or after Contract award. Unless otherwise stated in the Bid Specifications, Bidder samples consumed or rendered useless by testing will not be returned to the Bidder. Testing costs for samples that fails to meet Contract requirements may be at the expense of the Contractor.

f. Requests For Samples By Authorized Users Requests for samples by Authorized Users require the consent of the Contractor. Where Contractor refuses to furnish a sample, Authorized User may, in its sole discretion, make a determination on the performance capability of the Product or on the issue in question.

BID EVALUATION

29. BID EVALUATION The Commissioner reserves the right to accept or reject any and all Bids, or separable portions of offers, and waive technicalities, irregularities, and omissions if the Commissioner determines the best interests of the State will be served. The Commissioner, in his/her sole discretion, may accept or reject illegible, incomplete or vague Bids and his/her decision shall be final. A conditional or revocable Bid which clearly communicates the terms or limitations of acceptance may be considered, and Contract award may be made in compliance with the Bidder's conditional or revocable terms in the offer.

30. CONDITIONAL BID Unless the Bid Specifications provides otherwise, a Bid is not rendered non-responsive if the Bidder specifies that the award will be accepted only on all or a specified group of items or Product included in the specification. It is understood that nothing herein shall be deemed to change or alter the method of award contained in the Bid Documents.

31. CLARIFICATIONS / REVISIONS Prior to award, the Commissioner reserves the right to seek clarifications, request Bid revisions, or to request any information deemed necessary for proper

evaluation of Bids from all Bidders deemed to be eligible for Contract award. Failure to provide requested information may result in rejection of the Bid.

32. PROMPT PAYMENT DISCOUNTS While prompt payment discounts will not be considered in determining the low Bid, the Commissioner may consider any prompt payment discount in resolving Bids which are otherwise tied. However, any notation indicating that the price is net, (e.g., net 30 days), shall be understood to mean only that no prompt payment discount is offered by the Bidder. The imposition of service, interest, or other charges, except pursuant to the provisions of Article 11-A of the State Finance Law, which are applicable in any case, may render the Bid non-responsive and may be cause for its rejection.

33. EQUIVALENT OR IDENTICAL BIDS In the event two offers are found to be substantially equivalent, price shall be the basis for determining the award recipient. If two or more Bidders submit substantially equivalent Bids as to pricing or other factors, the decision of the Commissioner to award a Contract to one or more of such Bidders shall be final.

34. PERFORMANCE AND RESPONSIBILITY QUALIFICATIONS The Commissioner reserves the right to investigate or inspect at any time whether or not the Product, services, qualifications or facilities offered by the Bidder/Contractor meet the requirements set forth in the Bid Specifications/Contract or as set forth during Contract negotiations. Contractor shall at all times during the Contract term remain responsible and responsive. A Bidder/Contractor must be prepared, if requested by the Commissioner, to present evidence of legal authority to do business in New York State, integrity, experience, ability, prior performance, organizational and financial capacity as well as where applicable, a statement as to supply, plant, machinery and capacity of the manufacturer or source for the production, distribution and servicing of the Product offered/Bid. If the Commissioner determines that the conditions and terms of the Bid Documents, Bid Specifications or Contract are not complied with, or that items, services or Product proposed to be furnished do not meet the specified requirements, or that the legal authority, integrity experience, ability, prior performance, organization and financial capacity or facilities are not satisfactory, the Commissioner may reject such Bid or terminate the Contract.

35. DISQUALIFICATION FOR PAST PERFORMANCE AND FINDINGS OF NON-RESPONSIBILITY Bidder may be disqualified from receiving awards if Bidder, or anyone in Bidder's employment, has previously failed to perform satisfactorily in connection with public Bidding or contracts or is deemed non-responsive.

36. QUANTITY CHANGES PRIOR TO AWARD The Commissioner reserves the right, at any time prior to the award of a specific quantity Contract, to alter in good faith the quantities listed in the Bid Specifications. In the event such right is exercised, the lowest responsible Bidder meeting Bid Specifications will be advised of the revised quantities and afforded an opportunity to extend or reduce its Bid price in relation to the changed quantities. Refusal by the low Bidder to so extend or reduce its Bid price may result in the rejection of its Bid and the award of such Contract to the lowest responsible Bidder who accepts the revised qualifications.

37. TIMEFRAME FOR OFFERS The Commissioner reserves the right to make awards within sixty (60) days after the date of the Bid opening or such other period of time as set forth in the Bid Documents, during which period, Bids must remain firm and cannot be withdrawn.

Pursuant to Section 163(9)(e) of the State Finance Law and Section 2-205 of the Uniform Commercial Code when applicable, where an award is not made within the sixty (60) day period or other time specified as set forth in the Bid Documents, the Bids shall remain firm until such later time as either a Contract is awarded or the Bidder delivers to the Commissioner written notice of the withdrawal of its Bid. Any Bid which expressly states therein that acceptance must be made within a shorter specified time, may at the sole discretion of the Commissioner, be accepted or rejected.

TERMS & CONDITIONS

38. CONTRACT CREATION / EXECUTION Except for contracts governed by Article 11-B of the State Finance Law, subject to and upon receipt of all required approvals as set forth in the Bid Specifications a Contract shall be deemed executed and created with the successful Bidder(s), upon the Commissioner's mailing or electronic communication to the address on the Bid/Contract of: (i) the final Contract Award Notice; (ii) a fully executed Contract; or (iii) a Purchase Order authorized by the Commissioner.

39. MODIFICATION OF CONTRACT TERMS The terms and conditions set forth in the Contract shall govern all transactions by Authorized User(s) under this Contract. The Contract may only be modified or amended upon mutual written agreement of the Commissioner and Contractor.

The Contractor may, however, offer Authorized User(s) more advantageous pricing, payment, or other terms and conditions than those set forth in the Contract. In such event, a copy of such terms shall be furnished to the Authorized User(s) and Commissioner by the Contractor at the time of such offer.

Other than where such terms are more advantageous for the Authorized User(s) than those set forth in the Contract, no alteration or modification of the terms of the Contract, including substitution of Product, shall be valid or binding against Authorized User(s) unless authorized by the Commissioner or specified in the Contract Award Notification. No such alteration or modification shall be made by unilaterally affixing such terms to Product upon delivery (including, but not limited to, attachment or inclusion of standard pre-printed order forms, product literature, "shrink wrap" terms accompanying software upon delivery, or other documents) or by incorporating such terms onto order forms, purchase orders or other documents forwarded by the Contractor for payment, notwithstanding Authorized User's subsequent acceptance of Product, or that Authorized User has subsequently processed such document for approval or payment.

40. SCOPE CHANGES The Commissioner reserves the right, unilaterally, to require, by written order, changes by altering, adding to or deducting from the Bid Specifications, such changes to be within the general scope of the Contract. The Commissioner may make an equitable adjustment in the Contract price or delivery date if the change affects the cost or time of performance. Such equitable adjustments require the consent of the Contractor, which consent shall not be unreasonably withheld.

41. ESTIMATED / SPECIFIC QUANTITY CONTRACTS Estimated quantity contracts are expressly agreed and understood to be made for only the quantities, if any, actually ordered during the Contract term. No guarantee of any quantity(s) is implied or given. Purchases by Authorized Users from Contracts for services and technology are voluntary.

With respect to any specific quantity stated in the contract, the Commissioner reserves the right after award to order up to 20% more or less (rounded to the next highest whole number) than the specific quantities called for in the Contract. Notwithstanding the foregoing, the Commissioner may purchase greater or lesser percentages of Contract quantities should the Commissioner and Contractor so agree. Such agreement may include an equitable price adjustment.

42. EMERGENCY CONTRACTS In the event that a disaster emergency is declared by Executive Order under Section 28 of Article 2-B of the Executive Law, or the Commissioner determines pursuant to his/her authority under Section 163 (10) (b) of the State Finance Law that an emergency exists requiring the prompt and immediate delivery of Product, the Commissioner reserves the right to obtain such Product from any source, including but not limited to this Contract(s), as the Commissioner in his/her sole discretion determines will meet the needs of such emergency. Contractor shall not be entitled to any claim or lost profits for Product procured from other sources pursuant to this paragraph. The reasons underlying the finding that an emergency exists shall be included in the procurement record.

43. PURCHASE ORDERS Unless otherwise authorized in writing by the Commissioner, no Product is to be delivered or furnished by Contractor until transmittal of an official Purchase Order from the Authorized User. Unless terminated or cancelled pursuant to the authority vested in the Commissioner, Purchase Orders shall be effective and binding upon the Contractor when placed in the mail or electronically transmitted prior to the termination of the contract period, addressed to the Contractor at the address for receipt of orders set forth in the Contract or in the Contract Award Notification.

All Purchase Orders issued pursuant to Contracts let by the Commissioner must bear the appropriate Contract number and, if necessary, required State approvals. As deemed necessary, the Authorized User may confirm pricing and other Product information with the Contractor prior to placement of the Purchase Order. The State reserves the right to require any other information from the Contractor which the State deems necessary in order to complete any Purchase Order placed under the Contract. Unless otherwise specified, all Purchase Orders against Centralized Contracts will be placed by Authorized Users directly with the Contractor and any discrepancy between the terms stated on the vendor's order form, confirmation or acknowledgment, and the Contract terms shall be resolved in favor of the terms most favorable to the Authorized User. Should an Authorized User add written terms and conditions to the Purchase Order that conflict with the terms and conditions of the Contract, the Contractor has the option of rejecting the Purchase Order within five business days of its receipt but shall first attempt to negotiate the additional written terms and conditions in good faith with the Authorized User, or fulfill the Purchase Order. Notwithstanding the above, the Authorized User reserves the right to dispute any discrepancies arising from the presentation of additional terms and conditions with the Contractor.

If, with respect to an Agency Specific Contract let by DOCCS, a Purchase Order is not received by the Contractor within two weeks after the issuance of a Contract Award Notification, it is the responsibility of the Contractor to request in writing that the appropriate Authorized User forward a Purchase Order. If, thereafter, a Purchase Order is not received within a reasonable period of time, the Contractor shall promptly notify in writing the appropriate purchasing officer. Failure to timely notify such officer may, in the discretion of DOCCS and without cost to the State, result in the cancellation of such requirement by DOCCS with a corresponding reduction in the Contract quantity and price.

45. PRODUCT DELIVERY Delivery must be made as ordered to the address specified on the Purchase Order and in accordance with the terms of the Contract or Contract Award Notice. Unless otherwise specified in the Bid Documents, delivery shall be made within thirty calendar days after receipt of a Purchase Order by the Contractor. The decision of the Commissioner as to compliance with delivery terms shall be final. The burden of proof for delay in receipt of Purchase Order shall rest with the Contractor. In all instances of a potential or actual delay in delivery, the Contractor shall immediately notify the Commissioner and the Authorized User, and confirm in writing the explanation of the delay, and take appropriate action to avoid any subsequent late deliveries. Any extension of time for delivery must be requested in writing by the Contractor and approved in writing by the Authorized User. Failure to meet such delivery time schedule may be grounds for cancellation of the order or, in the Commissioner's discretion, the Contract.

45. WEEKEND AND HOLIDAY DELIVERIES Unless otherwise specified in the Bid Specifications or by an Authorized User, deliveries will be scheduled for ordinary business hours, Monday through Friday (excluding legal holidays observed by the State of New York). Deliveries may be scheduled by mutual agreement for Saturdays, Sundays or legal holidays observed by the State of New York where the Product is for daily consumption, an emergency exists, the delivery is a replacement, delivery is late, or other reasonable circumstance in which event the convenience of the Authorized User shall govern.

46. SHIPPING/RECEIPT OF PRODUCT

a. Packaging Tangible Product shall be securely and properly packed for shipment, storage and stocking in appropriate, clearly labeled shipping containers and according to accepted commercial practice, without any extra charges for packing materials, cases or other types of containers. The container shall become and remain the property of the Authorized User unless otherwise specified in the Contract documents.

b. Shipping Charges Unless otherwise stated in the Bid Specifications, all deliveries shall be deemed to be freight on board (F.O.B.) destination tailgate delivery at the dock of the Authorized User. Unless otherwise agreed, items purchased at a price F.O.B. Shipping point plus transportation charges shall not relieve the Contractor from responsibility for safe and proper delivery notwithstanding the Authorized User's payment of transportation charges. Contractor shall be responsible for ensuring that the Bill of Lading states "charges prepaid" for all shipments.

c. Receipt of Product The Contractor shall be solely responsible for assuring that deliveries are made to personnel authorized to accept delivery on behalf of the Authorized User. Any losses resulting from the Contractor's failure to deliver Product to authorized personnel shall be borne exclusively by the Contractor.

47. TITLE AND RISK OF LOSS Notwithstanding the form of shipment, title or other property interest, risk of loss shall not pass from the Contractor to the Authorized User until the Products have been received, inspected and accepted by the receiving entity. Acceptance shall occur within a reasonable time or in accordance with such other defined acceptance period as may be specified in the Bid Specifications or Purchase Order. Mere acknowledgment by Authorized User personnel of the delivery or receipt of goods (e.g., signed bill of lading) shall not be deemed or construed as acceptance of the Products received. Any delivery of Product that is substandard or does not comply with the Bid Specifications or Contract terms and conditions, may be rejected or accepted on an adjusted price basis, as determined by the Commissioner.

48. RE-WEIGHING PRODUCT Deliveries are subject to re-weighing at the point of destination by the Authorized User. If shrinkage occurs which exceeds that normally allowable in the trade, the Authorized User shall have the option to require delivery of the difference in quantity or to reduce the payment accordingly. Such option shall be exercised in writing by the Authorized User.

49. PRODUCT SUBSTITUTION In the event a specified manufacturer's Product listed in the Contract becomes unavailable or cannot be supplied by the Contractor for any reason (except as provided for in the Savings/Force Majeure Clause) a Product deemed in writing by the Commissioner to be equal to or better than the specified Product must be substituted by the Contractor at no additional cost or expense to the Authorized User. Unless otherwise specified, any substitution of Product prior to the Commissioner's written approval may be cause for cancellation of Contract.

50. REJECTED PRODUCT When Product is rejected, it must be removed by the Contractor from the premises of the Authorized User within ten calendar days of notification of rejection by the Authorized User. Upon notification of rejection, risk of loss of rejected or non-conforming Product shall remain with Contractor. Rejected items not removed by the Contractor within ten calendar days of notification shall be regarded as abandoned by the Contractor, and the Authorized User shall have the right to dispose of Product as its own property. The Contractor shall promptly reimburse the Authorized User for any and all costs and expenses incurred in storage or effecting removal or disposition after the ten-calendar day period.

51. INSTALLATION Where installation is required, Contractor shall be responsible for placing and installing the Product in the required locations. All materials used in the installation shall be of good quality and shall be free from any and all defects that would mar the appearance of the Product or render it structurally unsound. Installation includes the furnishing of any equipment, rigging and materials required to install or place the Product in the proper location. The Contractor shall protect the site from damage for all its work and shall repair damages or injury of any kind caused by the Contractor, its employees, officers or agents. If any alteration, dismantling or excavation, etc. is required to effect installation, the Contractor shall thereafter promptly restore the structure or site. Work shall be performed to cause the least inconvenience to the Authorized User(s) and with proper consideration for the rights of other Contractors or workers. The Contractor shall promptly perform its work and shall coordinate its activities with those of other Contractors. The Contractor shall clean up and remove all debris and rubbish from its work as required or directed. Upon completion of the work, the building and surrounding area of work shall be left clean and in a neat, unobstructed condition, and everything in satisfactory repair and order.

52. REPAIRED OR REPLACED PARTS / COMPONENTS

Where the Contractor is required to repair, replace or substitute Product or parts or components of the Product under the Contract, the repaired, replaced or substituted Products shall be subject to all terms and conditions for new parts and components set forth in the Contract including Warranties, as set forth in the Additional Warranties Clause herein. Replaced or repaired Product or parts and components of such Product shall be new and shall, if available, be replaced by the original manufacturer's component or part. Remanufactured parts or components meeting new Product standards may be permitted by the Commissioner or Authorized User. Before installation, all proposed substitutes for the original manufacturer's installed parts or components must be approved by the Authorized User. The part or component shall be equal to or of better quality than the original part or component being replaced.

53. ON-SITE STORAGE With the written approval of the Authorized User, materials, equipment or supplies may be stored at the Authorized User's site at the Contractor's sole risk.

54. EMPLOYEES, SUBCONTRACTORS & AGENTS All employees, Subcontractors or agents performing work under the Contract must be trained staff or technicians who meet or exceed the professional, technical and training qualifications set forth in the Bid Specifications or the Bid Documents, whichever is more restrictive, and must comply with all security and administrative requirements of the Authorized User. The Commissioner reserves the right to conduct a security background check or otherwise approve any employee, Subcontractor or agent furnished by Contractor and to refuse access to or require replacement of any personnel for cause based on, including but not limited to, professional, technical or training qualifications, quality of work or change in security status or non-compliance with Authorized User's security or other requirements. Such approval shall not relieve the Contractor of the obligation to perform all work in compliance with the Contract terms. The Commissioner reserves the right to reject and/or bar from the facility for cause any employee, Subcontractor, or agents of the Contractor.

