



New York State Insurance Fund
Procurement Unit

7/26/2018

TO WHOM IT MAY CONCERN:

Attached is the Request for Proposals (RFP) for Claims Investigative Services for the New York State Insurance Fund (NYSIF).

The due date for submission of proposals is 9/20/2018 by 2:00 PM (Eastern).

The attached *No Bid* form should be completed and returned by those Bidders who choose not to bid on this RFP. Please email questions to contracts@nysif.com.

Sincerely,

A handwritten signature in black ink, appearing to read "Megan McClune".

Megan McClune
Contract Management Specialist

Attachments:

No Bid form
RFP



New York State Insurance Fund
Procurement Unit

NO BID FORM

RFP # 2017-135-CL

DESCRIPTION: Claims Investigative Services

CONTRACT PERIOD: Five (5) year contract

PROPOSALS DUE:		SUBMIT BIDS TO:
DATE:	9/20/2018	NYSIF - Procurement Unit Bid # 2017-135-CL 15 Computer Drive West Albany, NY 12205-1690
TIME:	2:00 p.m.	

Bidders choosing not to bid are requested to complete and return only this page.

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

FAILURE TO RESPOND TO THIS BID SOLICITATION MAY RESULT IN YOUR FIRM BEING REMOVED FROM OUR MAILING LIST. A "NO BID" IS CONSIDERED A RESPONSE.

Name of Firm: _____ FEIN: _____

Address: _____

Web Page: _____ Telephone: _____

Email Address: _____ Fax: _____

Signature: _____ Date: _____

Typed Name & Title: _____



NEW YORK
STATE INSURANCE FUND

REQUEST FOR PROPOSALS

for

CLAIMS INVESTIGATIVE SERVICES

2017-135-CL

July 26, 2018

NYSIF encourages the participation of Minority and Women-Owned Business Enterprises (M/WBE) in its procurement projects. NYSIF is committed to achieving the statewide goal of increasing opportunities for New York State Minority and Women-owned Business Enterprises. Any firm that feels it may meet the state requirements for certification is encouraged to visit the [NYS Empire State Development](#) for more information about the program and how to apply for certification.

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Please Note: The following forms can be found on the NYS Department of State website. These forms are subject to change.

- DOS-0613-f

RFP CALENDAR

DATE	EVENT	COMMENTS
7/26/2018	RFP Issued	
8/16/2018 12:00 PM	Final date for Bidder inquiries	<u>Written inquiries only</u> by 12:00 p.m. to: Email: contracts@nysif.com Fax: 518-437-4209
9/6/2018	Responses to Inquiries	Written responses will be posted on NYSIF's website at: www.nysif.com/procurement
9/20/2018 2:00 PM	Final date for submission of bids	Deadline for response to this RFP. All sealed bids MUST be addressed to: Mail: NYSIF – Procurement Unit Bid # 2017-135-CL 15 Computer Drive West Albany, NY 12205-1690 and received by 2:00 p.m.
TBD	Bidder Presentations/Interviews	If requested, Bidder presentations expected to begin
2/1/2019	Anticipated Start Date	Subject to the required approvals.

SECTION 1 – GENERAL INFORMATION

1.1 OVERVIEW OF THE NEW YORK STATE INSURANCE FUND

The New York State Insurance Fund (NYSIF) was established in 1914 as part of the original enactment of the New York Workers' Compensation Law. The Fund's mission is to guarantee the availability of workers' compensation insurance at the lowest possible cost to employers, while maintaining a solvent fund, as well as to provide timely and appropriate indemnity and medical payments to injured workers. NYSIF is a self-supporting insurance carrier that competes with private insurers in both the workers' compensation and disability benefits markets in New York State. With 155,000 policyholders, over \$2 billion in annual premium and \$17 billion of assets, NYSIF is the largest workers' compensation carrier in the state and among the top five largest workers' compensation carriers in the nation. NYSIF provides disability benefits coverage for off-the-job injuries to more than 61,000 New York employers.

1.2 INQUIRIES/ISSUING OFFICE/DESIGNATED CONTACT

All inquiries concerning this solicitation will be addressed to the following Designated Contacts:

Megan McClune
Contract Management Specialist
E-Mail: contracts@nysif.com

Vincent Ginardi
Contract Management Specialist
E-Mail: contracts@nysif.com

For inquiries related specifically to Minority and Woman Owned Business Enterprises (MWBE) and/or Service Disabled Veteran Owned Business (SDVOB) provisions of this procurement solicitation, the designated contact is:

Heather Woolfolk
MWBE/SDVOB Oversight Officer
E-Mail: contracts@nysif.com

All questions related to this RFP or the contract process must be submitted in writing to contracts@nysif.com by the date and time indicated in the RFP Calendar, citing the particular bid section and paragraph number. No telephone questions will be answered.

Only questions received during the Question and Answer period (as outlined in the RFP Calendar) will be addressed. **Official answers to the questions will be posted on NYSIF's website at www.nysif.com/procurement, on the date indicated in the RFP Calendar.**

Prospective Bidders should note that all clarifications and exceptions are to be resolved prior to the submission of a bid. Answers may be included in a bid addendum.

All amendments, clarifications and any announcements related to this procurement will be posted on NYSIF's website at: www.nysif.com/procurement. It is the sole responsibility of the bidders to check the website for any amendments, clarifications or updates. All applicable amendment information must be incorporated into the firm's proposal. Failure to include this information in your proposal may result in the proposal being deemed non-responsive.

1.3 PURPOSE OF THIS RFP

NYSIF is seeking proposals from qualified Bidders for Claims Investigative Services as further described in this Request for Proposals (RFP). The firms selected for this work will be expected to provide private investigation services, which involve NYSIF functions.

Proposals submitted in response to this solicitation must comply with the instructions and procedures contained herein. Bidders are responsible for checking NYSIF's website at www.nysif.com/procurement for any RFP amendments, addenda, and/or updates.

1.4 SUMMARY OF NYSIF'S POLICY AND PROHIBITIONS REGARDING PERMISSIBLE CONTACTS DURING A COVERED PROCUREMENT

Pursuant to State Finance Law §§139-j and 139-k, this RFP includes and imposes certain restrictions on communications between a Governmental Entity and a Bidder during the procurement process. A Bidder is restricted from making contacts from the earliest notice of intent to solicit bids through final award and approval of the Procurement Contract by the Governmental Entity and, if applicable, Office of the State Comptroller ("restricted period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law §139-j (3)(a). Designated staff, as of the date hereof, is identified in section 1.2 of this RFP. NYSIF employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the Bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award and in the event of two findings within a 4-year period, the Bidder is debarred from obtaining governmental Procurement Contracts. Further information about these requirements is available from the designated contact(s).

1.5 BIDDERS' CONFERENCE

No Bidder's Conference will be held regarding this RFP. Prospective Bidders may submit questions in an acceptable format (section 1.2 above) by the date listed in the RFP Calendar.

1.6 DUE DATE

The due date for submission of proposals is 9/20/2018, 2:00 p.m. (Eastern).

1.7 METHOD OF AWARD / DISTRIBUTION OF WORK

Award will be made on the basis of "best value", as determined by the evaluation process. The ability to perform the services will be deemed most important when evaluating bids.

NYSIF will award contracts based on Region; NYSIF anticipates multiple awards for each Region. A region is defined as the geographic area of responsibility comprised of a grouping of counties as defined in Section 1.7.1 (see also Exhibit 1 "Map of Regions"). Bidders must specify which region(s) they are seeking a contract for work, and Bidders may contract in more than one region. Contractors will be placed on a panel for each Region awarded.

Work will be distributed to contracted firms in a straight rotation for the initial 90 days of the contract. Performance will be evaluated every 90 days (see Exhibit 4 & 5). After the initial 90 days of the contract, the work rotation will be based upon performance.