55. ASSIGNMENT The Contractor shall not assign, transfer, convey, sublet, or otherwise dispose of the contract or its right, title or interest therein, or its power to execute such contract to any other person, company, firm or corporation in performance of the contract without the prior written consent of the Commissioner or Authorized User (as applicable). Failure to obtain consent to assignment from the Authorized User shall revoke and annul such Contract. Notwithstanding the foregoing, the State shall not hinder, prevent or affect assignment of money by a Contractor for the benefit of its creditors. Prior to a consent to assignment of monies becoming effective, the Contractor shall file a written notice of such monies assignment(s) with the Comptroller. Prior to a consent to assignment of a Contract, or portion thereof, becoming effective, the Contractor shall submit the request to assignment to the Commissioner and seek written agreement from the Commissioner which will be filed with the Comptroller. The Commissioner reserves the right to reject any proposed assignee in his/her discretion.

Upon notice to the Contractor, the Contract may be assigned without the consent of the Contractor to another State Agency or subdivision of the State pursuant to a governmental reorganization or assignment of functions under which the functions are transferred to a successor Agency or to another Agency that assumes responsibilities for the Contract.

56. SUBCONTRACTORS AND SUPPLIERS The Commissioner reserves the right to reject any proposed Subcontractor or supplier for bona fide business reasons, which may include, but are not limited to: they are on the Department of Labor's list of companies with which New York State cannot do business; the Commissioner determines that the company is not qualified; the Commissioner determines that the company is not responsible; the company has previously provided unsatisfactory work or services; the company failed to solicit minority and women's business enterprises (M/WBE) Bidders as required by prior Contracts.

57. PERFORMANCE / BID BOND The Commissioner reserves the right to require a Bidder or Contractor to furnish without additional cost, a performance, payment or Bid bond or negotiable irrevocable letter of credit or other form of security for the faithful performance of the Contract. Where required, such bond or other security shall be in the form prescribed by the Commissioner.

58. SUSPENSION OF WORK The Commissioner, in his/her sole discretion, reserves the right to suspend any or all activities under this

Contract, at any time, in the best interests of the Authorized User. In the event of such suspension, the Contractor will be given a formal written notice outlining the particulars of such suspension. Examples of the reason for such suspension include, but are not limited to, a budget freeze or reduction on State spending, declaration of emergency, contract compliance issues or other such circumstances. Upon issuance of such notice, the Contractor is not to accept any Purchase Orders, and shall comply with the suspension order. Activity may resume at such time as the Commissioner issues a formal written notice authorizing a resumption of performance under the Contract.

An Authorized User may issue a formal written notice for the suspension of work for which it has engaged the Contractor for reasons specified in the above paragraph. The written notice shall set forth the reason for such suspension and a copy of the written notice shall be provided to the Commissioner.

59. TERMINATION

a. For Cause: For a material breach that remains uncured for more than thirty (30) days or other specified period after written notice to the Contractor, the Contract or Purchase Order may be terminated by the Commissioner or Authorized User at the Contractor's expense where Contractor becomes unable or incapable of performing, or meeting any requirements or qualifications set forth in the Contract, or for non-performance, or upon a determination that Contractor is non-responsible. Such termination shall be upon written notice to the Contractor. In such event, the Commissioner or Authorized User may complete the contractual requirements in any manner it may deem advisable and pursue available legal or equitable remedies for breach.

b. For Convenience: By written notice, this Contract may be terminated at any time by the State for convenience upon sixty (60) days written notice or other specified period without penalty or other early termination charges due. Such termination of the Contract shall not affect any project or Purchase Order that has been issued under the Contract prior to the date of such termination. If the Contract is terminated pursuant to this subdivision, the Authorized User shall remain liable for all accrued but unpaid charges incurred through the date of the termination. Contractor shall use due diligence and provide any outstanding deliverables.

c. For Violation of the Sections 139-j and 139-k of the State Finance Law: The Commissioner reserves the right to terminate the Contract in the event it is found that the certification filed by the Bidder in accordance with Section 139-k of the State Finance Law was intentionally false or intentionally incomplete. Upon such finding, the Commissioner may exercise its termination right by providing written notification to the Contractor in accordance with the written notification terms of the Contract.

d. For Violation of Revised Tax Law 5a: The Commissioner reserves the right to terminate the contract in the event it is found that the certification filed by the Contractor in accordance with §5-a of the Tax Law is not timely filed during the term of the Contract or the certification furnished was intentionally false or intentionally incomplete. Upon such finding, the Commissioner may exercise its termination right by providing written notification to the Contractor.

60. SAVINGS/FORCE MAJEURE A force majeure occurrence is an event or effect that cannot be reasonably anticipated or controlled. Force majeure includes, but is not limited to, acts of God, acts of war, acts of public enemies, strikes, fires, explosions, actions of the elements, floods, or other similar causes beyond the control of the Contractor or the Commissioner in the performance of the Contract which non-performance, by exercise of reasonable diligence, cannot

be prevented. Contractor shall provide the Commissioner with written notice of any force majeure occurrence as soon as the delay is known.

Neither the Contractor nor the Commissioner shall be liable to the other for any delay in or failure of performance under the Contract due to a force majeure occurrence. Any such delay in or failure of performance shall not constitute default or give rise to any liability for damages. The existence of such causes of such delay or failure shall extend the period for performance to such extent as determined by the Contractor and the Commissioner to be necessary to enable complete performance by the Contractor if reasonable diligence is exercised after the cause of delay or failure has been removed.

Notwithstanding the above, at the discretion of the Commissioner where the delay or failure will significantly impair the value of the Contract to the State or to Authorized Users, the Commissioner may:

a. Accept allocated performance or deliveries from the Contractor. The Contractor, however, hereby agrees to grant preferential treatment to Authorized Users with respect to Product subjected to allocation; and/or

b. Purchase from other sources (without recourse to and by the Contractor for the costs and expenses thereof) to replace all or part of the Products which are the subject of the delay, which purchases may be deducted from the Contract quantities without penalty or liability to the State; or

c. Terminate the Contract or the portion thereof which is subject to delays, and thereby discharge any unexecuted portion of the Contract or the relative part thereof.

In addition, the Commissioner reserves the right, in his/her sole discretion, to make an equitable adjustment in the Contract terms and/or pricing should extreme and unforeseen volatility in the marketplace affect pricing or the availability of supply. "Extreme and unforeseen volatility in the marketplace" is defined as market circumstances which meet the following criteria: (i) the volatility is due to causes outside the control of Contractor; (ii) the volatility affects the marketplace or industry, not just the particular Contract source of supply; (iii) the effect on pricing or availability of supply is substantial; and (iv) the volatility so affects Contractor's performance that continued performance of the Contract would result in a substantial loss.

61. CONTRACT BILLINGS Contractor and the distributors/resellers designated by the Contractor, if any, shall provide complete and accurate billing invoices to each Authorized User in order to receive payment. Billings for Authorized Users must contain all information required by the Contract and the State Comptroller. The State Comptroller shall render payment for Authorized User purchases, and such payment shall be made in accordance with ordinary State procedures and practices. Payment of Contract purchases made by Authorized Users, other than Agencies, shall be billed directly by Contractor on invoices/vouchers, together with complete and accurate supporting documentation as required by the Authorized User.

Submission of an invoice and payment thereof shall not preclude the Commissioner from reimbursement or demanding a price adjustment in any case where the Product delivered is found to deviate from the terms and conditions of the Contract or where the billing was inaccurate.

Contractor shall provide, upon request of the Commissioner, any and all information necessary to verify the accuracy of the billings. Such

information shall be provided in the format requested by the Commissioner and in a media commercially available from the Contractor. The Commissioner may direct the Contractor to provide the information to the State Comptroller or to any Authorized User of the Contract.

62. DEFAULT – AUTHORIZED USER

a. Breach of Authorized User Not Breach of Centralized Contract. An Authorized User's breach shall not be deemed a breach of the Centralized Contract, rather it shall be deemed a breach of the Authorized User's performance under the terms and conditions of the Centralized Contract.

b. Failure to Make Payment. In the event a participating Authorized User fails to make payment to the Contractor for Products delivered, accepted and properly invoiced, within 60 days of such delivery and acceptance, the Contractor may, upon 10 days advance written notice to both the Commissioner and the Authorized User's purchasing official, suspend additional shipments of Product or provision of services to such entity until such time as reasonable arrangements have been made and assurances given by such entity for current and future Contract payments.

c. Notice of Breach. Notwithstanding the foregoing, the Contractor shall, at least 10 days prior to declaring a breach of Contract by any Authorized User, by certified or registered mail, notify both the Commissioner and the purchasing official of the breaching Authorized User of the specific facts, circumstances and grounds upon which a breach will be declared.

d. It is understood, however, that if the Contractor's basis for declaring a breach is insufficient, the Contractor's declaration of breach and failure to service an Authorized User shall constitute a breach of its Contract and the Authorized User may thereafter seek any remedy available at law or equity.

63. INTEREST ON LATE PAYMENTS

a. State Agencies The payment of interest on certain payments due and owed by Agency may be made in accordance with Article 11-A of the State Finance Law (SFL §179-d et. Seq.) and Title 2 of the New York Code of Rules and Regulations, Part 18 (Implementation of Prompt Payment Legislation -2 NYCRR §18.1 et seq.).

b. By Non-State Agencies The terms of Article 11-A apply only to procurements by and the consequent payment obligations of Agencies. Neither expressly nor by any implication is the statute applicable to Non-State Authorized Users. Neither DOCCS nor the State Comptroller is responsible for payments on any purchases made by a Non-State Agency Authorized User.

c. By Contractor Should the Contractor be liable for any payments to the State hereunder, interest, late payment charges and collection fee charges will be determined and assessed pursuant to Section 18 of the State Finance Law.

64. REMEDIES FOR BREACH It is understood and agreed that all rights and remedies afforded below shall be in addition to all remedies or actions otherwise authorized or permitted by law:

a. Cover/Substitute Performance In the event of Contractor's material breach, the Commissioner may, with or without formally Bidding: (i) Purchase from other sources; or (ii) If the Commissioner is unsuccessful after making reasonable attempts, under the circumstances then existing, to timely obtain acceptable service or acquire replacement Product of equal or comparable quality, the

Commissioner may acquire acceptable replacement Product of lesser or greater quality.

Such purchases may, in the discretion of the Commissioner, be deducted from the Contract quantity and payments due Contractor.

b. Withhold Payment In any case where a question of non-performance by Contractor arises, payment may be withheld in whole or in part at the discretion of the Commissioner. Should the amount withheld be finally paid, a cash discount originally offered may be taken as if no delay in payment had occurred.

c. Bankruptcy In the event that the Contractor files a petition under the U.S. Bankruptcy Code during the term of this Centralized Contract, Authorized Users may, at their discretion, make application to exercise its right to set-off against monies due the Debtor or, under the Doctrine of Recoupment, credit the Authorized User the amounts owed by the Contractor arising out of the same transactions.

d. Reimbursement of Costs Incurred The Contractor agrees to reimburse the Authorized User promptly for any and all additional costs and expenses incurred for acquiring acceptable services, and/or replacement Product. Should the cost of cover be less than the Contract price, the Contractor shall have no claim to the difference. The Contractor covenants and agrees that in the event suit is successfully prosecuted for any default on the part of the Contractor, all costs and expenses expended or incurred by the Authorized User in connection therewith, including reasonable attorney's fees, shall be paid by the Contractor.

Where the Contractor fails to timely deliver pursuant to the guaranteed delivery terms of the Contract, the ordering Authorized User may rent substitute equipment temporarily. Any sums expended for such rental shall, upon demand, be reimbursed to the Authorized User promptly by the Contractor or deducted by the Authorized User from payments due or to become due the Contractor on the same or another transaction.

e. Deduction/Credit Sums due as a result of these remedies may be deducted or offset by the Authorized User from payments due, or to become due, the Contractor on the same or another transaction. If no deduction or only a partial deduction is made in such fashion the Contractor shall pay to the Authorized User the amount of such claim or portion of the claim still outstanding, on demand. The Commissioner reserves the right to determine the disposition of any rebates, settlements, restitution, liquidated damages, etc., which arise from the administration of the Contract.

65. ASSIGNMENT OF CLAIM Contractor hereby assigns to the State any and all its claims for overcharges associated with this Contract which may arise under the antitrust laws of the United States, 15 USC Section 1, et. seq. and the antitrust laws of the State of New York, General Business Law Section 340, et. seq.

66. TOXIC SUBSTANCES Each Contractor furnishing a toxic substance as defined by Section 875 of the Labor Law, shall provide such Authorized User with not less than two copies of a material safety data sheet, which sheet shall include for each such substance the information outlined in Section 876 of the Labor Law.

Before any chemical product is used or applied on or in any building, a copy of the product label and Material Safety Data Sheet must be provided to and approved by the Authorized User agency representative.

67. INDEPENDENT CONTRACTOR It is understood and agreed that the legal status of the Contractor, its agents, officers and employees

under this Contract is that of an independent Contractor, and in no manner shall they be deemed employees of the Authorized User, and therefore are not entitled to any of the benefits associated with such employment. The Contractor agrees, during the term of this Contract, to maintain at Contractor's expense those benefits to which its employees would otherwise be entitled by law, including health benefits, and all necessary insurance for its employees, including worker's compensation, disability and unemployment insurance, and to provide the Authorized User with certification of such insurance upon request. The Contractor remains responsible for all applicable federal, state and local taxes, and all FICA contributions.

68. SECURITY Contractor warrants, covenants and represents that it will comply fully with all security procedures of the Authorized User(s) in performance of the Contract including but not limited to physical, facility, documentary and cyber security rules, procedures and protocols.

69. COOPERATION WITH THIRD PARTIES The Contractor shall be responsible for fully cooperating with any third party, including but not limited to other Contractors or Subcontractors of the Authorized User, as necessary to ensure delivery of Product or coordination of performance of services.

70. CONTRACT TERM - RENEWAL In addition to any stated renewal periods in the Contract, any Contract or unit portion thereof let by the Commissioner may be extended by the Commissioner for an additional period(s) of up to one year with the written concurrence of the Contractor and Comptroller. Such extension may be exercised on a month to month basis or in other stated periods of time during the one year extension.

71. ADDITIONAL WARRANTIES Where Contractor, product manufacturer or service provider generally offers additional or more advantageous warranties than set forth below, Contractor shall offer or pass through any such warranties to Authorized Users. Contractor hereby warrants and represents:

a. Product Performance Contractor warrants and represents that Products delivered pursuant to this Contract conform to the manufacturer's specifications, performance standards and documentation, and the documentation fully describes the proper procedure for using the Products.

b. Title and Ownership Warranty Contractor warrants, represents and conveys (i) full ownership, clear title free of all liens, or (ii) the right to transfer or deliver perpetual license rights to any Products transferred to Authorized User under this Contract. Contractor shall be solely liable for any costs of acquisition associated therewith. Contractor fully indemnifies the Authorized User for any loss, damages or actions arising from a breach of said warranty without limitation.

c. Contractor Compliance Contractor represents and warrants to pay, at its sole expense, for all applicable permits, licenses, tariffs, tolls and fees to give all notices and comply with all laws, ordinances, rules and regulations of any governmental entity in conjunction with the performance of obligations under the Contract. Prior to award and during the Contract term and any renewals thereof, Contractor must establish to the satisfaction of the Commissioner that it meets or exceeds all requirements of the Bid/Contract and any applicable laws, including but not limited to, permits, insurance coverage, licensing, proof of coverage for worker's compensation, and shall provide such proof as required by the Commissioner. Failure to do so may constitute grounds for the Commissioner to cancel or suspend this

Contract, in whole or in part, or to take any other action deemed necessary by the Commissioner.

d. Product Warranty Unless recycled or recovered materials are available in accordance with the "Recycled or Recovered Materials" clause, Product offered shall be standard new equipment, current model or most recent release of regular stock product with all parts regularly used with the type of equipment offered; and no attachment or part has been substituted or applied contrary to the manufacturer's recommendations and standard practice.

Contractor further warrants and represents that components or deliverables specified and furnished by or through Contractor shall individually, and where specified and furnished as a system, be substantially uninterrupted or error-free in operation and guaranteed against faulty material and workmanship for the warranty period, or for a minimum of one (1) year from the date of acceptance, whichever is longer ("Project warranty period"). During the Project warranty period, defects in the materials or workmanship of components or deliverables specified and furnished by or through Contractor shall be repaired or replaced by Contractor at no cost or expense to the Authorized User. Contractor shall extend the Project warranty period for individual component(s), or for the System as a whole, as applicable, by the cumulative period(s) of time, after notification, during which an individual component or the System requires servicing or replacement (down time) or is in the possession of the Contractor, its agents, officers, Subcontractors, distributors, resellers or employees ("extended warranty").

Where Contractor, the Independent Software Vendor "ISV," or other third party manufacturer markets any Project Deliverable delivered by or through Contractor with a standard commercial warranty, such standard warranty shall be in addition to, and not relieve the Contractor from, Contractor's warranty obligations during the project warranty and extended warranty period(s). Where such standard commercial warranty covers all or some of the Project warranty or extended warranty period(s), Contractor shall be responsible for the coordination during the Project warranty or extended warranty period(s) with ISV or other third party manufacturer(s) for warranty repair or replacement of ISV or other third party manufacturer's Product.

Where Contractor, ISV or other third party manufacturer markets any Project Deliverable with a standard commercial warranty which goes beyond the Project warranty or extended warranty period(s), Contractor shall notify the Authorized User and pass through the manufacturer's standard commercial warranty to Authorized User at no additional charge; provided, however, that Contractor shall not be responsible for coordinating services under the third party extended warranty after expiration of the Project warranty and extended warranty period(s).

e. Replacement Parts Warranty If during the regular or extended warranty period's faults develop, the Contractor shall promptly repair or, upon demand, replace the defective unit or component part affected. All costs for labor and material and transportation incurred to repair or replace defective Product during the warranty period shall be borne solely by the Contractor, and the State or Authorized User shall in no event be liable or responsible therefor.

Any part of component replaced by the Contractor under the Contract warranty shall be replaced at no cost to the Authorized User and guaranteed for the greater of: a) the warranty period under paragraph (d) above; or b) if a separate warranty for that part or component is generally offered by the manufacturer, the standard commercial warranty period offered by the manufacturer for the individual part or component.

f. Virus Warranty The Contractor represents and warrants that Licensed Software contains no known viruses. Contractor is not responsible for viruses introduced at Licensee's site.

g. Date/Time Warranty Contractor warrants that Product(s) furnished pursuant to this Contract shall, when used in accordance with the Product documentation, be able to accurately process date/time data (including, but not limited to, calculating, comparing, and sequencing) transitions, including leap year calculations. Where a Contractor proposes or an acquisition requires that specific Products must perform as a package or system, this warranty shall apply to the Products as a system.

Where Contractor is providing ongoing services, including but not limited to: i) consulting, integration, code or data conversion, ii) maintenance or support services, iii) data entry or processing, or iv) contract administration services (e.g., billing, invoicing, claim processing), Contractor warrants that services shall be provided in an accurate and timely manner without interruption, failure or error due to the inaccuracy of Contractor's business operations in processing date/time data (including, but not limited to, calculating, comparing, and sequencing) various date/time transitions, including leap year calculations. Contractor shall be responsible for damages resulting from any delays, errors or untimely performance resulting therefrom, including but not limited to the failure or untimely performance of such services.

This Date/Time Warranty shall survive beyond termination or expiration of this contract through: a) ninety (90) days or b) the Contractor's or Product manufacturer/developer's stated date/time warranty term, whichever is longer. Nothing in this warranty statement shall be construed to limit any rights or remedies otherwise available under this Contract for breach of warranty.

h. Workmanship Warranty Contract warrants that all components or deliverables specified and furnished by or through Contractor under the Project Definition/Work Order meet the completion criteria set forth in the Project Definition/Work Order and any subsequent statement(s) of work, and that services will be provided in a workmanlike manner in accordance with industry standards.

i. Survival of Warranties All warranties contained in this Contract shall survive the termination of this Contract.

72. LEGAL COMPLIANCE Contractor represents and warrants that it shall secure all notices and comply with all laws, ordinances, rules and regulations of any governmental entity in conjunction with the performance of obligations under the Contract. Prior to award and during the Contract term and any renewals thereof, Contractor must establish to the satisfaction of the Commissioner that it meets or exceeds all requirements of the Bid and Contract and any applicable laws, including but not limited to, permits, licensing, and shall provide such proof as required by the Commissioner. Failure to comply or failure to provide proof may constitute grounds for the Commissioner to cancel or suspend the Contract, in whole or in part, or to take any other action deemed necessary by the Commissioner. Contractor also agrees to disclose information and provide affirmations and certifications to comply with Sections 139-j and 139-k of the State Finance Law.

73. INDEMNIFICATION Contractor shall be fully liable for the actions of its agents, employees, partners or Subcontractors and shall fully indemnify and save harmless the Authorized Users from suits, actions, damages and costs of every name and description relating to personal injury and damage to real or personal tangible property caused by any intentional act or negligence of Contractor, its agents,

employees, partners or Subcontractors, without limitation; provided, however, that the Contractor shall not indemnify for that portion of any claim, loss or damage arising hereunder due to the negligent act or failure to act of the Authorized Users.

74. INDEMNIFICATION RELATING TO THIRD PARTY RIGHTS The Contractor will also indemnify and hold the Authorized Users harmless from and against any and all damages, expenses (including reasonable attorneys' fees), claims, judgments, liabilities and costs that may be finally assessed against the Authorized Users in any action for infringement of a United States Letter Patent, or of any copyright, trademark, trade secret or other third party proprietary right except to the extent such claims arise from the Authorized Users gross negligence or willful misconduct, provided that the State shall give Contractor: (i) prompt written notice of any action, claim or threat of infringement suit, or other suit, (ii) the opportunity to take over, settle or defend such action, claim or suit at Contractor's sole expense, and (iii) assistance in the defense of any such action at the expense of Contractor.

If usage shall be enjoined for any reason or if Contractor believes that it may be enjoined, Contractor shall have the right, at its own expense and sole discretion to take action in the following order of precedence: (i) to procure for the Authorized User the right to continue Usage (ii) to modify the service or Product so that Usage becomes non-infringing, and is of at least equal quality and performance; or (iii) to replace said service or Product or part(s) thereof, as applicable, with non-infringing service or Product of at least equal quality and performance. If the above remedies are not available, the parties shall terminate the Contract, in whole or in part as necessary and applicable, provided the Authorized User is given a refund for any amounts paid for the period during which Usage was not feasible.

The foregoing provisions as to protection from third party rights shall not apply to any infringement occasioned by modification by the Authorized User of any Product without Contractor's approval.

In the event that an action at law or in equity is commenced against the Authorized User arising out of a claim that the Authorized User's use of the service or Product under the Contract infringes any patent, copyright or proprietary right, and Contractor is of the opinion that the allegations in such action in whole or in part are not covered by the indemnification and defense provisions set forth in the Contract, Contractor shall immediately notify the Authorized User and the Office of the Attorney General in writing and shall specify to what extent Contractor believes it is obligated to defend and indemnify under the terms and conditions of the Contract. Contractor shall in such event protect the interests of the Authorized User and secure a continuance to permit the Authorized User to appear and defend its interests in cooperation with Contractor, as is appropriate, including any jurisdictional defenses the Authorized User may have. This constitutes the Authorized User's sole and exclusive remedy for patent infringement, or for infringement of any other third party proprietary right.

75. LIMITATION OF LIABILITY Except as otherwise set forth in the Indemnification Paragraphs above, the limit of liability shall be as follows:

a. Contractor's liability for any claim, loss or liability arising out of, or connected with the Products and services provided, and whether based upon default, or other liability such as breach of contract, warranty, negligence, misrepresentation or otherwise, shall in no case exceed direct damages in: (i) an amount equal to two (2) times the charges specified in the Purchase Order for the Products and services, or parts thereof forming the basis of the Authorized User's claim, (said

amount not to exceed a total of twelve (12) months charges payable under the applicable Purchase Order) or (ii) one million dollars (\$1,000,000), whichever is greater.

b. The Authorized User may retain such monies from any amount due Contractor as may be necessary to satisfy any claim for damages, costs and the like asserted against the Authorized User unless Contractor at the time of the presentation of claim shall demonstrate to the Authorized User's satisfaction that sufficient monies are set aside by the Contractor in the form of a bond or through insurance coverage to cover associated damages and other costs.

c. Notwithstanding the above, neither the Contractor nor the Authorized User shall be liable for any consequential, indirect or special damages of any kind which may result directly or indirectly from such performance, including, without limitation, damages resulting from loss of use or loss of profit by the Authorized User, the Contractor, or by others.

76. INSURANCE Contractor shall secure and maintain insurance coverage as specified in the Bid Documents and shall promptly provide documentation of specified coverages to the Authorized User. If specified, the Contractor may be required to add the Authorized User as an additional insured.

THE FOLLOWING CLAUSES PERTAIN TO TECHNOLOGY & NEGOTIATED CONTRACTS

77. SOFTWARE LICENSE GRANT Where Product is acquired on a licensed basis the following shall constitute the license grant:

a. License Scope Licensee is granted a non-exclusive, perpetual license to use, execute, reproduce, display, perform, or merge the Product within its business enterprise in the United States up to the maximum licensed capacity stated on the Purchase Order. Product may be accessed, used, executed, reproduced, displayed or performed up to the capacity measured by the applicable licensing unit stated on the Purchase Order (i.e., payroll size, number of employees, CPU, MIPS, MSU, concurrent user, workstation). Licensee shall have the right to use and distribute modifications or customizations of the Product to and for use by any Authorized Users otherwise licensed to use the Product, provided that any modifications, however extensive, shall not diminish Licensor's proprietary title or interest. No license, right or interest in any trademark, trade name, or service mark is granted hereunder.

b. License Term The license term shall commence upon the License Effective Date, provided, however, that where an acceptance or trial period applies to the Product, the License Term shall be extended by the time period for testing, acceptance or trial.

c. Licensed Documentation If commercially available, Licensee shall have the option to require the Contractor to deliver, at Contractor's expense: (i) one (1) hard copy and one (1) master electronic copy of the Documentation in a mutually agreeable format; (ii) based on hard copy instructions for access by downloading from the Internet (iii) hard copies of the Product Documentation by type of license in the following amounts, unless otherwise mutually agreed:

- Individual/Named User License - one (1) copy per License
- Concurrent Users - 10 copies per site
- Processing Capacity - 10 copies per site

Software media must be in a format specified by the Authorized User, without requiring any type of conversion.

Contractor hereby grants to Licensee a perpetual license right to make, reproduce (including downloading electronic copies of the Product) and distribute, either electronically or otherwise, copies of Product Documentation as necessary to enjoy full use of the Product in accordance with the terms of license.

d. Product Technical Support & Maintenance Licensee shall have the option of electing the Product technical support and maintenance ("maintenance") set forth in the Contract by giving written notice to Contractor any time during the Centralized Contract term. Maintenance term(s) and any renewal(s) thereof are independent of the expiration of the Centralized Contract term and will not automatically renew.

Maintenance shall include, at a minimum, (i) the provision of error corrections, updates, revisions, fixes, upgrade and new releases to Licensee, and (ii) Help Desk assistance with locally accessible "800" or toll free, local telephone service, or alternatively on-line Help Desk accessibility. Contractor shall maintain the Products so as to provide Licensee with the ability to utilize the Products in accordance with the Product documentation without significant functional downtime to its ongoing business operations during the maintenance term.

Authorized User shall not be required to purchase maintenance for use of Product, and may discontinue maintenance at the end of any current maintenance term upon notice to Contractor. In the event that Authorized User does not initially acquire or discontinues maintenance of licensed Product, it may, at any time thereafter, reinstate maintenance for Product without any additional penalties or other charges, by paying Contractor the amount which would have been due under the Contract for the period of time that such maintenance had lapsed, at then current NYS net maintenance rates.

e. Permitted License Transfers As Licensee's business operations may be altered, expanded or diminished, licenses granted hereunder may be transferred or combined for use at an alternative or consolidated site not originally specified in the license, including transfers between Agencies ("permitted license transfers"). Licensee(s) do not have to obtain the approval of Contractor for permitted license transfers, but must give thirty (30) days prior written notice to Contractor of such move(s) and certify in writing that the Product is not in use at the prior site. There shall be no additional license or other transfer fees due Contractor, provided that: i) the maximum capacity of the consolidated machine is equal to the combined individual license capacity of all licenses running at the consolidated or transferred site (e.g., named users, seats, or MIPS); or ii) if the maximum capacity of the consolidated machine is greater than the individual license capacity being transferred, a logical or physical partition or other means of restricting access will be maintained within the computer system so as to restrict use and access to the Product to that unit of licensed capacity solely dedicated to beneficial use for Licensee. In the event that the maximum capacity of the consolidated machine is greater than the combined individual license capacity of all licenses running at the consolidated or transferred site, and a logical or physical partition or other means of restricting use is not available, the fees due Contractor shall not exceed the fees otherwise payable for a single license for the upgrade capacity.

f. Restricted Use By Outsourcers / Facilities Management, Service Bureaus / or Other Third Parties Outsourcers, facilities management or service bureaus retained by Licensee shall have the right to use the Product to maintain Licensee's business operations, including data processing, for the time period that they are engaged in such activities, provided that: 1) Licensee gives notice to Contractor

of such party, site of intended use of the Product, and means of access; and 2) such party has executed, or agrees to execute, the Product manufacturer's standard nondisclosure or restricted use agreement which executed agreement shall be accepted by the Contractor ("Non-Disclosure Agreement"); and 3) if such party is engaged in the business of facility management, outsourcing, service bureau or other services, such third party will maintain a logical or physical partition within its computer system so as to restrict use and access to the program to that portion solely dedicated to beneficial use for Licensee. In no event shall Licensee assume any liability for third party's compliance with the terms of the Non-Disclosure Agreement, nor shall the Non-Disclosure Agreement create or impose any liabilities on the State or Licensee.

Any third party with whom a Licensee has a relationship for a state function or business operation, shall have the temporary right to use Product (e.g., JAVA Applets), provided that such use shall be limited to the time period during which the third party is using the Product for the function or business activity.

g. Archival Back-Up and Disaster Recovery Licensee may use and copy the Product and related Documentation in connection with: i) reproducing a reasonable number of copies of the Product for archival backup and disaster recovery procedures in the event of destruction or corruption of the Product or disasters or emergencies which require Licensee to restore backup(s) or to initiate disaster recovery procedures for its platform or operating systems; ii) reproducing a reasonable number of copies of the Product and related Documentation for cold site storage. "Cold Site" storage shall be defined as a restorable back-up copy of the Product not to be installed until and after the declaration by the Licensee of a disaster; iii) reproducing a back-up copy of the Product to run for a reasonable period of time in conjunction with a documented consolidation or transfer otherwise allowed herein. "Disaster Recovery" shall be defined as the installation and storage of Product in ready-to-execute, back-up computer systems prior to disaster or breakdown which is not used for active production or development.

h. Confidentiality Restrictions The Product is a trade secret, copyrighted and proprietary product. Licensee and its employees will keep the Product strictly confidential, and Licensee will not disclose or otherwise distribute or reproduce any Product to anyone other than as authorized under the terms of Contract. Licensee will not remove or destroy any proprietary markings of Contractor.

i. Restricted Use by Licensee Except as expressly authorized by the terms of license, Licensee shall not:

- (i) Copy the Product;
- (ii) Cause or permit reverse compilation or reverse assembly of all or any portion of the Product;
- (iii) Export the Licensed Software in violation of any U.S. Department of Commerce export administration regulations.

78. PRODUCT ACCEPTANCE Unless otherwise provided by mutual agreement of the Authorized User and the Contractor, Authorized User(s) shall have thirty (30) days from the date of delivery to accept hardware products and sixty (60) days from the date of delivery to accept all other Product. Where the Contractor is responsible for installation, acceptance shall be from completion of installation. Failure to provide notice of acceptance or rejection or a deficiency statement to the Contractor by the end of the period provided for under this clause constitutes acceptance by the Authorized User(s) as of the expiration of that period. The License Term shall be extended by the time periods allowed for trial use, testing and acceptance unless the Commissioner or Authorized User agrees to accept the Product at completion of trial use.

Unless otherwise provided by mutual agreement of the Authorized User and the Contractor, Authorized User shall have the option to run testing on the Product prior to acceptance, such tests and data sets to be specified by User. Where using its own data or tests, Authorized User must have the tests or representative set of data available upon delivery. This demonstration will take the form of a documented installation test, capable of observation by the Authorized User, and shall be made part of the Contractor's standard documentation. The test data shall remain accessible to the Authorized User after completion of the test.

In the event that the documented installation test cannot be completed successfully within the specified acceptance period, and the Contractor or Product is responsible for the delay, Authorized User shall have the option to cancel the order in whole or in part, or to extend the testing period for an additional thirty (30) day increment. Authorized User shall notify Contractor of acceptance upon successful completion of the documented installation test. Such cancellation shall not give rise to any cause of action against the Authorized User for damages, loss of profits, expenses, or other remuneration of any kind.