All contracted firms must maintain a good performance rating for each region awarded. If the Contractors' performance falls below established standards, the Contractor will be so advised and be provided the opportunity to improve their performance to an acceptable level. If there is no improvement by the following evaluation period, NYSIF reserves the right to suspend or terminate the contract. Additionally, if a contractor is unable to complete an assignment for any reason, NYSIF reserves the right to assign the case to the next contractor in the rotation for that Region.

The number of contracts per Region will be influenced by the volume of investigations in each Region and the ability of the bidders to provide investigators. NYSIF reserves the right to increase or decrease the number of contractors in a Region, based on NYSIF's needs. No minimum amount of work is guaranteed.

1.7.1 ENGAGEMENT BY REGION

The NYSIF Investigation point person in each District Office will determine the appropriate Region in which services are to be provided and assign the case accordingly. The Regions are as follows (see also Exhibit 1):

Region	Counties	Max # of Awards
Region 1 Albany	Albany, Clinton, Columbia, Dutchess, Essex, Franklin, Fulton, Greene, Hamilton, Montgomery, Rensselaer, Saratoga, Schenectady, Schoharie, Ulster, Warren, Washington	20
Region 2 Syracuse	Cayuga, Herkimer, Jefferson, Lewis, Madison, Oneida, Onondaga, Oswego, St. Lawrence	10
Region 3 Rochester	Allegany, Genesee, Livingston, Monroe, Ontario, Orleans, Seneca, Steuben, Wayne, Wyoming, Yates	10
Region 4 White Plains	Orange, Putnam, Rockland, Westchester	18
Region 5 Nassau/Suffolk	Nassau, Suffolk	12
Region 6 New York City	Bronx, Kings, New York, Queens, Richmond	14
Region 7 Binghamton	Broome, Chemung, Chenango, Cortland, Delaware, Otsego, Schuyler, Sullivan, Tioga, Tompkins	10
Region 8 Buffalo	Cattaraugus, Chautauqua, Erie, Niagara	10

The number of contracts per Region will be influenced by the volume of investigations in each Region and the ability of the Bidders to provide investigators. NYSIF reserves the right to increase or decrease the number of contractors in a Region, based on NYSIF's needs. No minimum amount of work is guaranteed.

1.8 INSURANCE REQUIREMENTS

Prior to the commencement of the work to be performed by the successful Bidder, the Bidder shall file with NYSIF Certificates of Insurance evidencing compliance with all requirements contained in this RFP. Acceptance and/or approval by NYSIF does not and shall not be construed to relieve Bidder of any obligations, responsibilities or liabilities under the contract awarded by this RFP.

All insurance required by the RFP shall be obtained at the sole cost and expense of the Bidder, shall be maintained with insurance carriers licensed to do business in New York State and acceptable to NYSIF, shall be primary and non-contributing to any insurance or self insurance maintained by NYSIF, shall be endorsed to provide written notice be given to NYSIF at least thirty (30) days prior to the cancellation, non-renewal, or material alteration of such policies, which notice, evidenced by return receipt of United States Certified Mail, and shall be sent in accordance to the 'Notice' provision of the Agreement and shall name NYSIF, its officers, agents, and employees as additional insureds hereunder (General Liability Additional Insured Endorsement shall be on Insurance Service Office's (ISO) form number CG 20 26 11 85).

The Bidder shall be solely responsible for the payment of all deductibles and self-insured retentions to which such policies are subject. Deductibles and self-insured retentions must be approved by NYSIF. Such approval shall not be unreasonably withheld.

If NYSIF allows subcontracting, the Bidder shall require that any subcontractors hired carry insurance with the same limits and provisions provided herein.

Each insurance carrier must be rated at least "A-" Class "VII" in the most recently published Best's Insurance Report. If, during the term of the policy, a carrier's rating falls below "A-" Class "VII", the insurance must be replaced no later than the renewal date of the policy with an insurer acceptable to NYSIF and rated at least "A-" Class "VII" in the most recently published Best's Insurance Report.

The Bidder shall cause all insurance to be in full force and effect as of the commencement date of the contract awarded as a result of this RFP, and to remain in full force and effect throughout the term of the contract and as further required by this RFP. The Bidder shall not take any action, or omit to take any action that would suspend or invalidate any of the required coverages during the period of time such coverages are required to be in effect.

Not less than thirty (30) days prior to the expiration date or renewal date, the Bidder shall supply NYSIF with updated replacement Certificates of Insurance, and amendatory endorsements.

The Bidder, throughout the term of the contract, or as otherwise required by this RFP, shall obtain and maintain in full force and effect, the following insurance with limits not less than those described below and as required by the terms of this RFP, or as required by law, whichever is greater (limits may be provided through a combination of primary and umbrella/excess policies):

1. Commercial General Liability Insurance with a limit of not less than \$2,000,000 each occurrence, with a limit of not less than \$2,000,000 aggregate. Such liability shall be written on the ISO occurrence form CG 00 01, or a substitute form providing equivalent coverages 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.
2. Workers Compensation and NYS Disability Benefits, as required by New York State. Visit <http://www.wcb.ny.gov/content/main/Employers/busPermits.jsp> for further information.
3. Comprehensive Business Automobile Liability Insurance with a limit of not less than \$1,000,000 each accident. Such insurance shall cover liability arising out of any automobile including owned (if any), leased, hired and non-owned automobiles.
4. Professional Liability Insurance, covering actual or alleged negligent acts, errors or omissions committed by the Contractor, its agents or employees, arising out of the work performed under this Agreement. The policy coverage shall extend to include bodily injury and property damage from negligent performance of professional services and personal injury liability coverage for claims arising out of performance of services. The policy shall have limits of liability of not less than \$2,000,000 each occurrence, with a limit not less than \$5,000,000 aggregate. The Contractor shall be responsible for payment of all claim expenses and loss payments with the deductible.

Waiver of Subrogation. Bidder shall cause to be included in each of its policies insuring against loss, damage or destruction by fire or other insured casualty a waiver of the insurer's right of subrogation against NYSIF, or, if such waiver is unobtainable (i) an express agreement that such policy shall not be invalidated if Bidder waives or has waived before the casualty, the right of recovery against NYSIF or (ii) any other form of permission for the release of NYSIF.

Awarded Bidder shall furnish evidence of all policies to NYSIF, before any work is started. Certificates of Insurance may be supplied as evidence of such aforementioned policies; however, if requested by the Agency, the Bidder shall deliver to NYSIF within forty-five (45) days of the request a copy of such policies, certified by the insurance carrier as being true and complete. If a Certificate of Insurance is submitted it must: (1) be signed by an authorized representative of the insurance carrier or producer and notarized; (2) disclose any deductible, self-insured retention, aggregate limit or any exclusions to the policy that materially change the coverage; (3) indicate the Additional Insureds and Named Insureds as required herein; (4) reference the Agreement by number on the face of the certificate; and (5) expressly reference the inclusion of all required endorsements.

If, at any time during the term of the resulting contract, insurance as required is not in effect, or proof thereof is not provided to NYSIF, NYSIF shall have the option to: (i) direct the Contractor to suspend work with no additional cost or extension of time due on account thereof, or (ii) treat such failure as a breach in contract.

1.9 PARTICIPATION OF NYS BUSINESS ENTERPRISES (MWBE)

It is the policy of NYSIF to encourage the greatest possible participation by Minority and Women-Owned Business Enterprises (MWBE) as Bidders, subcontractors and suppliers on its procurement contracts, consistent with New York State laws.

For purposes of this procurement, NYSIF conducted a comprehensive review of the services required under this procurement and determined that the Contract does not offer sufficient opportunities to set specific goals for participation by MWBEs as subcontractors, service providers, and suppliers to Contractor. Nevertheless, Bidder/Contractor is encouraged to make good faith efforts to promote and assist in the participation of MWBEs on the Contract for the provision of services and materials. The directory of New York State Certified MWBEs can be viewed at: <https://ny.newnycontracts.com/>.