If the Authorized User elects to provide a deficiency statement specifying how the Product fails to meet the specifications within the testing period, Contractor shall have thirty (30) days to correct the deficiency, and the Authorized User shall have an additional sixty (60) days to evaluate the Product as provided herein. If the Product does not meet the specifications at the end of the extended testing period, Authorized User, upon prior written notice to Contractor, may then reject the Product and return all defective Product to Contractor, and Contractor shall refund any monies paid by the Authorized User to Contractor therefor. Costs and liabilities associated with a failure of the Product to perform in accordance with the functionality tests or product specifications during the acceptance period shall be borne fully by Contractor to the extent that said costs or liabilities shall not have been caused by negligent or willful acts or omissions of the Authorized User's agents or employees. Said costs shall be limited to the amounts set forth in the Limitation of Liability Clause for any liability for costs incurred at the direction or recommendation of Contractor.

79. AUDIT OF LICENSED PRODUCT USAGE Contractor shall have the right to periodically audit, no more than annually, at Contractor's expense, use of licensed Product at any site where a copy of the Product resides provided that: (i) Contractor gives Licensee(s) at least thirty (30) days advance written notice, (ii) such audit is conducted during such party's normal business hours, (iii) the audit is conducted by an independent auditor chosen on mutual agreement of the parties. Contractor shall recommend a minimum of three (3) auditing/accounting firms from which the Licensee will select one (1). In no case shall the Business Software Alliance (BSA), Software Publishers Association (SPA), Software and Industry Information Association (SIIA) or Federation Against Software Theft (FAST) be used directly or indirectly to conduct audits, or be recommended by Contractor; (iv) Contractor and Licensee are each entitled to designate a representative who shall be entitled to participate, and who shall mutually agree on audit format, and simultaneously review all information obtained by the audit. Such representatives also shall be entitled to copies of all reports, data or information obtained from the audit; and (v) if the audit shows that such party is not in compliance, Licensee shall be required to purchase additional licenses or capacities necessary to bring it into compliance and shall pay for the unlicensed capacity at the NYS Net Price in effect at time of audit, or if none, then at the Contractor's U.S. Commercial list price. Once such additional licenses or capacities are purchased, Licensee shall be deemed to have been in compliance retroactively, and Licensee shall

have no further liability of any kind for the unauthorized use of the software.

80. OWNERSHIP/TITLE TO PROJECT DELIVERABLES

a. Definitions

(i) For purposes of this paragraph, "Products." A deliverable furnished under this Contract by or through Contractor, including existing and custom Products, including, but not limited to: a) components of the hardware environment, b) printed materials (including but not limited to training manuals, system and user documentation, reports, drawings), whether printed in hard copy or maintained on diskette, CD, DVD or other electronic media c) third party software, d) modifications, customizations, custom programs, program listings, programming tools, data, modules, components, and e) any properties embodied therein, whether in tangible or intangible form (including but not limited to utilities, interfaces, templates, subroutines, algorithms, formulas, source code, object code).

(ii) For purposes of this paragraph, "Existing Products." Tangible Products and intangible licensed Products that exist prior to the commencement of work under the Contract. Contractor bears the burden of proving that a particular product was in existence prior to the commencement of the Project.

(iii) For purposes of this paragraph, "Custom Products." Products, preliminary, final or otherwise, which are created or developed by Contractor, its Subcontractors, partners, employees or agents for Authorized User under the Contract.

b. Title to Project Deliverables Contractor acknowledges that it is commissioned by the Authorized User to perform the services detailed in the Purchase Order. Unless otherwise specified in writing in the Bid or Purchase Order, the Authorized User shall have ownership and license rights as follows:

(i) Existing Products:

1. Hardware - Title and ownership of Existing Hardware Product shall pass to Authorized User upon Acceptance.

2. Software - Title and ownership to Existing Software Product(s) delivered by Contractor under the Contract that is normally commercially distributed on a license basis by the Contractor or other independent software vendor proprietary owner ("Existing Licensed Product"), whether or not embedded in, delivered or operating in conjunction with hardware or Custom Products, shall remain with Contractor or the proprietary owner of other independent software vendor(s) (ISV). Effective upon acceptance, such Product shall be licensed to Authorized User in accordance with the Contractor or ISV owner's standard license agreement, provided, however, that such standard license, must, at a minimum: (a) grant Authorized User a non-exclusive, perpetual license to use, execute, reproduce, display, perform, adapt (unless Contractor advises Authorized User as part of Contractor's proposal that adaptation will violate existing agreements or statutes and Contractor demonstrates such to the Authorized User's satisfaction) and distribute Existing Licensed Product to the Authorized User up to the license capacity stated in the Purchase Order or work order with all license rights necessary to fully effect the general business purpose(s) stated in the Bid or Authorized User's Purchase Order or work order, including the financing assignment rights set forth in paragraph (c) below; and (b) recognize the State of New York as the licensee where the Authorized User is a state agency, department, board, commission, office or institution. Where these rights are not otherwise covered by the ISV's owner's standard license agreement, the Contractor shall be responsible for obtaining these rights at its sole cost and expense. The Authorized User shall reproduce all copyright notices and any other legend of ownership on any copies authorized under this paragraph.

(ii.) **Custom Products:** Effective upon creation of Custom Products, Contractor hereby conveys, assigns and transfers to Authorized User the sole and exclusive rights, title and interest in Custom Product(s), whether preliminary, final or otherwise, including all trademark and copyrights. Contractor hereby agrees to take all necessary and appropriate steps to ensure that the Custom Products are protected against unauthorized copying, reproduction and marketing by or through Contractor, its agents, employees, or Subcontractors. Nothing herein shall preclude the Contractor from otherwise using the related or underlying general knowledge, skills, ideas, concepts, techniques and experience developed under a Purchase Order, project definition or work order in the course of Contractor's business. Authorized User may, by providing written notice thereof to the Contractor, elect in the alternative to take a non-exclusive perpetual license to Custom Products in lieu of Authorized User taking exclusive ownership and title to such Products. In such case, Licensee on behalf of all Authorized Users shall be granted a non-exclusive perpetual license to use, execute, reproduce, display, perform, adapt and distribute Custom Product as necessary to fully effect the general business purpose(s) as stated in paragraph (b)(i)(2), above.

c. Transfers or Assignments to a Third Party Financing Agent It is understood and agreed by the parties that a condition precedent to the consummation of the purchase (s) under the Contract may be the obtaining of acceptable third party financing by the Authorized User. The Authorized User shall make the sole determination of the acceptability of any financing proposal. The Authorized User will make all reasonable efforts to obtain such financing, but makes no representation that such financing has been obtained as of the date of Bid receipt. Where financing is used, Authorized User may assign or transfer its rights in Licensed Products (existing or custom) to a third party financing entity or trustee ("Trustee") as collateral where required by the terms of the financing agreement. Trustee's sole rights with respect to transferability or use of Licensed Products shall be to exclusively sublicense to Authorized User all of its Licensee's rights under the terms and conditions of the License Agreement; provided, further, however, in the event of any termination or expiration of such sublicense by reason of payment in full, all of Trustee's rights in such Licensed Product shall terminate immediately and Authorized User's prior rights to such Existing Licensed Product shall be revived.

d. Sale or License of Custom Products Involving Tax-Exempt Financing (i.e., Certificates of Participation - COPS) The Authorized User's sale or other transfer of Custom Products which were acquired by the Authorized User using third party, tax-exempt financing may not occur until such Custom Products are, or become, useable. In the event that the Contractor wishes to obtain ownership rights to Custom Product(s), the sale or other transfer shall be at fair market value determined at the time of such sale or other transfer, and must be pursuant to a separate written agreement in a form acceptable to the Authorized User which complies with the terms of this paragraph.

e. Contractor's Obligation with Regard to ISV (Third Party) Product Where Contractor furnishes Existing Licensed Product(s) as a Project Deliverable, and sufficient rights necessary to effect the purposes of this section are not otherwise provided in the Contractor or ISV's standard license agreement, Contractor shall be responsible for obtaining from the ISV third party proprietary owner/developer the rights set forth herein to the benefit of the Authorized User at Contractor's sole cost and expense.

81. PROOF OF LICENSE The Contractor must provide to each Licensee who places a Purchase Order either: (i) the Product developer's certified License Confirmation Certificates in the name of such Licensee; or (ii) a written confirmation from the Proprietary owner accepting Product invoice as proof of license. Contractor shall

submit a sample certificate, or alternatively such written confirmation from the proprietary developer. Such certificates must be in a form acceptable to the Licensee.

82. PRODUCT VERSION Purchase Orders shall be deemed to reference Manufacturer's most recently released model or version of the Product at time of order, unless an earlier model or version is specifically requested in writing by Authorized User and Contractor is willing to provide such version.

83. CHANGES TO PRODUCT OR SERVICE OFFERINGS

a. Product or Service Discontinuance Where Contractor is the Product Manufacturer/Developer, and Contractor publicly announces to all U.S. customers ("date of notice") that a Product is being withdrawn from the U.S. market or that maintenance service or technical support provided by Contractor ("withdrawn support") is no longer going to be offered, Contractor shall be required to: (i) notify the Commissioner, each Licensee and each Authorized User then under contract for maintenance or technical support in writing of the intended discontinuance; and (ii) continue to offer Product or withdrawn support upon the Contract terms previously offered for the greater of: a) the best terms offered by Contractor to any other customer, or b) not less than twelve (12) months from the date of notice; and (iii) at Authorized User's option, provided that the Authorized User is under contract for maintenance on the date of notice, either: provide the Authorized User with a Product replacement or migration path with at least equivalent functionality at no additional charge to enable Authorized User to continue use and maintenance of the Product.

In the event that the Contractor is not the Product Manufacturer, Contractor shall be required to: (i) provide the notice required under the paragraph above, to the entities described within five (5) business days of Contractor receiving notice from the Product Manufacturer, and (ii) include in such notice the period of time from the date of notice that the Product Manufacturer will continue to provide Product or withdraw support.

The provisions of this subdivision (a) shall not apply or eliminate Contractor's obligations where withdrawn support is being provided by an independent Subcontractor. In the event that such Subcontractor ceases to provide service, Contractor shall be responsible for subcontracting such service, subject to state approval, to an alternate Subcontractor.

b. Product or Service Re-Bundling In the event that Contractor is the Product manufacturer and publicly announces to all U.S. customers ("date of notice") that a Product or maintenance or technical support offering is being re-bundled in a different manner from the structure or licensing model of the prior U.S. commercial offering, Contractor shall be required to: (i) notify the State and each Authorized User in writing of the intended change; (ii) continue to provide Product or withdrawn support upon the same terms and conditions as previously offered on the then-current NYS Contract for the greater of: a) the best terms offered by Contractor to any other customer, or b) not less than twelve (12) months from the date of notice; and (iii) shall submit the proposed rebundling change to the Commissioner for approval prior to its becoming effective for the remainder of the Contract term. The provisions of this section do not apply if the Contractor is not the Product manufacturer.

84. NO HARDSTOP/PASSIVE LICENSE MONITORING

Unless an Authorized User is otherwise specifically advised to the contrary in writing at the time of order and prior to purchase, Contractor hereby warrants and represents that the Product and all Upgrades do not and will not contain any computer code that would

disable the Product or Upgrades or impair in any way its operation based on the elapsing of a period of time, exceeding an authorized number of copies, advancement to a particular date or other numeral, or other similar self-destruct mechanisms (sometimes referred to as "time bombs," "time locks," or "drop dead" devices) or that would permit Contractor to access the Product to cause such disablement or impairment (sometimes referred to as a "trap door" device). Contractor agrees that in the event of a breach or alleged breach of this provision that Authorized User shall not have an adequate remedy at law, including monetary damages, and that Authorized User shall consequently be entitled to seek a temporary restraining order, injunction, or other form of equitable relief against the continuance of such breach, in addition to any and all remedies to which Authorized User shall be entitled.

85. SOURCE CODE ESCROW FOR LICENSED PRODUCT If Source Code or Source Code escrow is offered by either Contractor or Product manufacturer or developer to any other commercial customers, Contractor shall either: (i) provide Licensee with the Source Code for the Product; or (ii) place the Source Code in a third party escrow arrangement with a designated escrow agent who shall be named and identified to the State, and who shall be directed to release the deposited Source Code in accordance with a standard escrow agreement acceptable to the State; or (iii) will certify to the State that the Product manufacturer/developer has named the State, acting by and through the Authorized User, and the Licensee, as a named beneficiary of an established escrow arrangement with its designated escrow agent who shall be named and identified to the State and Licensee, and who shall be directed to release the deposited Source Code in accordance with the terms of escrow. Source Code, as well as any corrections or enhancements to such source code, shall be updated for each new release of the Product in the same manner as provided above and such updating of escrow shall be certified to the State in writing. Contractor shall identify the escrow agent upon commencement of the Contract term and shall certify annually that the escrow remains in effect in compliance with the terms of this paragraph.

The State may release the Source Code to Licensees under this Contract who have licensed Product or obtained services, who may use such copy of the Source Code to maintain the Product.

FOR NEGOTIATED CONTRACTS THE FOLLOWING CLAUSES ARE RESERVED BECAUSE BIDDING DOES NOT APPLY:

Clauses: 7, 8, 9, 10, 11, 12, 13, 16, 15, 21, 25, 26, 28, 29, 30, 31, 32, 33, 36, 49, 50, 52, 54 and 37

I N D E X

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Exhibits

Exhibit A

DOCCS Geographical Map and Facilities Listing



New York State Department of Corrections and Community Supervision
Facilities Management System
Facilities Listing

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Adirondack Correctional Facility
196 Ray Brook Road
P.O. Box 110
Ray Brook, NY 12977-0110 (Essex Co.)
Fax:*10-230-2099
518-891-1343/*12-230-0000

Cynthia Tourville, Superintendent
_____, Deputy Supt/Security
Jarrod Shusda, Deputy Supt/Admin
James Scorsome, Deputy Supt/Programs
Lynn McFaul, Steward
Leonard Sweeney, Captain

Albion Correctional Facility
3595 State School Road
Albion, NY 14411-9399 (Orleans Co.)
Fax:*10-090-2099
585-589-5511/*12-090-0000

Melinda Samuelson, Superintendent
Danyelle Hodges, First Dep. Superintendent
William Kosachook, Deputy Supt/Security
Elizabeth Maldonado, Deputy Supt/Admin
Krista Vasile, Deputy Supt/Programs
Tisha Loney, Asst. Deputy Supt. Prg.
_____, Asst. Deputy Supt PREA
Robin McElwain, ADS Women's Health
Tamara Allen, Steward
Matthew Jurs, Captain
Yoppie Sudira, Captain

Altona Correctional Facility
555 Devils Den Road
P.O. Box 3000
Altona, NY 12910-2090 (Clinton Co.)
Fax:*10-540-2099
518-236-7841/*12-540-0000

Stanley Barton, Superintendent
_____, Deputy Supt/Security
Marie Spinner, Deputy Supt/Admin
Michael Hugaboom, Deputy Supt/Programs
Stacy Venne, Steward
Kendall Matott, Captain

Attica Correctional Facility
639 Exchange Street
P.O. Box 149
Attica, NY 14011-0149 (Wyoming Co.)
Fax:*10-000-2099
585-591-2000/*12-000-0000

Julie Wolcott, Superintendent
George Poff, First Dep. Superintendent
Andrew Enser, Deputy Supt/Security
Matthew Coffta, Deputy Supt/Admin
Lakita Middlebrook, Deputy Supt/Programs
Eilah VanBuren, Deputy Supt/H.C.
Deanna Hunt, Asst. Deputy Supt. Prg.
Meghan Main, Asst. Dep. Supt. Corr. Mental Healt
Ashley Hougler, Asst. Deputy Supt PREA
Becky Pfalzer, Steward
_____, Captain
_____, Captain
Jacob Monkelbaan, Captain

Auburn Correctional Facility
135 State Street
Auburn, NY 13024-9000 (Cayuga Co.)
Fax:*10-010-2099
(Inmate Mail: P.O. Box 618, 13021)
315-253-8401/*12-010-0000

Thomas Napoli, Superintendent
Denise Moore-Bashta, First Dep. Superintendent
Martin Gilmore, Deputy Supt/Security
Erin White, Deputy Supt/Admin
Amy Fredericksen, Deputy Supt/Programs
_____, Deputy Supt/H.C.
Megan Thomas, Asst. Dep. Supt. Corr. Mental Heal
Morgan Emerson, Asst. Deputy Supt PREA
Wendi Crocker, Steward
_____, Captain
_____, Captain

Bedford Hills Correctional Facility
247 Harris Road
Bedford Hills, NY 10507-2400 (Westchester Co.)
Fax:*10-120-2099
914-241-3100/*12-120-0000

Linda Carrington-Allen, Superintendent
Marie Hammond, First Dep. Superintendent
Malikah McCrorey, Deputy Supt/Security
Monica Marchese, Deputy Supt/Admin
Eric Miller, Deputy Supt/Programs
Aileen McCarthy, Deputy Supt/H.C.
Wakeyta St. Louis, Asst. Dep. Supt. Corr. Mental He
Beverly Lockwood, Asst. Deputy Supt PREA
Markeena Williams, ADS Women's Health
_____, Steward
_____, Captain
_____, Captain
_____, Captain

Cape Vincent Correctional Facility
36560 State Route 12E
P.O. Box 599
Cape Vincent, NY 13618-0599 (Jefferson Co.)
Fax:*10-580-2099
315-654-4100/*12-580-0000

Thomas Gee, Superintendent
Todd Leichty, Deputy Supt/Security
Vickie Norton-O'Brien, Deputy Supt/Admin
Kelly Knapp, Deputy Supt/Programs
Ashley Brooke, Steward
_____, Captain

Cayuga Correctional Facility
2202 State Route 38A
P.O. Box 1150
Moravia, NY 13118-1150 (Cayuga Co.)
Fax:*10-550-2099
(Inmate Mail: P.O. Box 1186, 13118)
315-497-1110/*12-550-0000

Louis Bower, Superintendent
_____, First Dep. Superintendent
_____, Deputy Supt/Security
Patrick Kennedy, Deputy Supt/Admin
Joseph Sword, Deputy Supt/Programs
_____, Steward
_____, Captain
_____, Captain

Clinton Correctional Facility
1156 Route 374
P.O. Box 2000
Dannemora, NY 12929-2000 (Clinton Co.)
Fax:*10-020-2099
(Inmate Mail Main: Box 2001/Annex: Box 2002)
518-492-2511/*12-020-0000

Marie Josee King, Superintendent
Adam Frenya, First Dep. Superintendent
_____, Deputy Supt/Security
Jennifer Cooley, Deputy Supt/Admin
Chad Webb, Deputy Supt/Programs
Tanie Harrigan, Deputy Supt/H.C.
Karyn Langlais, Deputy Supt Corr Mental Health
Amy Sweeney, Asst. Deputy Supt PREA
Kandis Castine, Steward
_____, Captain
_____, Captain
Robert Duquette, Captain

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Collins Correctional Facility

Middle Road

P.O. Box 490

Collins, NY 14034-0490 (Erie Co.)