Please see Appendix M for further information.

1.10 PARTICIPATION OF SERVICE DISABLED VETERAN OWNED BUSINESSES (SDVOB)

Article 17-B of the New York State Executive Law 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. NYSIF 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 NYSIF 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.

For purposes of this procurement, NYSIF conducted a comprehensive search and determined that the Contract does not offer sufficient opportunities to set specific goals for participation by SDVOBs as subcontractors, service providers, and suppliers to Contractor. Nevertheless, Bidder/Contractor is encouraged to make good faith efforts to promote and assist in the participation of SDVOBs on the Contract for the provision of services and materials. The directory of New York State Certified SDVOBs can be viewed at: <https://ogs.ny.gov/veterans/>.

Bidder/Contractor is encouraged to contact the Office of General Services’ Division of Service-Disabled Veteran’s Business Development at 518-474-2015 or VeteransDevelopment@ogs.ny.gov to discuss methods of maximizing participation by SDVOBs on the Contract.

SECTION 2 – BID/PROPOSAL FORMAT

IMPORTANT NOTICE TO POTENTIAL BIDDERS: Receipt of these bid documents does not indicate that NYSIF has pre-determined your company's qualifications to receive a contract award. Such determination will be made after the bid opening and will be based on our evaluation of your bid submission compared to the specific requirements and qualifications contained in these bid documents.

NOTICE TO BIDDERS: NYSIF will receive bids pursuant to the provisions of Article XI of the State Finance Law or the provisions of the State Printing and Public Documents Law. The following procedures shall be used for bid submissions:

2.1 BID PREPARATION

- Prepare your proposal on the forms provided.
- Proposals and other forms must be signed by an official of your firm authorized to sign contracts and bind the firm.
- The Fee Schedule Proposal must be bound and placed in a sealed envelope separately and enclosed with the Bid. **No references to costs are to be included in the detailed proposal.**
- Bidders must respond to each and every specification stated in this RFP. Moreover, Bidders must list and clearly explain any and all exceptions and/or alternatives and/or caveats to any item contained in this RFP in the *Comments and Limitations* section of their Proposal.

A proposal that does not comply with the requirements and that does not include all the information requested – in the format required – may be negatively affected in the overall evaluation and could be subject to rejection.

2.2 BID FORMAT

- Submission must include **one (1) hard copy** of the proposal, organized as outlined below. Submission must also include **one (1) exact electronic copy** (CD/DVD-rom or USB flash drive) of the proposal.
- Bids/Proposals are to be submitted with each numbered item listed below as a separate section. Each proposal must follow the provided format, or the bid may be deemed non-responsive.
- Appendix T, the *Vendor Security Survey*, and any substantiating documents, even if included or referenced elsewhere in a bidder's response, should be submitted as one file and labeled separately in the electronic copy.

- Appendix Z, the *Fee Schedule Proposal*, must be bound and placed in a sealed envelope separately and enclosed with the Bid. **No references to costs are to be included in the detailed proposal.**
- Use the following format as your Table of Contents.

PLEASE PROVIDE THE INFORMATION IN THE SAME ORDER IN WHICH IT IS REQUESTED.

2.2.1 TITLE PAGE AND TABLE OF CONTENTS

The *Title Page* should identify the **RFP and Region(s)** for which the proposal is being submitted; the Bidder's name, as well as the name, title, address, telephone number, and e-mail address of the bidder's contact person(s).

Please also include the name, title, address, telephone number, and e-mail address of the person(s) authorized to make representations for the bidder and bind the firm, if other than the contact person identified above.

The *Table of Contents* should identify each major (numbered) section of the proposal, according to this proposal format.

2.2.2 BIDDER CERTIFICATIONS

Each Bidder is required to submit the Bidder Certifications form, found after Section 4 of the RFP.

2.2.3 COMPANY BACKGROUND

Provide a background description of the bidder's firm, including, but not limited to, the date the company was organized, and, if a corporation, when and where incorporated.

Include the size and number of staff in the company. Briefly describe any prior experience in performing similar assignments and bidder's staffing capability and competency to complete the work within established deadlines. Include the following information for the Bidder:

- a. Name and address of Bidder's firm, other affiliates, and other locations.
- b. Length of time providing services for workers' compensation insurance companies or funds, or in meeting the additional requirements of this RFP.
- c. Other city, state or federal government agencies *previously* under contract with the Bidder's firm within the last five (5) years.
- d. Other city, state or federal government agencies *currently* under contract with the Bidder's firm.
- e. A list of all employees being proposed by Bidder. **If bidding on more than one region, please provide a separate listing of investigators for each Region the Bidder firm is bidding on.**
- f. A copy of Bidder's certification to do business in New York State.

- g. If a NYS certified MWBE, provide a copy of your firm's certification.
- h. Provide a list of at least three (3) clients (insurance companies or funds) for whom you have performed similar services to those required in this RFP in the last five years.
- i. Describe and submit the company's documentation of its management and supervision policies as well as its internal controls.
- j. List all video, audio and still camera equipment which the Bidder has available for surveillance work. With respect to video equipment indicate whether the equipment records in color or black & white, contains a time and date generator, and has sound recording capability. With respect to video cameras specify any "pin hole" types, or other special lenses available.
- k. Describe the Bidder's procedures with respect to chain of custody for original audio and video recordings. Include procedures for making copies of recordings.
- l. Within the past five years has the firm, any affiliate, any predecessor company or entity or any persons with any form of ownership (past and present) been the subject of any of the following: **(respond to each question and describe in detail the circumstances of each affirmative answer):**
 - 1) a judgment of conviction for any business-related conduct constituting a crime under state or federal law?
 - 2) a criminal investigation or indictment for any business-related conduct constituting a crime under state or federal law?
 - 3) a grant of immunity for any business-related conduct constituting a crime under state or federal law?
 - 4) any suspension or revocation of any business or professional license?
 - 5) any federal or state citations, Notices, violation orders, pending administrative hearings or proceedings?
 - 6) any bankruptcy proceeding?
 - 7) any claims or judgments over \$10,000.00?
 - 8) any pending lawsuits?
- m. Provide sample surveillance and non-surveillance reports.
- n. If requested, Bidder must document its ability to service a contract with dollar sales volume similar to scope of this bid through submission of financial statements documenting past sales history. The Bidder must be financially stable and able to substantiate the financial statements of its company. In addition to sales history, current financial statements may be requested and must be provided within five (5) business days. NYSIF reserves the right to request additional documentation from the Bidder and to request reports on financial stability from independent financial rating services. NYSIF reserves the right to reject any Bidder who does not demonstrate financial stability sufficient for the scope of this bid.

2.2.4 TECHNICAL EXPERIENCE / DESCRIPTION OF PROPOSED SERVICES

Submit as described in the *Technical Specifications* section of this RFP. Bidders must clearly demonstrate that it meets or exceeds each of the mandatory requirements listed in Section 4 “Technical Specifications”.

Also include the following:

- a. Provide information about the Bidder’s organization, such as day-to-day operations and services, including the location of the office from which the assignments will be managed.
- b. Provide escalation procedures NYSIF can use for reporting problems to higher levels of management within the Bidder’s organization.
- c. A Quality Assurance Plan.
- d. Explain your organization’s structure including a description of the reporting relationships of everyone involved in the contract and the home office of each staff member.
- e. Provide a description of the procedure or training conducted by your organization to keep staff knowledgeable of NYS Workers Compensation Law, Federal, State, and Local laws and regulations in effect in the jurisdiction investigations are conducted within. This would include any other restriction on the means which may be used to conduct an investigation or surveillance such as trespass, one party two-part consent to audio recording, etc.
- f. Describe the resources your organization utilizes during the course of an investigation.

All technical publications cited in the Bidder’s proposal should be included at the end of the proposal.

2.2.5 STATEMENT OF COMPETING COMMITMENTS

Each Bidder must provide a *Statement of Competing Commitments*, a list of any contractual obligations they have entered into which requires effort on the part of their key personnel during the period in which these personnel will be working on the contract resulting from this RFP.

2.2.6 COMMENTS AND LIMITATIONS

Any exceptions, caveats or additional information to the Bidder’s responses to specifications in this RFP must be listed, cross referenced to the response to which it applies and clearly explained.

Note well: No comments, limitations or changes are permitted with respect to any of the terms and conditions contained in Exhibit A, *Standard Clauses*.

2.2.7 APPENDICES AND EXHIBITS

The following appendices/exhibits must be completed and returned with your proposal:

- *MacBride Questionnaire, Appendix D*
- *Vendor Responsibility Questionnaire, Appendix E*
- *Bidder Questionnaire, Appendix F*
- *Encouraging Use of NYS Businesses in Contract Performance, Appendix G*
- *Procurement Lobbying Legislation, Appendix H*
- *MWBE/EEO Requirements and Procedures, Appendix M* requires Bidders to submit (i) form 101; and (ii) form 106 or a copy of bidders EEO policy.
- *Vendor Security Survey, Appendix T*
- *Vendor Assurance of No Conflict of Interest or Detrimental Effect, Appendix V*
- *EO 177 Certification: Prohibiting State Contracts With Entities That Support Discrimination, Appendix X*
- *Fee Schedule, Appendix Z* The Fee Schedule must be bound and placed in a sealed envelope separately and enclosed with the Bid. Multiple Fee Schedules may be submitted in a single envelope.

Exhibits A, B and C should be retained by the Bidder for future reference. Do not return to NYSIF as part of the bid submission.

Any other appendices referenced in this RFP but not indicated above as being required at time of submission are included for informational purposes only. The awarded contractor(s) will be required to complete these forms prior to contract execution.

2.2.8 FEE SCHEDULE PROPOSAL, APPENDIX Z

The Fee Schedule Proposal must be bound separately and enclosed with the bid. Multiple Fee Schedules may be submitted in a single envelope. Bidders must provide a separate bid and fee schedule for each Region.

Bidders will only be considered for the Region(s) for which a separate Fee Schedule is submitted. Even if the fees are uniform across New York State, Bidders are still required to submit a separate Appendix Z for each Region being bid on. When completing the Fee Schedule Proposal, be sure to enter the Region that the Fee Schedule Proposal applies to. A bidder may bid on one or any combination of Regions, so long as separate fee schedules are received. A bidder need not propose Claims Investigators for each region. However, the number of Claims Investigators, their expertise, experience, and location of the Investigators proposed as Claims Investigators by each bidder will be a factor in the evaluation of bids received.

2.3 BID DELIVERY

Bidders assume all risks for timely, properly submitted deliveries. Bidders are strongly encouraged to arrange for delivery of bids to NYSIF prior to the date of the bid opening. E-mail and faxed bid submissions are NOT acceptable. LATE BIDS may be rejected.

- **Hand Deliveries / US Postal Service / Courier**

An envelope and/or package containing a bid should be clearly marked as follows, and shall be delivered to:

**NYSIF – Procurement Unit
Bid # 2017-135-CL
15 Computer Drive West
Albany, NY 12205**

Bidders assume all risks for timely, properly submitted deliveries.

SECTION 3 – METHOD OF EVALUATION & CRITERIA

As required by New York State Finance Law §163, the award will be made on the basis of best value (the proposal which optimizes quality, cost and efficiency) to the responsive and responsible Bidder, as determined in the evaluation process. The contract will not be awarded solely on the basis of low bid. However, the Bidder with the low bid may be awarded the contract if it provides the best value, as defined above.

All proposals received will be reviewed and evaluated by a committee of NYSIF personnel. The committee will recommend the award be made to the Bidder whose proposal receives the highest overall evaluation score based on the criteria stated herein.

NYSIF reserves the right to award the contract based solely on Section 3.1 below. However, NYSIF may request, at its sole discretion, that evaluators interview the Bidder's staff, as stated in Section 3.2 below.

Bidder may be requested by NYSIF to clarify the contents of their proposals. Other than to provide such information as may be requested by NYSIF, no Bidder will be allowed to alter its proposal or add new information after the final filing date and time.

The ability to perform the services is most important in evaluating proposals. The evaluation criteria are listed below in order of importance to NYSIF.

3.1 EVALUATION CRITERIA

The evaluation criteria will consist of three (3) separate parts: (1) a Technical Proposal, (2) a Financial Proposal, and (3) a Quantitative Factor for Business Certification as described below. Each component will be evaluated separately and independently in accordance with the RFP as further described below. The relative weights of each part of the Proposal are as follows:

1. Technical Proposal: 70%
2. Financial Proposal: 25%
3. Minority and Woman-Owned Business Enterprises (MWBE) Certification, Small Business Enterprise (SBE) status, Service Disabled Veteran Owned Business (SDVOB) Certification (per section 3.1.3): 5%

3.1.1 TECHNICAL PROPOSAL

This reviews the capability of Bidder to perform the required services at the time of the bid, demonstrated ability to recruit and retain qualified staff for similar services, and the Bidder's experience in providing services of a similar scope, which includes Bidder's liaison to NYSIF. This process consists of the following steps:

1. Pass / Fail Evaluation: the technical evaluation team will inspect each Technical Proposal to determine if it contains responses to all of the mandatory requirements as described in section 4.1 of the RFP.

Please Note: Should a Bidder fail to meet any of the mandatory requirements

(section 4.1), the Bidder will be disqualified, and no further evaluation or scoring will be completed.

2. Qualifications and Technical Evaluation: This phase of the Technical evaluation reviews the Bidders capability to meet NYSIF's needs as described in this RFP.

Please Note: See NYSIF's reserved right to request interviews in section 3.2.

3.1.2 FINANCIAL EVALUATION

The Financial evaluation will be based upon a review of the Grand Total Cost of the Bidders Fee Schedule Proposal (Appendix Z), which details the total cost to provide all services listed within this RFP.

3.1.3 QUANTITATIVE FACTOR FOR NYS CERTIFIED MINORITY AND WOMEN OWNED BUSINESSES, SMALL BUSINESSES, AND SERVICE DISABLED VETERAN OWNED BUSINESSES AS DEFINED IN NYS EXECUTIVE LAW

State Finance Law section 163(1)(j) allows, when making a Best Value determination, for the inclusion of a quantitative factor for Bidders that are Small Businesses, certified Minority or Women-owned Business Enterprises (MWBs), or Service Disabled Veteran Owned Businesses (SDVOBs) as defined in subdivisions 310(7), 310(15), 310(20), and 369-H of NYS Executive Law.

In accordance with such authority, five percent (5%) of the overall evaluation scale (referred to herein as the "quantitative factor") will be awarded to any responsive Bidder who meets one of the following criteria (NOTE: Although a Bidder may meet more than one of the criteria, credit is to be awarded for only one category, not multiple categories):

- a. The bidder is a New York State Certified Minority- Owned Business Enterprise (MBE) as defined in Executive Law 310(7) *or*
- b. The bidder is a New York State Certified Woman- Owned Business Enterprise (WBE) as defined in Executive Law 310(15) *or*
- c. The bidder is a Small Business Enterprise as defined in Executive Law Section 310(20) *or*
- d. The bidder is a Service Disabled Veteran Owned Business Enterprise (SDVOB as defined in Executive Law Section 369-H

3.1.4 EVALUATION PREROGATIVES

In addition, proposals will be evaluated for existing or potential conflicts of interest, for financial and operational stability, for adequacy and completeness, and to determine that all requirements of the RFP have been met. NYSIF reserves the right to disqualify a Bidder if, in NYSIF's sole opinion, the proposal does not pass the evaluation for any or all of the evaluation criteria.