Fax:*10-470-2099

(Inmate Mail: P.O. Box 340, 14034-0340)

716-532-4588/*12-470-0000

Leanne Latona, Superintendent

Jacy Woodworth, First Dep. Superintendent

Mark Budziszewski, Deputy Supt/Security

Donald Beecroft, Deputy Supt/Admin

Kelly VanNote, Deputy Supt/Programs

Kimberly Adams, Asst. Deputy Supt PREA

Jennifer Schindler, Steward

_____, Captain

_____, Captain

Coxsackie Correctional Facility

11260 Route 9W

P.O. Box 200

Coxsackie, NY 12051-0200 (Greene Co.)

Fax:*10-130-2099

(Inmate Mail: P.O. Box 999, 12051-0999)

518-731-2781/*12-130-0000

_____, Superintendent

Bradley Peck, First Dep. Superintendent

Ryan Montgomery, Deputy Supt/Security

Jeffrey Brown, Deputy Supt/Admin

Jennifer Johnston, Deputy Supt/Programs

Kelly Slaven, Deputy Supt/H.C.

Cory Thayer, Asst. Dep. Supt. Corr. Mental Health

Nekia Torres, Asst. Deputy Supt PREA

Marissa Velez-Latour, Steward

_____, Captain

_____, Captain

Melinda Keohan, Captain

Eastern NY Correctional Facility

30 Institution Road

P.O. Box 338

Napanoch, NY 12458-0338 (Ulster Co.)

Fax:*10-100-2099

845-647-7400/*12-100-0000

Michael Ritter, Superintendent

Lisa Andersen, First Dep. Superintendent

George Lang, Deputy Supt/Security

Larry Ebert, Deputy Supt/Admin

Shaniqua Harrison, Deputy Supt/Programs

Barbara Rose, Steward

_____, Captain

Robert Lyons, Captain

Edgecombe Residential Treatment Facility

611 Edgecombe Avenue

New York, NY 10032-4398 (NY Co.)

Fax:*10-320-2099

212-923-2575/*12-320-0000

Seiveright Miller, Superintendent

Brenda Brogdon-Alexis, Asst. Deputy Supt. Prg.

Julietta Mitchel, Steward

Elmira Correctional Facility

1879 Davis Street

P.O. Box 500

Elmira, NY 14901-0500 (Chemung Co.)

Fax:*10-110-2099

607-734-3901/*12-110-0000

Kevin McCarthy, Superintendent

Christina Hill, First Dep. Superintendent

Stephen Wilcox, Deputy Supt/Security

Micheal Coletta, Deputy Supt/Admin

Erin O'Brien, Deputy Supt/Programs

Zebra Cicconi-Crozier, Deputy Supt/H.C.

Brandi Foley, Deputy Supt/Rec & Class

_____, Asst. Deputy Supt. Prg.

Tricia Sweet, Asst. Dep. Supt. Corr. Mental Health

Robin Hinman, Asst. Deputy Supt PREA

Erica Smith, Steward

_____, Captain

_____, Captain

_____, Captain

Fishkill Correctional Facility

18 Strack Drive

Beacon, NY 12508-0307 (Dutchess Co.)

Fax:*10-050-2099

(Inmate Mail: 271 Matteawan Road, P.O. Box 1245)

845-831-4800/*12-050-0000

Michael Daye, Superintendent

Amanda Demshick, First Dep. Superintendent

John Conklin, Deputy Supt/Security

Karen Tompkins, Deputy Supt/Admin

Elaine Velez, Deputy Supt/Programs

Latasha Jackson-Smith, Deputy Supt/H.C.

Luis Gonzalez, Asst. Deputy Supt. Prg.

_____, Asst. Dep. Supt. Corr. Mental Health

Stephanie Brauch, Asst. Deputy Supt PREA

Mary Range, Steward

_____, Captain

_____, Captain

Five Points Correctional Facility

6600 State Route 96

Caller Box 400

Romulus, NY 14541 (Seneca Co.)

Fax:*10-370-2099

(Inmate Mail: Caller Box 119)

607-869-5111/*12-370-0000

Timothy Carroll, Superintendent

Jeremy Abrams, First Dep. Superintendent

_____, Deputy Supt/Security

Pamela Wyckoff, Deputy Supt/Admin

_____, Deputy Supt/Programs

Ashley Delmar, Deputy Supt Corr Mental Health

Sheena Ector, Asst. Deputy Supt PREA

Jillian DeBrock, Steward

Joel Jastrzab, Captain

Marc Masocco, Captain

Richard Wentzel, Captain

Franklin Correctional Facility

62 Bare Hill Road

P.O. Box 10

Malone, NY 12953-0010 (Franklin Co.)

Fax:*10-530-2099

518-483-6040/*12-530-0000

Tanya Demers-Louie, Superintendent

Jason Hanson, First Dep. Superintendent

Laura Gokey, Deputy Supt/Security

Karissa O'Hare, Deputy Supt/Admin

Claude Schneider (Bare Hill), Deputy Supt/Admin

Courtney Leonard, Deputy Supt/Programs

Lisa Hopkinson, Asst. Deputy Supt PREA

Erin Ducote, Steward

_____, Captain

_____, Captain

Gouverneur Correctional Facility

112 Scotch Settlement Road

P.O. Box 370

Gouverneur, NY 13642-0370 (St. Lawrence Co.)

Fax:*10-810-2099

315-287-7351/*12-810-0000

Marcia Cleveland, Superintendent

Ralph Isabella, First Dep. Superintendent

Matthew Lavarney, Deputy Supt/Security

Jamie Pellerin, Deputy Supt/Admin

Renea Brabant, Deputy Supt/Programs

_____, Asst. Deputy Supt PREA

Terri Jackson, Steward

_____, Captain

Craig Demmon, Captain

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Green Haven Correctional Facility
594 Route 216
Stormville, NY 12582-0010 (Dutchess Co.)
Fax:*10-080-2099

845-221-2711/*12-080-0000

Mark Miller, Superintendent
Daniel Galioto, First Dep. Superintendent
Armand Caringi, Deputy Supt/Security
Cheryl Weir, Deputy Supt/Admin
David Frisina, Deputy Supt/Programs
_____, Deputy Supt/H.C.
Shantilet Johnson, Asst. Deputy Supt
Tijuana Patterson, Asst. Deputy Supt. Prg.
_____, Asst. Dep. Supt. Corr. Mental Health
Debra Wilson, Asst. Deputy Supt PREA
Michelle Langiu, Steward
Francisco Malave, Captain
Shawn Murphy, Captain

Greene Correctional Facility
165 Plank Road
P.O. Box 8
Coxsackie, NY 12051-0008 (Greene Co.)
Fax:*10-670-2099

(Inmate Mail: P. O. Box 975, 12051-0975)

518-731-2741/*12-670-0000

Stephen Brandow, Superintendent
Martha Ball, First Dep. Superintendent
Sean Petrie, Deputy Supt/Security
Ronald Manna, Deputy Supt/Admin
Kimberly Walker, Deputy Supt/Programs
_____, Asst. Deputy Supt. Prg.
Tami Kelly, Asst. Deputy Supt PREA
Kimberly Shultis, Steward
_____, Captain
Kimberly Bedard, Captain

Groveland Correctional Facility
7000 Sonyea Road
P.O. Box 50
Sonyea, NY 14556-0050 (Livingston Co.)
Fax:*10-460-2099

585-658-2871/*12-460-0000

Martin Titus, Superintendent
Christina Loverde, Deputy Supt/Security
Scott Smith, Deputy Supt/Admin
Jessica Schneider, Deputy Supt/Programs
Michelle Thompson, Steward
_____, Captain
Jason Currier, Captain

Hale Creek Correctional Facility
279 Maloney Road
Johnstown, NY 12095-3769 (Fulton Co.)
Fax:*10-850-2099

(Inmate Mail: P.O. Box 950, 12095)

518-736-2094/*12-850-0000

Rachel Young, Superintendent
_____, Deputy Supt/Security
Kierstin Decosse, Deputy Supt/Admin
Sean Spooner, Deputy Supt/Programs
Wendy Phillips, Steward

Hudson Correctional Facility
50 East Court Street
P.O. Box 576
Hudson, NY 12534-0576 (Columbia Co.)
Fax:*10-270-2099

518-828-4311/*12-270-0000

Angelene Stevenson, Superintendent
Nicholas Korines, Deputy Supt/Security
Peter Phillips, Deputy Supt/Admin
David Howard, Deputy Supt/Programs
Tera Schnetzler, Steward
_____, Captain

Lakeview Shock Incar. Corr. Fac.
9300 Lake Avenue
P.O. Box T
Brocton, NY 14716-9798 (Chautauqua Co.)
Fax:*10-600-2099

716-792-7100/*12-600-0000

Andrea Schneider, Superintendent
James Payne, Deputy Supt/Security
Matthew Thies, Deputy Supt/Admin
_____, Deputy Supt/Programs
_____, Steward
_____, Captain
Arthur Howard Jr., Captain

Marcy Correctional Facility
9000 Old River Road
P.O. Box 5000
Marcy, NY 13403-5000 (Oneida Co.)
Fax:*10-490-2099

(Inmate Mail: P.O. Box 3600, 13403)

315-768-1400/*12-490-0000

Bennie Thorpe, Superintendent
Danielle Medbury, First Dep. Superintendent
_____, Deputy Supt/Security
Joelle Landry, Deputy Supt/Admin
Melissa Trostle, Deputy Supt/Programs
Courtney Laliberte, Deputy Supt Corr Mental Health
_____, Asst. Deputy Supt PREA
Michele Campbell, Steward
_____, Captain
_____, Captain
Aleck Kierpiec, Captain

Mid-State Correctional Facility
9005 Old River Road
P.O. Box 216
Marcy, NY 13403-0216 (Oneida Co.)
Fax:*10-480-2099

(Inmate Mail: P.O. Box 2500, 13403)

315-768-8581/*12-480-0000

Thomas Delmar, Superintendent
Vito Valenzano, First Dep. Superintendent
Korey Bezio, Deputy Supt/Security
Jason Storey, Deputy Supt/Admin
Michael Fischer, Deputy Supt/Programs
Jennifer DiBari, Asst. Deputy Supt. Prg.
Jennifer Christopher, Asst. Dep. Supt. Corr. Mental
_____, Asst. Deputy Supt PREA
Dawn Hayduk, Steward
_____, Captain
_____, Captain

Mohawk Correctional Facility
6514 Route 26
P.O. Box 8450
Rome, NY 13442 (Oneida Co.)
Fax:*10-390-2099

(Inmate Mail: P.O. Box 8451)

315-339-5232/*12-390-0000

Reginald Bishop, Superintendent
Anthony Lowe, First Dep. Superintendent
_____, Deputy Supt/Security
William Bonville, Deputy Supt/Admin
_____, Deputy Supt/Programs
Patricia Henderson, Deputy Supt/H.C.
Jeanne Schwebe, Steward
_____, Captain
Christopher Zike, Captain

Orleans Correctional Facility
3531 Gaines Basin Road
Albion, NY 14411-9199 (Orleans Co.)
Fax:*10-640-2099

585-589-6820/*12-640-0000

Kishon Walker, Superintendent
Kenneth Pettine, First Dep. Superintendent
_____, Deputy Supt/Security
Matthew Schramm, Deputy Supt/Admin
Stacey Doolan, Deputy Supt/Programs
London Harris, Asst. Deputy Supt. Prg.
Rehannon Stirk, Steward
Sabrina Andino, Captain
Matthew Wilson, Captain

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Otisville Correctional Facility

57 Sanitorium Road

P.O. Box 8

Otisville, NY 10963-0008 (Orange Co.)

Fax:*10-290-2099

845-386-1490/*12-290-0000

Delta Barometre, Superintendent

Jeffrey Sheehan, Deputy Supt/Security

Robert Hibbs, Deputy Supt/Admin

_____, Deputy Supt/Programs

_____, Asst. Deputy Supt. Compliance Standards

Meghan Vargas, Steward

Brian Barlow, Captain

Queensboro Correctional Facility

47-04 Van Dam Street

Long Island City, NY 11101-3081 (Queens Co.)

Fax:*10-170-2099

718-361-8920/*12-170-0000

Michelle Yon, Superintendent

_____, Deputy Supt/Security

_____, Deputy Supt/Admin

Shaunte Mitchell, Deputy Supt/Programs

_____, Steward

Riverview Correctional Facility

1110 Tibbits Drive

P.O. Box 158

Ogdensburg, NY 13669-0158 (St. Lawrence Co.)

Fax:*10-570-2099

315-393-8400/*12-570-0000

Andrew Boyd, Superintendent

Kenneth Buckley, Deputy Supt/Security

Lisa Nichols, Deputy Supt/Admin

Robert Brabant, Deputy Supt/Programs

Jason Poore, Steward

Anthony Hill, Captain

Shawangunk Correctional Facility

200 Quick Road

P.O. Box 750

Wallkill, NY 12589-0750 (Ulster Co.)

Fax:*10-680-2099

(Inmate Mail: P.O. Box 700)

845-895-2081/*12-680-0000

John Wood, Superintendent

Elizabeth Garber, First Dep. Superintendent

Paul LaCroix, Deputy Supt/Security

Marshall Storey, Deputy Supt/Admin

_____, Deputy Supt/Programs

Laura Schade, Asst. Deputy Supt PREA

Kathleen Pugliese, Steward

James Leconey, Captain

Sing Sing Correctional Facility

354 Hunter Street

Ossining, NY 10562-5442 (Westchester Co.)

Fax:*10-070-2099

914-941-0108/*12-070-0000

Marlyn Kopp, Superintendent

John Werlau, First Dep. Superintendent

Michel Blot, Deputy Supt/Security

Albert Helms, Deputy Supt/Admin

Courtney Griffin, Deputy Supt/Programs

Jonia Manuel, Deputy Supt/H.C.

Kim Watson, Asst. Deputy Supt. Prg.

Michelle Mimms, Asst. Dep. Supt. Corr. Mental He

Calvin Hill, Asst. Deputy Supt PREA

_____, Steward

_____, Captain

_____, Captain

Taconic Correctional Facility

250 Harris Road

Bedford Hills, NY 10507-2497 (Westchester Co.)