For the purpose of insuring the completeness and comparability of offers, NYSIF reserves the right to analyze submissions and make adjustments or normalize submissions in the bid proposal, including the Bidder's technical assumptions, and underlying calculations and

assumptions used to support the Bidder's computation of costs, or to apply such other methods, as it deems necessary to make level comparisons across bids.

3.2 INTERVIEW

NYSIF, at its own discretion, may require Bidders to attend an interview. NYSIF reserves the right to hold interviews for select Regions depending upon NYSIF's needs. The number of interviews per Region will be equal to the total number of awards anticipated for the Region as established in Section 1.7.1 of the RFP, plus any vendors within 10% of the first-place Bidder. The top Bidders will be determined by total score as outlined in section 3.1. NYSIF evaluators may use the information gathered during this process to revise the scores from the technical evaluation, based on the merits and clarifications provided.

Interviews may be up to 45 minutes. Questions may be asked by the evaluation committee based on material covered in the interview and/or in the proposal.

Interviews will be conducted in Syracuse, New York City or Albany. It will be the responsibility of the Bidder to present the proposed staff at the scheduled time. NYSIF, at its own discretion, may allow Bidders to interview with the evaluation team via video conference from one of the three (3) specified NYSIF locations; however, Bidders are required to be in attendance at the date, time, and location specified by NYSIF. Remote interviews from locations other than the three (3) NYSIF sites will not be permitted. Bidders will be responsible for any and all costs associated with the presentation. Appointments will be made at least one week prior to the scheduled interview date.

3.3 APPENDIX T, VENDOR SECURITY SURVEY

NYSIF will review and evaluate the bidder's response to Appendix T, NYSIF Vendor Security Survey on a pass/fail basis. The minimum required implementation levels are defined in Appendix T, NYSIF Vendor Security Survey. Bidders who do not meet the minimum required implementation levels will be disqualified.

- a. **Pass:** Meets or exceeds minimum implementation levels
- b. **Fail:** Does not meet minimum implementation levels

NYSIF reserves the right to seek non-material clarifications to the bidder's IT Data Security procedures if determined to be in NYSIF's best interest.

3.4 CONTRACT APPROVAL

The contract between NYSIF and the successful Bidder will not be binding until it has been approved in accordance with NYSIF's contract approval process.

SECTION 4 – TECHNICAL SPECIFICATIONS

No oral statements of any person shall modify or otherwise affect the terms, conditions or specifications noted herein or in the contract for the service. Any amendments to this RFP that may be necessary will be issued in writing and posted to NYSIF's website (www.nysif.com/procurement).

4.1 MANDATORY REQUIREMENTS

4.1.1 VENDOR SECURITY SURVEY

Bidder must complete the attached Appendix T, Vendor Security Survey. Upon successful award of a contract to a bidder, substantiating documents as specified in Appendix T may be requested by NYSIF prior to contract execution. Appendix T, and any substantiating documents, even if included or referenced elsewhere in a bidder's response, must be submitted as one file and labeled separately in the electronic copy.

4.1.2 COVERAGE & AVAILABILITY

Bidders must be able to cover the **entire Region(s)** for which they are bidding on. Bidders may apply for one, some, or all Region(s). See Exhibit 1 for a map of the Regions and Section 1.7.1 "Engagement by Region" for further details.

Bidders must also have the ability to conduct investigations at all times (including nights, weekends, etc.) as an assignment necessitates, which may also include emergency rush assignments.

4.1.3 PERSONNEL

a) Qualifications

Qualifications of investigators are critical to the successful performance of the investigators /specialist proposed.

List the Names, Titles, Dates of Birth, and Years with the Bidder of all Officers, Managers, Supervisors and Investigators employed by the Bidder. Indicate each person's employment status: full time or part time. Provide their private investigator's license number(s) or provide the company license(s). Please be advised, investigative companies are accountable for operatives operating under their license(s). Upon contract award and as necessary throughout term of contract vendor must:

- i. Submit via email the personnel qualifications spreadsheet entering all individuals who will be handling the NYSIF account prior to their being given access to NYSIF data. Complete in alphabetical order by last name.
- ii. Maintain a copy on hard drive and submit an updated version when individuals are added or deleted prior to their being given access to NYSIF data. Note the changes in the email. Please also note, in the body of the email for each spreadsheet submission, that the individuals listed on the spreadsheet are not involved with any other awardee and are not Government employees.

- iii. Attach the required background data for each addition along with the spreadsheet.

Attach individual descriptions of their training and experience in stationary and moving surveillance techniques, use of still cameras, video cameras and body wires, interviewing techniques, report writing, chain of custody, interview and interrogation. For any bilingual/multilingual staff, identify the language(s). Include any law enforcement training, experience or education. Individual resumes, which include this information, are acceptable.

b) Conflicts of Interest

The Contractor and all the Contractor's employees assigned to the contract must disclose to NYSIF any outside employment, where a real or perceived conflict of interest exists by virtue of the performance of work under this contract. Failure to provide such disclosure may result in immediate termination of this contract. Proposed Investigators may not work for more than one awarded contractor.

c) Removal from NYSIF Assignment

Bidder must immediately remove any of its employees and/or subcontractors from assignment with NYSIF, if requested.

d) Substitutions of Key Staff

Substitutions of key staff must be approved by NYSIF.

e) Contract Liaison

Bidder must designate one individual to be Claims Dept./District Office staff contact for investigation matters. This contact must be reachable during business hours and available to meet with NYSIF upon request.

Bidder shall designate a specific individual to serve as the liaison with NYSIF in contract matters. Include the following information:

- a. The name and qualifications of the individual designated as the contract liaison with NYSIF.
- b. Indicate that Internal controls (physical, electronic and personnel) the Bidder will utilize in maintaining confidentiality of information that the Bidder receives from NYSIF. Indicate that procedures are in place to prevent an unauthorized exchange of information from NYSIF to another organization doing business with the Bidder. Submission of Bidder's documentation of its management and supervision policies as well as its internal controls is required.
- c. Escalation procedures NYSIF can use to report problems to higher levels of management within the Bidder's firm.

4.1.4 BACKGROUND CHECKS FOR INVESTIGATORS

Upon award of the contract, at the cost of the vendor, unless completed prior to the contract award, all proposed investigators must undergo an initial criminal and financial background check, which includes being photographed and fingerprinted. Compliance with New York State Department of State (NYSDOS) requirements for the NYS Private Investigator License will satisfy this requirement. Bidders are responsible for conducting initial criminal and financial background checks of all proposed investigators.

For in-state investigators, the following must be provided:

- (A) If working under vendor's license as an employee:
 - 1. A copy of the Employee Statement that is attached to each investigator's personnel file.
 - 2. Receipt/letter from fingerprinting company confirming that the investigator's prints were taken. A receipt or statement from the entity performing the fingerprinting in accordance with NYSDOS requirements will satisfy this requirement. Investigators whose fingerprinting and filing with NYSDOS prior to the contract award need not repeat fingerprinting. However, the Vendor must certify that it will receive NYSDOS notices of adverse actions against any of its employees or investigators.
- (B) If working under their own license as an employee of the vendor:
 - 1. Submit copy of the NYS Private Investigator license.

For out-of-state investigators (investigators licensed under a state other than New York), Vendors must submit the documentation required under the jurisdiction they are licensed under, as well as a statement that the individual meets all requirements to be employed by awardee to conduct investigations in the jurisdiction.

The results of these background checks must be shared with NYSIF prior to being assigned work. Additionally, periodic background checks may be required, at the cost of the vendor, by the other Agencies which work with NYSIF on investigations.

4.1.5 GENERAL

- a) The Investigations Company represents and warrants that it and its employees and agents hold and will continue to maintain any licenses which may be required for the performance of services in accordance with the laws of the State of New York.
- b) In the event The Investigations Company is assigned a case outside the State of New York, The Investigations Company must comply with the laws of the state in which services are provided.