Fax:*10-250-2099

914-241-3010/*12-250-0000

Emily Williams, Superintendent

_____, Deputy Supt/Security

Mathew Oommen, Deputy Supt/Admin

Carysma Smith, Deputy Supt/Programs

Alexis Collado, Asst. Deputy Supt PREA

Nuala Odonohue, Steward

_____, Captain

Ulster Correctional Facility

750 Berme Road

P.O. Box 800

Napanoch, NY 12458-0800 (Ulster Co.)

Fax:*10-610-2099

845-647-1670/*12-610-0000

Stacie Bennett, Superintendent

Patricia Freeman, Deputy Supt/Security

Kathryn Riffard, Deputy Supt/Admin

Cesar Loarca, Deputy Supt/Programs

Derek Austin, Asst. Deputy Supt PREA

Heather Depew, Steward

_____, Captain

Upstate Correctional Facility

309 Bare Hill Road

P.O. Box 2000

Malone, NY 12953 (Franklin Co.)

Fax:*10-840-2099

(Inmate Mail: P.O. Box 2001)

518-483-6997/*12-840-0000

Jay Skiff, Superintendent

_____, First Dep. Superintendent

Albert Gravlin, Deputy Supt/Security

Jennifer Rafter, Deputy Supt/Admin

Denise Boyer, Deputy Supt/Programs

Lacey Avery, Asst. Deputy Supt PREA

Nicole Boyea, Steward

_____, Captain

_____, Captain

Walkill Correctional Facility

50 McKendrick Road

P.O. Box G

Wallkill, NY 12589-0286 (Ulster Co.)

Fax:*10-060-2099

845-895-2021/*12-060-0000

_____, Superintendent

Iteshia Wilson, Deputy Supt/Security

Sharon Frost, Deputy Supt/Admin

Jean-Marie Baumann, Deputy Supt/Programs

Donald Robb, Steward

Scott Startup, Captain

Washington Correctional Facility

72 Lock Eleven Lane

P.O. Box 180

Comstock, NY 12821-0180 (Washington Co.)

Fax:*10-650-2099

518-639-4486/*12-650-0000

Aaron Torres, Superintendent

_____, Deputy Supt/Security

Randy Gross, Deputy Supt/Admin

Jaime Lovett, Deputy Supt/Programs

Melissa Collins, Deputy Supt Corr Mental Health

_____, Asst. Deputy Supt. Prg.

Suzanne King, Asst. Deputy Supt PREA

Carla Thompson, Steward

Brian Cook, Captain

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Wende Correctional Facility

3040 Wende Road

Alden, NY 14004-1187 (Erie Co.)

Fax: *10-430-2099

716-937-4000/*12-430-0000

Christopher Yehl, Superintendent

Sean White, First Dep. Superintendent

_____, Deputy Supt/Security

Debra Farley, Deputy Supt/Admin

Lewis Urban, Deputy Supt/Programs

Roger Romesser, Deputy Supt/H.C.

Leah Szablewski, Deputy Supt Corr Mental Health

Janique Lowe, Asst. Deputy Supt PREA

Melisa Stitzel, Steward

Roger Tanguay, Captain

David Woodworth, Captain

Woodbourne Correctional Facility

99 Prison Road

P.O. Box 1000

Woodbourne, NY 12788-1000 (Sullivan Co.)

Fax: *10-140-2099

845-434-7730/*12-140-0000

Betsy Smith, Superintendent

Paul Mace, Deputy Supt/Security

Beth Larsen, Deputy Supt/Admin

Danielle Glebocki, Deputy Supt/Programs

Nona Adamson, Asst. Deputy Supt. Prg.

Allison Pabon, Asst. Deputy Supt PREA

Eigo Victoria, Steward

_____, Captain

Wyoming Correctional Facility

3203 Dunbar Road

P.O. Box 501

Attica, NY 14011-0501 (Wyoming Co.)

Fax: *10-660-2099

585-591-1010/*12-660-0000

Kimberly Kelly, Superintendent

Susan Beck, First Dep. Superintendent

Anthony Croce, Deputy Supt/Security

Kadie Hostettler, Deputy Supt/Admin

Stacey Gallaway, Deputy Supt/Programs

Michelle Carder, Steward

_____, Captain

_____, Captain

_____, Captain

Exhibit C

Non-Disclosure Agreement

Disclosure of New York State Department of Corrections and Community Supervision Information

THIS NONDISCLOSURE AGREEMENT is entered into by the New York State Department of Corrections and Community Supervision (“DOCCS”) which is the party disclosing confidential information, and **VENDOR NAME**, which is the party receiving confidential information (“Recipient”), in order to protect the confidential information which is disclosed to the Recipient by DOCCS.

NOW THEREFORE, in consideration of the mutual covenants contained herein, the parties hereto agree as follows:

1. The Recipient’s representatives for receiving confidential information are:

Name	Title

Recipient shall not disclose the confidential information to any of its employees other than those who have a need to review it and which employees are legally obligated to honor the confidentiality provisions herein.

2. The confidential information disclosed by DOCCS under this Agreement is described as: During the course of this contract, the Recipient may be provided with or observe confidential information including, but not limited to, department policies and procedures, including Directives, Facility Operations Manuals, and Policy Memoranda (e.g., Directives designated with a D or A Distribution); names/identification numbers (e.g., DIN, NYSID, FBI numbers) of incarcerated individuals and disciplinary history for participating/discharged program participants; and records pertaining to individuals’ criminal histories, incarceration histories, and program and treatment histories.
3. The Recipient shall keep the information confidential and shall use the confidential information only for **Contract #C161877**. The Recipient shall not make any copies of the confidential information except as necessary for its employees who are entitled to view it under Section 1 above. Any copies made shall be identified as belonging to DOCCS and marked “confidential,” or with a similar legend.
4. The Recipient shall, where applicable, protect the confidential information in a manner consistent with the Health Insurance Portability and Accountability Act (“HIPAA”) of 1996 Privacy and Security provisions and all other applicable regulations.
5. The Recipient shall comply with all Federal and State regulations intended to protect criminal history records as they apply to the confidential information.
6. The Recipient shall comply with all DOCCS directives, policies, practices, and procedures as they apply to the protection of the confidential information.

7. The Recipient shall, in the event of unauthorized disclosure of the confidential information, immediately notify DOCCS in writing, and fully comply with the requirements of the New York State Breach Notification Act.
8. Any unauthorized disclosure of procurement information may subject Recipient to criminal, civil, and/or administrative penalties.
9. To the extent permitted by law, the Recipient shall protect the disclosed confidential information by using the same degree of care, but no less than a reasonable degree of care, to prevent the unauthorized use, dissemination, or publication of the confidential information as the Recipient uses to protect its own confidential information of a like nature.
10. The Recipient shall have a duty to protect all confidential information which is disclosed to it, whether disclosed in writing, orally or in any other manner and which is identified as confidential at the time of disclosure. If the disclosure is in writing, it shall be marked “**confidential.**” If a disclosure is not in writing, DOCCS shall provide Recipient with a written memorandum summarizing and designating such information as confidential within 30 days of the disclosure.
11. This agreement controls information that is disclosed to Recipient for the life of the contract.
12. The Recipient’s duties under paragraph 3, 4, 5 ,6, & 7 of this Agreement shall expire one (1) year after the information is received. The recipient shall return or destroy all DOCCS confidential information. All paper documents and any copies made in accordance with #3 above are to be shredded. Electronically stored information is to be destroyed by shredding or securely wiping the media.
13. This Agreement imposes no obligation upon the Recipient with respect to confidential information which (a) was in the Recipient’s possession before receipt by DOCCS; (b) is or becomes a matter of public knowledge through no fault of the Recipient; (c) is received by the Recipient from a third party without a duty of confidentiality; (d) is disclosed by DOCCS to a third party without a duty of confidentiality on the third party; (e) is independently disclosed by the Recipient with DOCCS’ prior written approval; (f) is developed by the Recipient without reference to information disclosed hereunder.
14. DOCCS warrants that it has the right to make the disclosure under this Agreement.
15. Neither party acquires any intellectual property under this Agreement
16. Neither party has an obligation under this Agreement to purchase, sell or license any service or item from the other party.
17. The Recipient shall adhere to U.S. Export Administration laws and Regulations and shall not export, or re-export, technical data, information or products received from DOCCS or the direct product of such technical data or information to any proscribed country listed in the U.S. Export Administration Regulations, unless properly authorized by the U.S. Government.

18. The parties do not intend that any agency or partnership be created between them by this Agreement.
19. All additions or modifications to this Agreement must be in writing and signed by both parties.
20. This Agreement is made under and shall be governed by the laws of the State of New York.
21. Neither party may assign its rights or obligations under this Agreement without the written consent of the other party. Any assignment made without said consent shall be null and void.
22. The recipient shall indemnify and hold harmless DOCCS and the State of New York from any and all suits, causes of actions, claims, grievances, damages, judgments, and costs of every name and description under this Agreement, unless such injuries or damages are directly attributable to the intentional acts or negligent conduct of DOCCS, the State of New York, or their employees.
23. The failure of DOCCS to insist upon strict adherence to any provision or other requirement of this Agreement shall not be considered a waiver to deprive DOCCS of the right to insist upon strict adherence of the terms of this Agreement in the future.
24. If any provision, or portion thereof, of this Agreement is, or becomes, invalid under any applicable statute or rule of law, it is to be deemed stricken and the rest of this Agreement shall remain in full force and effect.

IN WITNESS WHEREOF, the parties hereto have executed this Agreement as of the date first above written.

**NYS Department of Corrections and
Community Supervision**

VENDOR NAME _____

Exhibit D

Consultant Disclosure Reporting Requirements

Instructions

Consultant Disclosure Legislation Requirements – Forms A & B

Chapter 10 of the Laws of 2006 amends State Finance Law §8 and §163 by requiring that contractors annually report certain employment information to the contracting State agency, the Department of Civil Service (DCS) and the Office of the State Comptroller (OSC). Complete details are contained in Bulletin G-226, "Consultant Disclosure Legislation".

To insure compliance with the law, contractors agree to submit information as described below:

FORM A*

Contractor's Planned Employment from Contract Start Date through the End of the Contract Term.

Action Required: Form A must be completed and submitted by the bidder or contractor before a contract action can be processed. A "contract action" is defined as a new contract, renewal, amendment, extension, etc.

Completing the form:

Employment Category:	List the job titles that will be paid under the contract and the O*NET job code for each title; (see GFO XI.18; page 3).
Number of Employees:	Enter the number of employees in each job title.
Hours to be Worked:	Estimate the number of hours to be worked by staff in each job title for the term of the contract.
Amount Payable:	Calculate the estimated salary + fringe in each job category.

FORM B*

The Contractor's Annual Employment Report is used to annually report the actual employment data for the most recently concluded fiscal year (April 1st – March 31st).

Action Required: Form B must be submitted after March 31 but by May 15th of any year in which a contract has been active for any part of the prior State fiscal year (April 1st – March 31st). Form B is to report the actual employment data for the preceding State fiscal year period.

The contractor must send a copy of Form B, each year, by May 15th, to all of the following:

State Comptroller's Office
Bureau of Contracts
110 State St., 11th Floor
Albany, NY 12236

DOCCS
Contract Procurement Unit
1220 Washington Ave.
Albany, NY 12226-2050

Dept. of Civil Service
A. E. Smith Office Bldg.
Albany, NY 12239

Attn: Consultant Reporting

Or:

Attn: Counsel's Office

dccscontracts@dccs.ny.gov

*Copies attached

From Contract Start Date Through the End of the Contract Term

Contract End Date: 05/31/2032

Exhibit E

Business Associate Agreement

Exhibit E

Business Associate Agreement Between

And

NYS Department of Corrections and Community Supervision

This Business Associate Agreement (BAA) by and between _____ and New York State Department of Corrections and Community Supervision (DOCCS) is for Contractor that creates, receives, maintains or transmits Protected Health Information on behalf of DOCCS pursuant to contract _____, the parties agree to the terms of this BAA to satisfy certain standards and requirements of HIPAA, the Privacy Rule, the Security Rule and HITECH, to protect the privacy and provide for the security of such Protected Health Information.

I. Definitions

- a. "Business Associate" shall mean Contractor.
- b. "Covered Program" shall mean NYS Department of Corrections and Community Supervision (DOCCS).
- c. "Protected Health Information" will have the same meaning as the term "protected health information" in 45 CFR §160.103, as applied to the information created, received, maintained, or transmitted by Business Associate from or on behalf of Covered Program.

II. Obligations and Activities of Business Associate

- a. Business Associate agrees to not use or disclose Protected Health Information other than as permitted or required by the agreement, perform the services for, or on behalf of Covered Program as contemplated and necessary to perform services, or as required by law.
- b. Business Associate agrees to use appropriate administrative, physical, and technical safeguards to prevent use or disclosure of the Protected Health Information other than as provided for by the agreement and to comply with the applicable security standards for the protection of Electronic Protected Health Information in 45 CFR Part 164, Subpart C. Business Associate agrees to mitigate, to the extent practicable, any harmful effect that is known to Business Associate of a use or disclosure of Protected Health Information by Business Associate in violation of the requirements of this BAA.
- c. Business Associate agrees to document and report such disclosures of Protected Health Information and information related to such disclosures as would be required for Covered Program to respond to a request by an Individual for an accounting of disclosures of Protected Health Information in accordance with 45 CFR § 164.528; and, at the written request of Covered Program, Business associate agrees to provide to Covered Program, in time and manner reasonably

NYS Department of Corrections and Community Supervision

requested by Covered Program, information collected in accordance with this Section, to permit Covered Program to comply with 45 CFR §164.528.

- d. Business Associate agrees to make any amendment(s) to protected health information in a designated record set as directed or agreed to by the covered entity pursuant to 45 CFR 164.526 or take other measures as necessary to satisfy covered entity's obligations under 45 CFR 164.526.
- e. To the extent the business associate is to carry out one or more of covered entity's obligation(s) under Subpart E of 45 CFR Part 164, comply with the requirements of Subpart E that apply to the covered entity in the performance of such obligation(s); and
- f. Business Associate agrees to make its internal practices, books, and records available to the Secretary of the Department of Health and Human Services for purposes of determining compliance with the HIPAA Rules.

III. Permitted Uses and Disclosures by Business Associate

- a. Except as otherwise limited in this BAA, Business Associate may use or disclose protected health information as necessary to perform functions, activities, or services for, or on behalf of Covered Program as specified in the agreement, provided such use or disclosure would not violate the Privacy Rule if done by Covered Program.
- b. Business Associate may only use and disclose Protected Health Information for the proper management and administration of Business Associate or to carry out its legal responsibilities, provided that with respect to such disclosures, that the disclosures are Required by Law, or Business Associate obtains reasonable assurances from the person to whom the information is disclosed that it will remain confidential and will be used or further disclosed only as required by Law or for the purposes for which it was disclosed to the person, and that the person agrees to notify Business Associate of any instances of which it is aware in which the confidentiality of the information has been breached.
- c. Business Associate may disclose Protected Health Information as required by Law and to report violations of law to appropriate federal and state authorities, consistent with 45 CFR § 164.502(j)(1).

IV. Term and Termination

- a. The Term of this Business Associate Agreement shall be effective for the terms as specified in the Agreement and will terminate when all of the Protected Health Information provided by Covered Program to Business Associate, or created or received by Business associate on behalf of Covered Program, is destroyed or returned to Covered Program; provided that, if it is infeasible to return or destroy such Protected Health Information, protections are extended to such information, in accordance with the provisions in Section IV c, of this Agreement.

NYS Department of Corrections and Community Supervision

- b. Termination for Cause. Upon Covered Program's knowledge of a material breach by Business Associate, Covered Program may provide written notice detailing the nature of the breach and an opportunity for Business Associate to cure the breach and end the violation and may terminate this agreement if Business Associate does not cure the breach and end the violation within the reasonable time specified by Covered Program, or Covered Program may immediately terminate the Agreement if Business associate has breached a material term of this Agreement and cure is not possible.
- c. Upon termination of this Agreement for any reason, Business Associate, with respect to Protected Health Information received from Covered Program, or created, maintained, or received from Business Associate on behalf of Covered Program shall:
 - 1) Retain only that Protected Health Information which is necessary for Business associate to continue its proper management and administration or to carry out its legal responsibilities;
 - 2) Return to Covered Program or destroy the remaining Protected Health Information that the Business Associate still maintains in any form;
 - 3) Continue to use appropriate safeguards and comply with Subpart C of 45 CFR Part 164 with respect to electronic Protected Health Information to prevent use or disclosure of the Protected health Information, other than as provided for in this Section, for as long as Business Associate retains the Protected Health Information;
 - 4) Not use or disclose the Protected Health Information retained by Business Associate other than for the purposes for which such Protected Health Information was retained and subject to the same conditions set out at Section III - Permitted Uses and Disclosures by Business Associate above, which applied prior to termination; and
 - 5) Return to Covered Entity the protected Health Information retained by Business associate when it is no longer needed by Business associate for its proper management and administration or to carry out its legal responsibilities.
- d. Survival. The obligations of Business Associate under this Section shall survive the termination of the Agreement.
- e. Interpretation. Any ambiguity in this Agreement shall be interpreted to permit compliance with the HIPPA Rules.