- c) The Investigations Company must have been in business as an investigative company for at least three years as of the bid due date. This requirement applies to the company itself, not to the owner's or staff's experience.
- d) The Investigations Company must have a minimum of three years experience working within the New York Workers' Compensation industry. The New York Workers' Compensation industry is defined as Workers' Compensation Carriers or self-insureds defending claims under the laws, rules and regulations of the New York State Workers' Compensation Board.

4.1.6 RELATIONSHIP

- a) NYSIF reserves the right to select, add, remove and/or change an investigator from the rotation at its discretion. Prior to an investigator having access to NYSIF data, the investigation company is required to submit a completed personnel qualification spreadsheet (See Exhibit 3), and to submit an updated spreadsheet to NYSIF promptly, when an investigator is added or deleted.
- b) The Investigation Company acknowledges being added to NYSIF's Investigations panel is not a guarantee of work.
- c) Each District Office assigns investigations on a rotational basis to the companies on its Regional panel, taking into account Investigation Company staffing, geographical coverage area and prior work on the claim. NYSIF reserves the right to assign out of the rotation, to serve the best interests of NYSIF.
- d) The Investigation Company acknowledges that an independent contractor relationship will be created by this Agreement. NYSIF is interested only in the results legally and ethically achieved and the punctuality of the work's completion. The primary managerial and administrative supervision is the responsibility of the Bidder; however, the work contemplated herein must meet the approval of NYSIF.
- e) The Investigation Company acknowledges that it is not a partner or joint venturer with NYSIF.

4.1.7 SYSTEMS AND NETWORK ACCESS

- a) The Investigations Company is required to utilize NYSIF's electronic billing system and any related programs for all reporting and bill payment.
- b) The Investigations Company is required to utilize NYSIF electronic investigation program for receiving assignments and submitting reports and invoices to NYSIF.
- c) Requirements for using electronic systems
 - Internet access
 - A version of Internet Explorer 5 or greater
 - Microsoft Word

4.1.8 DOCUMENTATION

- a) All forms must be filed and submitted in strict accordance with NYSIF's procedures.
- b) The Investigation Company must have the capability to convert documents, photos etc. to different formats and sizes.

- c) The Investigation Company must have the ability to scan documents and insert into uploaded reports.

4.1.9 CONTRACT COMPLIANCE

Investigations Companies must agree to be in compliance with all Federal, State and Local laws, rules and regulations, including but not limited to, the NYS Workers Compensation Law at all times during the duration of this contract. Vendors must keep up-to-date and knowledgeable about laws etc. that govern their work in jurisdictions in which they provide services. Investigations Companies that fail to comply with the above requirements may be removed at NYSIF's discretion.

4.2 OPTIONAL REQUIREMENTS & SPECIAL PROVISIONS

4.2.1 NATIONAL AND INTERNATIONAL COVERAGE

Any Bidder that has the capacity to provide national and/or international investigative services, with their own employees, is encouraged to provide additional information including but not limited to, names of states and countries, on its ability to service these areas.

Any Bidder capable of providing national assignments is encouraged to complete the Appendix Z "Fee Schedule Supplemental" section. NYSIF is seeking an all inclusive flat rate, in whole dollar amounts, for Investigative Services performed in the United States (including Puerto Rico). These rates are for Bidding purposes only and shall not be evaluated.

NYSIF reserves the right to request national and/or international investigative services if the Bidder indicates they can provide these services. If NYSIF selects a Bidder for international services, the rates will be subject to negotiation on a case by case basis.

4.2.2 SPECIAL PROVISIONS

NYSIF reserves the right to utilize an investigative company, outside of the standard rotation and/or in a region they are not contracted under, when it is determined that it is in the best interest of NYSIF.

4.3 NYSIF RESPONSIBILITIES

NYSIF will advise the Contractor of the type of investigative services to be provided, as well as provide the Contractor with all relevant reports and information.

4.4 CONTRACTOR RESPONSIBILITIES

The firms selected for this engagement will provide private investigation services to NYSIF on an as-needed basis for a period of five (5) years. NYSIF reserves the right to require awarded contractors to attend meetings with NYSIF staff at NYSIF's offices or other location determined by NYSIF (i.e. prior to first case assignment for new contractors).

The Investigation Companies shall provide all services normally performed in its usual line of business, including investigation, surveillance and collection of information. The Investigation Companies will be called upon to provide specific investigative type services as directed by NYSIF personnel. In general, private investigation services for NYSIF falls into Workers Compensation investigations, all in the context of the insurance industry.

Please note: It is the Investigations Company's responsibility to know and fully comply with all federal and state laws regarding video and audio recording which apply to a surveillance assignment, specifically those relating to one party vs. two party consent to audio recording, trespass for the purposes of surveillance and any other restrictions on the means which may be used to conduct an investigation or surveillance.

The firms must have extensive knowledge of the fact-finding process, obtaining evidence sufficient to support their claims and capable of preparation and presentation of a Report of Investigation (see Exhibit 2).

The firms must be proficient in preparing detailed and accurate reports of their investigation. These reports should be comprehensive, logical and grammatically sound.

The Investigations Company has a continuing obligation to produce both the original recordings made in the investigation and any witnesses needed to authenticate the recordings in court or administrative proceedings, as well as the operatives who were involved in any aspect of the information gathering process. The Investigations Company may be required to assist with investigations or provide testimony after termination of their contract. If such additional work is required, the Investigations Company will be reimbursed at the last applicable contract rate.

The firms must also have knowledge of NY Workers' Compensation Law and terminology.

The firms and their employees must be ready, willing and able to provide services at all times (including nights, weekends, etc.) as an assignment necessitates.

When conducting investigations on behalf of NYSIF, the Investigation Company staff must carry appropriate identification (picture ID to include the name of their company) and present this ID in conjunction with the NYSIF District Office Letter of Authorization.

Government employees, specifically law enforcement officers, should not conduct investigations on behalf of NYSIF as they have a duty to enforce laws and at a minimum would have to report any unlawful conduct.

The Investigation Company and its staff must not represent themselves as employees of NYSIF and must not use NYSIF letterhead or logo on their correspondence.

NYSIF shall not be liable for any expense incurred by the Contractor as a consequence of any traffic infraction or parking violations.

4.5 SERVICES TO BE PROVIDED

4.5.1 ALL INVESTIGATIONS

Investigations are conducted in the field unless specifically instructed otherwise.

All investigations must be completed by the NYSIF assigned due date. If for reasons outside the control of The Investigation Company, the investigation cannot be completed by the due date, a preliminary report, documenting the reason for the delay and expected completion date, must be uploaded to NYSIF's electronic system by the due date.

Special instructions on investigation requests must be followed.

If a claimant is represented by an attorney, the attorney must be contacted for permission prior to an investigation with the claimant, with the exception of the following types of investigation: Permanent Disability Field Review, Beneficiary Field Review, Field Activity Check, and Surveillance. **However, please note that question number three (3) on the Activity Check form cannot be asked of a claimant represented by an attorney.**

All requisite forms and documentation must be uploaded into NYSIF's electronic system along with the investigations report. Any necessary training on NYSIF's electronic system will be provided by NYSIF.

A photograph of the claimant is taken on investigations with the claimant, if the claimant grants permission. This photograph is to be inserted into the uploaded report.

Evidence must be submitted promptly after reports are uploaded to NYSIF's electronic system.

Investigation reports & performance will be reviewed and evaluated every 90 days. The Investigation Company must maintain a good performance rating for each region awarded. See Exhibits 4 and 5 for additional details on the evaluation.

4.5.2 SURVEILLANCE

Original recordings must be retained by the Investigations Company, maintaining the chain of custody, for at least the balance of the calendar year in which they were made and for six (6) additional years thereafter, as stated in Exhibit A Section 9, unless otherwise advised by NYSIF. Copies of recordings are submitted in the format NYSIF requests (VHS, CD, DVD, etc.) to the District Office Point Person when reports are uploaded to NYSIF's electronic system. Currently the Workers Compensation Board requires that all surveillance recordings will be submitted as a DVD-R formatted as WMV or AVI 1, however, it is the Investigations Company responsibility to fully comply with any future WCB requirements with respect to acceptable forms of recording. The laws of evidence require that the Original recordings be preserved under circumstances which establish both an unbroken chain of custody and that the original recording has not been tampered with. Any system in which the original recording is copied and then immediately destroyed (written over, reused, etc.) is unacceptable.

As required, Investigation companies must be ready and able to provide expert testimony of legally and ethically obtained information. If original investigator is not available, then a principal of the company must be available to testify.

A new tape/disc must be used for each day of surveillance.

Time and date stamped video must be secured at the beginning, end, and at one-hour intervals throughout the surveillance. Video must also be obtained, at these same intervals, of a device such as a cell phone which generates date and time display which cannot be manipulated. The device used must be documented on the surveillance template.

Surveillance affidavits must be completed and submitted on all surveillances in which the claimant is found to be working and/or conducting activities which are inconsistent with his/her disability.

Photo of claimant is to be inserted in surveillance report and uploaded with the report.

Night vision scope is to be used when necessary.

Audio is to be secured only if specifically requested on the assignment.

4.5.3 INTERPRETATION/TRANSLATION SERVICES

Investigative firms must provide interpretation and/or translation services when warranted by the assignment or requested by NYSIF. The Investigative firms must either (a) assign the case to a field investigator who is fluent in the interviewee's language, or (b) arrange to have an interpreter and/or translator present who is fluent in the interviewee's language.

Please note: Governor Cuomo's Executive Order 26 requires state agencies to provide translation/interpretation to members of the public who receive or utilize agency services. Should the investigator incur translation/interpretation costs, they should be itemized on the vendor's invoice. Agencies have translation/interpretation services available for clients, and which may be available for vendor use on agency-assigned business.

4.6 ADDITIONAL RESERVED RIGHTS

- A. NYSIF reserves the right to suspend an Investigation Company from a contracted region if the company is not meeting the performance standards within this RFP.
- B. NYSIF reserves the right to terminate an Investigation Company from a contracted region if the company is not meeting the performance standards within this RFP.
- C. NYSIF reserves the right to terminate this contract should the Bidder no longer be licensed as an investigator in the contracted region, if required by the location.
- D. NYSIF reserves the right to review fees on an annual basis and re-negotiate rates, in the best interests of NYSIF.
- E. NYSIF reserves the right to remove specific investigators, employees and/or subcontractors from assignment with NYSIF.

4.7 TERM

A five-year contract covering the services detailed in this RFP is anticipated. All contract(s) resulting from this solicitation will expire on the same date.

4.8 COST/INVOICING

The Bidder must complete a Fee Proposal (Appendix Z) in its entirety for each Region the firm is bidding on. The bid shall be “all inclusive.” Prices set forth shall be the total amount that NYSIF will be obligated to pay the Bidder, should the Bidder be awarded a contract.

Additionally, Bidders may propose a single flat rate for out-of-state (national) assignments. If a Bidder has the capability, with their own employees, of providing services nationally, NYSIF is requesting Bidder complete the “Fee Schedule Supplemental” section of Appendix Z. For international assignments, the rates will be negotiated on a case by case basis.

Prices shall include all direct and indirect costs, including, but not limited to, direct labor costs, overhead, fee or profit, clerical support, equipment, materials, supplies, managerial (administrative) support, all documents, reports, forms, reproduction and any other costs.

Invoices shall be in accordance with the fee structure agreed to by the parties.

Travel Time - No travel fees, parking fees or travel time will be paid under this contract.

If a vendor must pay fees to a third party to secure documents requested in an investigation, the fee would be billable to NYSIF with a receipt. For example, a hospital charges a photocopying fee when providing copies of requested medical reports; this fee would be reimbursable with a receipt.

4.8.1 VOLUME

The below figures represent the volume of assignments issued by each NYSIF office during 2017 for all locations (in-state, national and international). It does not represent the actual number of assignments completed within the confines each region. These numbers are provided for bidding purposes only and are not a guarantee of work or volume for the contracts resulting from this RFP. For reference, these numbers are also included on the Appendix Z – Fee Schedule.

Investigations Assignments 2017

Office	Surveillance	Non-Surveillance
Albany	1877	3533
Syracuse	1091	978
Rochester	349	436
White Plains	378	3571
Nassau	704	1321
Suffolk	1506	2419

Manhattan (Div 1)	1043	3635
New York City (Div 2)	126	2960
Binghamton	496	1328
Buffalo	1314	1293
<i>Totals</i>	<i>8884</i>	<i>21474</i>

4.8.2 ESCALATION

The Rates/fees bid will be unvarying for the first three years of the contract. For years four and five, the Contractor may request an increase in bid rates not to exceed 4% or CPI – whichever is less – effective on the renewal start date. The Contractor must submit their request, in writing, at least 60 days prior to the contract anniversary date.

CPI means the annual rate of increase in the US City Average Index for all urban consumers (CPI-U) for the category of all items before seasonal adjustments, as reported by the U S. Department of Labor, Bureau of Labor Statistics (<http://www.bls.gov/cpi/>). CPI increase will be determined by using the most recently released index as of 60 days prior to the contract anniversary date, compared to the same month's index from the prior year, as written in the "Consumer Price Index Summary. For example, a contract has an anniversary date of 6/1/2018. NYSIF would use the index available on 4/1/2018, which would be the March 2018 index, and compare it to the March 2017 index.

4.9 PENALTIES

Penalties may be assessed if a contractor files an incomplete or inaccurate report or enters incomplete or inaccurate information in NYSIF's electronic systems. Penalties may also be assessed for late reports and/or updates.

Penalties may be assessed to the corresponding monthly invoice where the penalty was applied. In the event the penalty exceeds the invoiced amount, the remaining penalty balance may be assessed to all future invoices until the penalty is satisfied.

1. A \$50 penalty may be assessed for any report or electronic entry missing required information. These reports will be deemed incomplete and will require the investigator to resubmit the report.
2. For every week, or portion thereof, that an assignment is late NYSIF reserves the right to reduce the contracted fee by 15%. In the event that the due date falls on a State Holiday, the report is due the next business day after that Holiday.
3. In the event any report or electronic entry contains false or inaccurate information, a penalty equal to the amount invoiced by the vendor for that investigative assignment may be assessed. Additionally, these reports will be deemed as false reporting and, at the discretion of NYSIF, the Contractor performing that assignment may be suspended and/or removed from the contract.

4.10 SUBCONTRACTING

Prior to the commencement of the work to be performed by the successful Bidder, the Bidder must agree to the following provisions:

The Bidder agrees not to subcontract any of its services, unless as indicated in its proposal, without the prior written approval of NYSIF. Approval shall not be unreasonably withheld upon written receipt of written request to subcontract. The Investigations Company may not delegate or subcontract their responsibilities under the contract without prior written approval from NYSIF.

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

The Bidder retains ultimate responsibility for all services performed under a Contract.

Requests for subcontractor approval will only be granted when there is a specific need on an assignment such as when NYSIF has no acceptable vendor with staff in the geographical location involved. The following information/documents must accompany subcontractor approval requests:

1. Claim and investigation number
2. Location of assignment
3. License
4. If no license required in investigation location – statement attesting to this
5. Statement that investigator is not involved with any other NYSIF contractor and is not a government employee.
6. Photo of investigator
7. Completed Subcontractor Claims Investigator Affirmation Form (attached)

If subcontracting some portion of this RFP to another company, a letter of agreement must be included from each subcontractor indicating that the subcontractor has received and read the RFP, agrees to subcontract with the Bidder if the contract is awarded to the Bidder and agrees to RFP requirements. Additionally, the same information required under Section 4.1.3 is required of the employees of the subcontracting firm.