Attachments

Attachment 1

No-Bid Form



New York State Division of Corrections and Community Supervision

NON-BID RESPONSE FORM

A required activity of the IFB process is the compiling of a Bid Tabulation. Ideally, this tabulation should incorporate not only those proposals submitted but also feedback from vendors receiving the IFB to determine why proposals were not submitted. Your cooperation in completing this form is requested should your company/agency decide not to respond to the below identified IFB. Please forward your response to:

*Nicolas Fusaro, Contract Management Specialist I
New York State Division of Corrections and Community Supervision
Division of Support Operations
550 Broadway
Albany, New York 12204-2802*

Company name: _____

Address: _____

City, State, Zip: _____

Telephone: _____

IFB Number: **C161877**

IFB Title: **Electronic Health Records (EHR)**

- ☐ My company/agency did not bid on the above identified IFB but please leave our company/agency on your bidder's list.
- ☐ My company/agency did not bid on the above identified IFB, and we wish to be excluded from your bidder's list for future RFP considerations.

REASONS FOR NOT SUBMITTING A BID

- ☐ Work or service requested not performed by the company. Please indicate your organization's type of work or service performed:
- ☐ Bid request received too late. Insufficient time to plan, estimate and submit a bid.
- ☐ Too busy to consider bidding on this contract.
- ☐ Unable to meet specifications/other considerations in this proposal.
- ☐ Specifications in the IFB were unclear.
- ☐ Unwilling to accept liability or responsibility for damages.
- ☐ Unable to meet insurance requirements.
- ☐ Unable to bid on all components (i.e., all locations).
- ☐ Reluctant to contract with the State because of the many standard requirements.
- ☐ Previous unfavorable experience with state contracts/work. Please explain:
- ☐ Other (specify): _____

Name _____ Title _____

Signature _____

Date _____

Attachment 2

Submission Checklist

**NYS Department of Corrections and Community Supervision
RFP 2025-49 Electronic Health Records (EHR)**

Bid Submission Checklist

>Please reference RFP Section 6.0 – Proposal Submission for the appropriate format and quantity for each proposal section.

>Ensure items that require it have signature and/or notarization.

Administrative Proposal (RFP Section 5.1)

- ☐ Attachment 2 – Bid Submission Checklist
- ☐ Attachment 3 – Bidder's Certified Statements
- ☐ Attachment 4 – Diversity Practices Questionnaire
- ☐ Attachment 5 – Cost Proposal
- ☐ Attachment 6 – Non-Collusive Bidding Certification
- ☐ Attachment 7 – Vendor Assurance of No Conflict of Interest or Detrimental Effect
- ☐ Attachment 8 – Procurement Lobbying Certification and Disclosure of Prior Non-Responsibility Determination
- ☐ Attachment 9 – Sexual Harassment Prevention Policy Certification (State Finance Law §139-l Certification)
- ☐ Attachment 10 – Gender-Based Violence Prevention Policy Certification (State Finance Law §139-m Certification)
- ☐ Attachment 11 – Executive Order 16 Prohibiting State Agencies and Authorities from Contracting with Businesses Conducting Business in Russia
- ☐ Attachment 12 – Executive Order 177 Prohibiting Contracts with Entities that Support Discrimination
- ☐ Attachment 13 – Vendor Responsibility Attestation
- ☐ Attachment 14 – Encouraging Use of New York Businesses in Contract Performance
- ☐ Attachment 15 – MWBE and EEO Policy Statement
- ☐ Attachment 16 - Equal Employment Opportunity Staffing Plan (EEO100)

Additional Administrative Items to Include:

- ☐ Contractor Certification Form ST-220-CA (*must be notarized*) available at http://www.tax.ny.gov/pdf/current_forms/st/st220ca_fill_in.pdf
- ☐ Proof of Compliance with Workers' Compensation Coverage Requirements
- ☐ Proof of Compliance with Disability Benefits Coverage Requirements
- ☐ Certificate(s) of Insurance

Technical Proposal (RFP Section 5.2)

- ☐ Title Page ☐ Table of Contents ☐ Narrative

Diversity Practices Questionnaire (RFP Section 5.3)

- ☐ Attachment 2 – Diversity Practices Questionnaire

Cost Proposal (RFP Section 5.4)

- ☐ Attachment 5 – Cost Proposal Form

Bidder Company Name:_____

Signature:_____

Print Name:_____

Date:_____

RETURN THIS PAGE AS PART OF THE BID

Attachment 3

Bidder's Certified Statements

**NYS Department of Corrections and Community Supervision
RFP 2025-49 [Electronic Health Records (EHR)]**

Bidder's Certified Statements

To be completed, signed by an individual authorized to bind the Bidder contractually, and included in the proposal.

A. Information regarding the Bidder

1. Provide the Bidder's contact and identification information.

Organization Name:
DBA – Doing Business As (if applicable):
Street Address:
City, State, Zip Code:
Telephone Number (include area code):
Email Address:
Taxpayer Identification Number (FEIN):
NYS Vendor Identification Number (if available):

2. Provide the contact information of the Bidder's Primary Contact with DOCCS regarding this proposal.

First and Last Name:
Title/Position:
Street Address:
City, State, Zip Code:
Telephone Number (include area code):
Email Address:

3. Provide the contact information of the person authorized to receive notices regarding the Contract entered into as a result of this procurement.

First and Last Name:
Title/Position:
Street Address:
City, State, Zip Code:
Telephone Number (include area code):
Email Address:

**NYS Department of Corrections and Community Supervision
RFP 2025-49 [Electronic Health Records (EHR)]**

4. The Bidder is (check as applicable):

- ☐ A New York State Small Business as defined in Executive Law Section 310(20)*
- ☐ A New York State Certified Minority-owned Business Enterprise (if yes, provide certification No. _____)
- ☐ A New York State Certified Woman-owned Business Enterprise (if yes, provide certification No. _____)
- ☐ A Dual Certified New York State Certified Minority- and Woman-owned Business Enterprise (if yes, provide certification No. _____)
- ☐ None of the above

* **“Small Business”** means a business which (a) has a significant business presence in NYS demonstrated through paying taxes in NYS, purchasing NYS products or materials, or having payroll in NYS; (b) is independently owned and operated; (c) is not dominant in its field; and (d) employs fewer than 300.

B. By submitting a bid, the Bidder acknowledges and agrees to all of the following:

Please note: alteration of any language contained in this section may render your proposal non-responsive.

1. Bidder's proposal constitutes a firm and irrevocable offer for a period of 90 days from the date of submission to DOCCS.
2. The Bidder certifies that it can and will provide and make available, at a minimum, all services as described in the **RFP** if selected for award.
3. Bidder accepts, without any added conditions, qualifications, or exceptions, the contract terms and conditions contained in this **RFP** including any addenda, appendices, exhibits, and attachments.
4. Should any alternative proposals or extraneous terms be submitted with the proposal, such alternate proposals or extraneous terms will not be evaluated by DOCCS.
5. The Bidder is either registered to do business in NYS, or if formed or incorporated in another jurisdiction than NYS, can provide a Certificate of Good Standing from the applicable jurisdiction or provide an explanation, subject to the sole satisfaction of the Department, if a Certificate of Good Standing is not available, and if selected, the vendor will register to do business in NYS.
6. Bidder affirms its understanding of and agreement to comply with procedures relating to permissible contacts. (See “Designated Contacts” and “Restrictions on Communication/Restricted Period” in the solicitation document).
7. By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies its own organization, under penalty of perjury, that the bidder has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees. Such policy shall, at a minimum, meet the requirements of section 201-g of the labor law.
8. Bidder will adhere to all State and Federal laws and regulations in connection with the contract.
9. Bidder will notify DOCCS of any changes in the legal status or principal ownership of the firm, no less than 45 days in advance of said change.

RETURN THIS PAGE AS PART OF THE BID

**NYS Department of Corrections and Community Supervision
RFP 2025-49 [Electronic Health Records (EHR)]**

10. In any contract resulting from this RFP, the Contractor shall be completely responsible for its work, including any damages or breakdowns caused by its failure to take appropriate action.
11. Any contract resulting from this RFP may not be assigned, transferred, conveyed, or the work subcontracted, without the prior written consent of the Commissioner of DOCCS or his/her/their designee.
12. For reasons of safety and public policy, in any contract resulting from this RFP, the use of illegal drugs and/or alcoholic beverages by the Contractor or its personnel shall not be permitted while performing any phase of the work herein specified.
13. For purposes of any contract resulting from this RFP, the State will not be liable for any expense incurred by the Contractor for any parking fees or as a consequence of any traffic infraction or parking violations attributable to employees of the Contractor.
14. The Commissioner's interpretation of specifications shall be final and binding upon the Contractor.
15. The Commissioner of DOCCS will make no allowance or concession to the bidder for any alleged misunderstanding because of quantity, quality, character, location, or other conditions.
16. Should it appear there is a real or apparent discrepancy between different Sections of specifications concerning the nature, quality, or extent of work to be furnished, it shall be assumed the Bidder has based its bid on the more expensive option. Final decision will rest with the Commissioner of DOCCS.
17. It is the Contractor's responsibility to maintain the equipment and materials provided for the work consistent with applicable safety, security, and health codes.
18. DOCCS reserves the right to reject and bar from performing the Scope of Work, any employee hired by the Contractor.
19. **Inspection** – For purposes of any contract resulting from this RFP, the quality of service is subject to inspection and may be made at any reasonable time by the State of New York. Should it be found that quality of services being performed is not satisfactory and that the requirements of the specifications are not being met, the Commissioner of DOCCS may terminate the contract and employ another contractor to fulfill the requirements of the contract. The existing Contractor shall be liable to the State of New York for costs incurred on account thereof.
20. **Stop Work Order** - The Commissioner of DOCCS reserves the right to stop the work covered by this RFP and any contract(s) resulting therefrom at any time that it is deemed the successful Bidder is unable or incapable of performing the work to the state's satisfaction. In the event of such stopping, DOCCS shall have the right to arrange for the completion of the work in such manner as it may deem advisable and if the cost thereof exceeds the amount of the bid, the successful Bidder shall be liable to the State of New York for any such costs on account thereof. In the event that DOCCS issues a stop work order for the work as provided herein, the Contractor shall have 10 working days to respond thereto before any such stop work order shall become effective.

**NYS Department of Corrections and Community Supervision
RFP 2025-49 [Electronic Health Records (EHR)]**

By my signature on this Attachment, I attest to the statements made above and that I am authorized to bind the Bidder contractually. Furthermore, I certify that all information provided in connection with its proposal is true and accurate.

(Printed Name)

(Title/Position)

(Signature)

(Date)

Attachment 4

Diversity Practices Questionnaire

Diversity Practices Questionnaire

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

1. Does your company have a Chief Diversity Officer or other individual who is tasked with supplier diversity initiatives? Yes or No

If Yes, provide the name, title, description of duties, and evidence of initiatives performed by this individual or individuals.

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

3. What percentage of your company's overhead (i.e. those expenditures that are not directly related to the provision of goods or services to your company's clients or customers) or non-contract-related expenses (from your prior fiscal year) was paid to New York State certified minority- and women-owned business enterprises as suppliers/contractors?¹

4. Does your company provide technical training² to minority- and women-owned business enterprises? Yes or No

¹ Do not include onsite project overhead.

² Technical training is the process of teaching employees how to more accurately and thoroughly perform the technical components of their jobs. Training can include technology applications, products, sales and service tactics, and more. Technical skills are job-specific as opposed to soft skills, which are transferable.

If Yes, provide a description of such training which should include, but not be limited to, the date the program was initiated, the names and the number of minority- and women-owned business enterprises participating in such training, the number of years such training has been offered and the number of hours per year for which such training occurs.

5. Is your company participating in a government approved minority- and women-owned business enterprise mentor-protégé program? Yes or No

If Yes, identify the governmental mentoring program in which your company participates and provide evidence demonstrating the extent of your company's commitment to the governmental mentoring program.

6. Does your company include specific quantitative goals for the utilization of minority- and women-owned business enterprises in its non-government procurements? Yes or No

If Yes, provide a description of such non-government procurements (including time period, goal, scope and dollar amount) and indicate the percentage of the goals that were attained.

7. Does your company have a formal minority- and women-owned business enterprise supplier diversity program? Yes or No

If Yes, provide documentation of program activities and a copy of policy or program materials.

8. Does your company plan to enter into partnering or subcontracting agreements with New York State certified minority- and women-owned business enterprises if selected as the successful respondent? Yes or No

If Yes, complete the attached Utilization Plan

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

Signature of
Owner/Official _____
Printed Name of
Signatory _____

Title _____

Name of Business _____

Address _____

City, State, Zip _____

STATE OF _____
COUNTY OF _____) ss:

On the _____ day of _____, 20____, before me, the undersigned, a Notary Public in and for the State of _____, personally appeared _____, personally known to me or proved to me on the basis of satisfactory evidence to be the individual whose name is subscribed to this certification and said person executed this instrument.

Notary Public

Attachment 6

Non-Collusive Bidding Certification

NEW YORK STATE
Department of Corrections and Community Supervision
NON-COLLUSIVE BIDDING CERTIFICATION
Required by Section 139-D of the State Finance Law

➤ **SECTION 1 39-D. Statement of Non-Collusion in bids to the State of New York:**

By submission of this bid, bidder and each person signing on behalf of bidder certifies, and in the case of joint bid, each party thereto certifies as to its own organization, under penalty of perjury, that to the best of his/her knowledge and belief:

1. The prices of this bid have been arrived at independently, without collusion, consultation, communication, or agreement, for the purposes of restricting competition, as to any matter relating to such prices with any other bidder or with any competitor;
2. Unless otherwise required by law, the prices which have been quoted in this bid have not been knowingly disclosed by the bidder and will not knowingly be disclosed by the bidder prior to opening, directly or indirectly, to any other bidder or to any competitor; and
3. No attempt has been made or will be made by the bidder to induce any other person, partnership or corporation to submit or not to submit a bid for the purpose of restricting competition.

A bid shall not be considered for award nor shall any award be made where 1, 2, and 3 above have not been complied with; provided however, that if in any case, the bidder(s) cannot make the foregoing certification, the bidder shall so state and shall furnish below a signed statement which sets forth in detail the reasons therefore:

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

Subscribed to under penalty of perjury under the laws of the State of New York, this _____ day of _____, 20____ As the act and deed of said corporation or partnership.

➤ **If bidder(s) (are) a partnership, complete the following:**

Names of Partners or Principals	Legal Residence
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

NON-COLLUSIVE BIDDING CERTIFICATION

Required by Section 139-D of the State Finance Law

➤ If bidder(s) (are) a corporation, complete the following:

Names	Legal Residence
_____ President	_____
_____ Secretary	_____
_____ Treasurer	_____
_____	_____
_____ President	_____
_____ Secretary	_____
_____ Treasurer	_____
_____	_____

Identifying Data

Potential Contractor: _____

Street Address: _____

City, State, Zip Code _____

Title/Telephone #: _____ () _____

Signature _____ / / _____
Date

Typed/Printed name and title

NON-COLLUSIVE BIDDING CERTIFICATION

Required by Section 139-D of the State Finance Law

_____ Legal name of person, firm or corporation	_____ Legal name of person, firm or corporation
By: _____ Name	_____ Name
_____	_____
Address: _____ Street	_____ Street
_____	_____
City, State, Zip Code	City, State, Zip Code

Attachment 7

Vendor Assurance of No Conflict of Interest or Detrimental Effect



Corrections and Community Supervision

Vendor Assurance of No Conflict of Interest or Detrimental Effect

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

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

1. The fulfillment of obligations by the Firm, as proposed in the response, does not violate any existing contracts or agreements between the Firm and the State;
2. The fulfillment of obligations by the Firm, as proposed in the response, does not and will not create any conflict of interest, or perception thereof, with any current role or responsibility that the Firm has with regard to any existing contracts or agreements between the Firm and the State;
3. The fulfillment of the obligations by the Firm, as proposed in the response, does not and will not compromise the Firm's ability to carry out its obligations under any existing contracts between the Firm and the State;
4. The fulfillment of any other contractual obligations that the Firm has with the State will not affect or influence its ability to perform under this contract;
5. During the negotiation and execution of this contract, the Firm will not knowingly take any action or make any decision which creates a potential for conflict of interest or might cause a detrimental impact to the State as a whole including, but not limited to, any action or decision to divert resources from one State project to another;
6. In fulfilling obligations under each of its State contracts, the Firm will act in accordance with the terms of each of its State contracts and will not knowingly take any action or make any decision which might cause a detrimental impact to the State as a whole including, but not limited to, any action or decision to divert resources from one State project to another;
7. No former officer or employee of the State who is now employed by the Firm, nor any former officer or employee of the Firm who is now employed by the State, has played a role with regard to the administration of this contract procurement in a manner that may violate section 73(8)(a) of the State Ethics Law; and
8. The Firm has not and shall not offer to any employee, member or director of the State any gift, whether in the form of money, service, loan, travel, entertainment, hospitality, thing or promise, or in any other form, under circumstances in which it could reasonably be inferred that the gift was intended to influence said employee, member or director, or could reasonably be expected to influence said employee, member or director, in the performance of the official duty of said employee, member or director or was intended as a reward for any official action on the part of said employee, member or director.

Firms should note that the State recognizes that conflicts may occur in the future because a Firm may have existing or new relationships. The State will review the nature of any such new relationships and reserves the right to terminate the contract for cause if, in its judgment, a real or potential conflict of interest cannot be cured.

Name, Title: _____

Signature: _____ Date: _____

This form must be signed by an authorized executive or legal representative.

Attachment 8

Procurement Lobbying Certification and Disclosure of Prior Non-Responsibility Determination

PROCUREMENT LOBBYING CERTIFICATION

By signing, the offerer/bidder affirms that it understands and agrees to comply with the NYS Office of General Services (OGS) procedures relative to permissible contacts, as required by State Finance Law §139-j and §139-k.

Procurement Lobbying information can be accessed at: <https://ogs.ny.gov/acpl>

Offerer affirms that it understands and agrees to comply with the procedures of the Government Entity relative to permissible Contacts as required by State Finance Law §139-j (3) and §139-j (6) (b).

By: _____ Date: _____

Name: _____ Title: _____

Contractor Name: _____

Contractor Address: _____

Prior Non-Responsibility Determinations – State Finance Law §139-k

1. Has any Government Entity made a finding of non-responsibility against this organization/company? **No** **Yes**
2. If yes, was the basis for the finding of non-responsibility due to a violation of SFL§139-j or due to the intentional provision of false or incomplete information to a Government Entity? **No** **Yes**
3. Has any Government Entity terminated or withheld a procurement contract with this organization/company due to the intentional provision of false or incomplete information? **No** **Yes**

If yes to any of the above questions, provide complete details on a separate page and attach.

Offerer Certification:

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

By: _____ Date: _____

Name: _____ Title: _____

Procurement Lobbying Termination

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

Attachment 9

Sexual Harassment Prevention Policy Certification (State Finance Law §139-1 Certification)

State Finance Law § 139-l Certification

By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that the bidder has and has implemented a written policy addressing sexual harassment prevention in the workplace and provides annual sexual harassment prevention training to all of its employees. Such policy shall, at a minimum, meet the requirements of section two hundred one-g of the labor law.

If the bidder cannot make the foregoing certification, such bidder shall so state and shall furnish with the bid a signed statement that sets forth in detail the reasons that the bidder cannot make the certification.

By signing you certify your express authority to sign on behalf of yourself, your company, or other entity and full knowledge and acceptance of this Certification document and that all information provided is complete, true and accurate.

Authorized Signature		Date	
Print Name		Title	
Company Name			
D/B/A – Doing Business As (if applicable)			
Address			
City	State	Zip	

RETURN THIS PAGE AS PART OF THE BID

Attachment 10

Gender-Based Violence Prevention Policy Certification (State Finance Law §139-m Certification)

NYS Department of Corrections and Community Supervision
RFP 2025-49
[Electronic Health Records (EHR)]

Gender-Based Violence and the Workplace Certification

New York State Finance Law §139-M requires bidders on competitive state procurements to certify that they have a written policy addressing gender-based violence and the workplace and that such policy meets the following minimum requirements:

- **Share Information:** Employers must provide information regarding gender-based violence where employees can see and access it, including displaying the NYS Domestic and Sexual Violence Hotline information and a gender-based violence and the workplace poster.
- **Refer Employee-Survivors to Services:** The policy must require that the employer refer employees who disclose current or past victim status to the NYS Domestic and Sexual Violence Hotline and/or a local service provider. For bidders outside of New York State, referrals should be made to a local provider or statewide hotline. While referrals are required to be provided by the employer, it is not required for the employee to access services.
- **Prohibit Retaliation:** The policy must clearly state that discrimination or retaliation against employees who identify as victims or survivors of gender-based violence is prohibited.
- **Comply with Laws:** Ensure your policy follows State law. For employers based in New York State, this means that the policy must follow the SAFE Leave Act, New York State Human Rights Law, and any other relevant laws and regulations.
- **Offer Implementation Support:** OPDV is able to assist employers in developing and implementing this policy. Employers must provide information to supervisors and human resources, where available, about this technical assistance from OPDV. OPDV can be contacted at workplace@opdv.ny.gov.

By submission of this bid, each bidder and each person signing on behalf of any bidder certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that the bidder has and has implemented a written policy addressing gender-based violence and the workplace and has provided such policy to all of its employees, directors, and board members. Such policy shall, at a minimum, meet the requirements of subdivision 11 of section five hundred seventy-five of the executive law.

Organization's signature below certifies its compliance with State Finance Law §139-M.

Organization: _____

By (signature): _____

Name (Please Print): _____

Title: _____

Date: _____

This form must be signed by an authorized executive or legal representative.

If the organization cannot make the above certification, they must provide an attached statement with their bid detailing the reasons therefor.

RETURN THIS PAGE AS PART OF THE BID

Attachment 11

**Executive Order 16 Prohibiting
State Agencies and Authorities
from Contracting with Businesses
Conducting Business in Russia**

**Certification Under Executive Order No. 16
Prohibiting State Agencies and Authorities from Contracting with
Businesses Conducting Business in Russia**

Executive Order No. 16 provides that “all Affected State Entities are directed to refrain from entering into any new contract or renewing any existing contract with an entity conducting business operations in Russia.” The complete text of Executive Order No. 16 can be found [here](#).

The Executive Order remains in effect while sanctions imposed by the federal government are in effect. Accordingly, vendors who may be excluded from award because of current business operations in Russia are nevertheless encouraged to respond to solicitations to preserve their contracting opportunities in case the sanctions are lifted during a solicitation or even after award in the case of some solicitations.

As defined in Executive Order No. 16, an “entity conducting business operations in Russia” means an institution or company, wherever located, conducting any commercial activity in Russia or transacting business with the Russian Government or with commercial entities headquartered in Russia or with their principal place of business in Russia in the form of contracting, sales, purchasing, investment, or any business partnership.

Is Vendor an entity conducting business operations in Russia, as defined above? Please answer by checking one of the following boxes:

- ☐ 1. No, Vendor does not conduct business operations in Russia within the meaning of Executive Order No. 16.
- ☐ 2. a. Yes, Vendor conducts business operations in Russia within the meaning of Executive Order No. 16 but has taken steps to wind down business operations in Russia or is in the process of winding down business operations in Russia. (Please provide a detailed description of the wind down process and a schedule for completion.)
- ☐ 2.b. Yes, Vendor conducts business operations in Russia within the meaning of Executive Order No. 16 but only to the extent necessary to provide vital health and safety services within Russia or to comply with federal law, regulations, executive orders, or directives. (Please provide a detailed description of the services being provided or the relevant laws, regulations, etc.)
- ☐ 3. Yes, Vendor conducts business operations in Russia within the meaning of Executive Order No. 16.

The undersigned certifies under penalties of perjury that they are knowledgeable about the Vendor’s business and operations and that the answer provided herein is true to the best of their knowledge and belief.

Vendor Name: _____
(legal entity)

By: _____
(signature)

Name: _____

Title: _____

Date: _____

RETURN THIS PAGE AS PART OF THE BID

Attachment 12

Executive Order 177 Prohibiting Contracts with Entities that Support Discrimination

Executive Order 177 Certification

The New York State Human Rights Law, Article 15 of the Executive Law, prohibits discrimination and harassment based on age, race, creed, color, national origin, sex, pregnancy or pregnancy-related conditions, sexual orientation, gender identity, disability, marital status, familial status, domestic violence victim status, prior arrest or conviction record, military status or predisposing genetic characteristics.

Human Rights Law may also require reasonable accommodation for persons with disabilities and pregnancy-related conditions. A reasonable accommodation is an adjustment to a job or work environment that enables a person with a disability to perform the essential functions of a job in a reasonable manner. The Human Rights Law may also require reasonable accommodation in employment on the basis of Sabbath observance or religious practices.

Generally, Human Rights Law applies to:

- all employers of four or more people, employment agencies, labor organizations and apprenticeship training programs in all instances of discrimination or harassment.
- employers with fewer than four employees in all cases involving sexual harassment; and,
- any employer of domestic workers in cases involving sexual harassment or harassment based on gender, race, religion or national origin.

In accordance with Executive Order No. 177, the Bidder hereby certifies that it does not have institutional policies or practices that fail to address the harassment and discrimination of individuals on the basis of their age, race, creed, color, national origin, sex, sexual orientation, gender identity, disability, marital status, military status, or other protected status under the Human Rights Law.

Executive Order No. 177 and this certification do not affect institutional policies or practices that are protected by existing law, including but not limited to the First Amendment of the United States Constitution, Article 1, Section 3 of the New York State Constitution, and Section 296(11) of the New York State Human Rights Law.

Contractor:

By: _____

Name: _____

Title: _____

Date: _____, 20__

- The Certification is to be submitted prior to contract award by all successful bidders on all Covered contracts and contract renewals.

Attachment 13

Vendor Responsibility Attestation

NYS Department of Corrections and Community Supervision

Vendor Responsibility Attestation

To comply with the Vendor Responsibility Requirements outlined in the Solicitation, I hereby certify:

Choose one:

- ☐ An on-line Vendor Responsibility Questionnaire has been updated or created at OSC's website: <https://portal.osc.state.ny.us> within the last six months.
- ☐ A hard copy Vendor Responsibility Questionnaire is included with this proposal/bid and is dated within the last six months.
- ☐ A Vendor Responsibility Questionnaire is not required due to an exempt status. Exemptions include governmental entities, public authorities, public colleges and universities, public benefit corporations, and Indian Nations.

Signature of Organization Official:

Print/type Name:

Title:

Organization:

Date Signed:

RETURN THIS PAGE AS PART OF THE BID

Attachment 14

Encouraging Use of New York Businesses in Contract Performance

NYS Department of Corrections and Community Supervision

Encouraging Use of NYS Business in Contract Performance

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

⇒ ⇒ ⇒ ⇒ ⇒ ⇒

Bidder

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

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

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

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

Bidders/Proposers can demonstrate their commitment to the use of New York State businesses by responding to the question below:

Will New York State Businesses be used in the performance of this Contract?

_____ YES _____ NO

If yes, identify New York State Business(es) that will be used:
(Attach identifying information)

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Attachment 15

MWBE and EEO Policy Statement

**NYS Department of Corrections and Community Supervision
RFP 2025-45**

**Attachment 15
MINORITY- AND WOMEN-OWNED BUSINESS ENTERPRISES – EQUAL
EMPLOYMENT OPPORTUNITY POLICY STATEMENT**

MWBE AND EEO POLICY STATEMENT

I, _____, the (awardee/contractor)_____ agree to adopt the following policies with respect to the project being developed or services rendered at _____

MWBE

This organization will and will cause its contractors and subcontractors to take good faith actions to achieve the MWBE contract participations goals set by the State for that area in which the State-funded project is located, by taking the following steps:

- (1) Actively and affirmatively solicit bids for contracts and subcontracts from qualified State certified MBEs or WBEs, including solicitations to MWBE contractor associations.
- (2) Request a list of State-certified MWBEs from AGENCY and solicit bids from them directly.
- (3) Ensure that plans, specifications, request for proposals and other documents used to secure bids will be made available in sufficient time for review by prospective MWBEs.
- (4) Where feasible, divide the work into smaller portions to enhanced participations by MWBEs and encourage the formation of joint venture and other partnerships among MWBE contractors to enhance their participation.
- (5) Document and maintain records of bid solicitation, including those to MWBEs and the results thereof. The Contractor will also maintain records of actions that its subcontractors have taken toward meeting MWBE contract participation goals.
- (6) Ensure that progress payments to MWBEs are made on a timely basis so that undue financial hardship is avoided, and that, if legally permissible, bonding and other credit requirements are waived or appropriate alternatives developed to encourage MWBE participation.

EEO

(a) This organization will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, sexual orientation, gender identity or expression, military status, age, disability, predisposing genetic characteristics, familial status, marital status, or as a victim of domestic violence, will undertake or continue existing programs of affirmative action to ensure that minority group members are afforded equal employment opportunities without discrimination, and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force on state contracts.

(b) This organization shall state in all solicitation 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 disability or marital status.

(c) At the request of the contracting agency, this organization shall request each employment agency, labor union, or authorized 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 this organization's obligations herein.

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

(e) This organization will include the provisions of sections (a) through (d) of this agreement in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each subcontractor as to work in connection with the State contract.

Agreed to this _____ day of _____, 2025

By (signature) _____

Print: _____ Title: _____

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NYS Department of Corrections and Community Supervision

_____ is designated as the Minority Business Enterprise Liaison
(Name of Designated Liaison)

responsible for administering the Minority- and Women-owned Business Enterprises - Equal Employment Opportunity (MWBE-EEO) program.

MWBE Contract Goals

30% % Minority and Women's Business Enterprise Participation

15% % Minority Business Enterprise Participation

15% % Women's Business Enterprise Participation

Authorized Representative Signature: _____

Printed Name: _____

Title/Position: _____

Date: _____

RETURN THIS PAGE AS PART OF THE BID

Attachment 16

Equal Employment Opportunity Staffing Plan (EEO100)

EQUAL EMPLOYMENT OPPORTUNITY STAFFING PLAN**SUBMIT WITH BID OR PROPOSAL or within a reasonable time thereafter as requested by DOCCS, but prior to Contract Award.**

Solicitation No.:	Reporting Entity: ☐ Contractor ☐ Subcontractor	Report includes Contractor's ☐ Contractor's work force to be utilized on this contract ☐ Contractor's total work force ☐ Subcontractor's work force to be utilized on this contract ☐ Subcontractor's total work force
Contractor/Subcontractor's Name:		
Contractor/Subcontractor's Address:		
FEIN:		

Enter the total number of employees for each classification.

EdkfdkEO Job Category	Total Work Force	Work force by Gender		Work force by Race/Ethnic Identification													
		Total Male (M)	Total Female (F)	White (M) (F)		Black (M) (F)		Hispanic (M) (F)		Asian (M) (F)		American Indian or Alaskan Native (M) (F)				Veteran (M) (F)	
Executive/Senior level Officials & Managers																	
First/Mid level officials & Managers																	
Professionals																	
Technicians																	
Sales Workers																	
Administrative Support Workers																	
Craft Workers																	
Operatives																	
Laborers and Helpers																	
Service Workers																	
Totals																	
PREPARED BY (Signature):								TELEPHONE NO.:						DATE:			
								EMAIL ADDRESS:									
NAME AND TITLE OF PREPARER (Print or Type):																	

EEO 100 (5/12)General instructions: Contact the Designated Contact(s) for the solicitation if you have any questions. **All Offerors** must complete an EEO Staffing Plan (EEO 100) and submit it as part of the bid or proposal package. Where the work force to be utilized in the performance of the State contract can be separated out from the contractor's total work force, the Offeror shall complete this form only for the anticipated work force to be utilized on the State contract. Where the work force to be utilized in the performance of the State contract cannot be separated out from the contractor's total work force, the Offeror shall complete this form for the contractor's total work force. Subcontractors awarded a subcontract over \$25,000 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work") except where the Work is for the beneficial use of the Contractor must complete this form upon request of OGS.

Instructions for completing:

1. Enter the Solicitation Number that this report applies to along with the name and address of the Offeror.
2. Check off the appropriate box to indicate if the Offeror completing the report is the contractor or a subcontractor.
3. Check off the appropriate box to indicate if the work force being reported is just for the contract or the Offerors' total work force.
4. Enter the total work force by EEO job category.
5. Break down the total work force by gender and enter under the heading "Work force by Gender."
6. Break down the total work force by race/ethnic background and enter under the heading "Work force by Race/Ethnic Identification." Enter the name, title, phone number and email address for the person completing the form. Sign and date the form in the designated boxes.

RACE/ETHNIC IDENTIFICATION

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

WHITE - (Not of Hispanic origin) All persons having origins in any of the original peoples of Europe, North Africa, or the Middle East.

BLACK - A person, not of Hispanic origin, who has origins in any of the black racial groups of the original peoples of Africa.

HISPANIC - A person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.

ASIAN & PACIFIC ISLANDER - A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent or the Pacific Islands.

AMERICAN INDIAN OR ALASKAN NATIVE (Not of Hispanic Origin) - A person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.