All subcontracts shall be in writing and shall contain provisions, which are functionally identical to, and consistent with, the provisions of the Contract. Unless waived in writing by NYSIF, all subcontracts between the Bidder and subcontractors shall expressly name NYS,

through NYSIF, as the sole intended third party beneficiary of such subcontract. NYSIF reserves the right to review and approve or reject any subcontract, as well as any amendment to said subcontract(s), and this right shall not make NYSIF or NYS a party to any subcontract or create any right, claim, or interest in the subcontractor or proposed subcontractor against NYSIF.

NYSIF reserves the right, at any time during the term of the Contract, to verify that the written subcontract between the Bidder and subcontractors is in compliance with all of the provisions of this Section and any subcontract provisions contained in the Contract.

The Bidder shall give NYSIF immediate notice in writing of the initiation of any legal action or suit which relates in any way to a subcontract with a subcontractor or which may affect the performance of the Bidder's duties under the Contract. Any subcontract shall not relieve the Bidder in any way of any responsibility, duty and/or obligation of the Contract.

If at any time during performance under the Contract total compensation to a subcontractor exceeds or is expected to exceed \$100,000, that subcontractor shall be required to submit and certify a Vendor Responsibility Questionnaire.

The selected Investigations Company(s) will be responsible for the conduct and performance of any subcontractor(s). NYSIF will consider the Investigations Company to be the prime and sole point of contact in regard to any contractual items specified or required in this RFP.

4.11 LOCATION AND TRAVEL

No travel fees, parking fees or travel time will be paid under this contract. The rates provided in the Fee Schedule (Appendix Z) will be inclusive of all costs, including any and all travel expenses. For purposes of any contract resulting from this RFP, NYSIF 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. It is understood that travel expenses are not allowed and will not be billed to NYSIF.

BIDDER CERTIFICATIONS

*Please initial where indicated for each item. Failure to complete and return this form will result in your bid being deemed **non-responsive**.*

Certifications:

- _____ 1. The person or persons signing below is (are) duly authorized to sign the proposal and the contract, and is (are) identified on the *Title Page*.
- _____ 2. Bidder is willing to enter into a contractual agreement containing, at a minimum, those terms and provisions identified in this RFP. *Any exceptions to these terms and conditions must be explicitly stated in a separate section of the proposal.*
- _____ 3. The Bidder agrees to comply with all terms of Exhibit A, Standard Clauses.
- _____ 4. The Bidder is in compliance with or meets all Bidder Certification Requirements (Exhibit B, clause 39).
- _____ 5. The fee(s) quoted in the Fee Proposal Schedule is a firm and irrevocable offer for 180 days.
- _____ 6. The Bidder meets or exceeds all Mandatory Bidder Qualifications and has provided evidence of such in its bid/proposal.
- _____ 7. The Bidder understands the work to be done, and is committed to performing the work as expeditiously as possible.

Freedom of Information Law (FOIL):

Please indicate whether you believe that any of the information supplied herein constitutes a trade secret or that disclosure of the information would cause substantial injury to the Bidder's competitive position and should be exempt from disclosure under the Freedom of Information Law (see Exhibit B, clause 15 for additional information):

☐ No

☐ Yes

BIDDER CERTIFICATIONS

Non-collusion:

_____ I hereby attest that I am the person responsible within my firm for the final decision as to the price(s) and amount of this bid or, if not, that I have written authorization, enclosed herewith, from that person to make the statements set out below on his or her behalf and on behalf of my firm:

- _____ 1. The price(s) and amount of this bid have been arrived at independently, without consultation, communication or agreement for the purpose of restricting competition with any other contractor, bidder or potential bidder.
- _____ 2. Neither the price(s) nor the amount of this bid have been disclosed to any other firm or person who is a bidder or potential bidder on this project, and will not be disclosed prior to bid opening.
- _____ 3. No attempt has been made nor will be made to solicit, cause or induce any firm or person to refrain from bidding on this project, or to submit a bid higher than the bid of this firm, or any intentionally high or non-competitive bid, or other form of complementary bid.
- _____ 4. The bid of my firm is made in good faith and not pursuant to any agreement or discussion with, or inducement from, any firm or person to submit a complementary bid.
- _____ 5. My firm has not offered nor entered into a subcontract or agreement regarding the purchase of materials or services from any firm or person, or offered, promised or paid cash or anything of value to any firm or person, whether in connection with this or any other project, in consideration for an agreement or promise by any firm or person to refrain from bidding or to submit a complementary bid on this project.
- _____ 6. My firm has not accepted nor been promised any subcontract or agreement regarding the sale of materials or services to any firm or person, and has not been promised or paid cash or anything of value by any firm or person, whether in connection with this or any other project, in consideration for my firm's submitting a complementary bid, or agreeing to do so, on this project.
- _____ 7. I have made a diligent inquiry of all members, officers, employees and agents of my firm with responsibilities relating to the preparation, approval or submission of my firm's bid on this project and have been advised by each of them that he or she has not participated in any communication, consultation, discussion, agreement, collusion, act or other conduct inconsistent with any of the statements and representations made in this affidavit.

BIDDER CERTIFICATIONS

Conflicts of Interest:

- _____1. Bidder has provided “Appendix V – Vendor Assurance of No Conflict of Interest or Detrimental Effect”, signed by an authorized executive or legal representative attesting that the Bidder’s performance of the services does not and will not create a conflict of interest with, nor position Bidder to breach any other contract currently in force with, the State of New York, and that Bidder will not act in any manner that is detrimental to any State of New York project on which Bidder is rendering services.
- _____2. Bidder hereby reaffirms the attestations made in its proposal and covenants, and represents that there is and shall be no actual or potential conflict of interest that could prevent Bidder’s satisfactory or ethical performance of duties required to be performed pursuant to the terms of the RFP or subsequent Contract. Bidder shall have a duty to notify NYSIF immediately of any actual or potential conflicts.
- _____3. In conjunction with any subcontract under this RFP or subsequent Contract, the Bidder shall obtain and deliver to NYSIF, prior to entering into a subcontract, an “Appendix V- Vendor Assurance of No Conflict of Interest or Detrimental Effect”, signed by an authorized executive or legal representative of the subcontractor. Bidder shall also require in any subcontracting agreement that the subcontractor, in conjunction with any further subcontracting agreement, obtain and deliver to NYSIF a signed and completed Appendix V for each of its subcontractors prior to entering into a subcontract.
- _____4. NYSIF and Bidder recognize that conflicts may occur in the future because the Bidder may have existing, or may establish new relationships. The NYSIF will review the nature of any relationships and reserves the right to terminate any contract for any reason, or for cause, if, in the judgement of NYSIF, a real or potential conflict of interest cannot be cured.
- _____5. Bidder must disclose any existing or contemplated relationship with any other person or entity, including relationships with any of its members, shareholders of 5% or more, parents, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the Respondent or former officers and employees of the NYSIF, in connection with your rendering services enumerated in this RFP. If a conflict does or might exist, please describe how your firm would eliminate or prevent it. Indicate in the bid what procedures will be followed to detect, notify the NYSIF of, and resolve such conflicts.
- _____6. Bidder must disclose whether it, or any of its members, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Joint Commission on Public Ethics or its predecessor State entities (collectively, “Commission”) and, if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

BIDDER CERTIFICATIONS

Public Officers Law:

- _____1. As a general rule and in accordance with New York Public Officers law, former employees of NYSIF may neither appear nor practice before NYSIF, nor receive compensation for services rendered on a matter before NYSIF, for a period of two years following their separation from NYSIF. In addition, former NYSIF are subject to a “lifetime bar” from appearing before NYSIF receiving compensation for services regarding any transaction in which they personally participated or which was under their active consideration during their tenure with NYSIF.
- _____2. Bidder 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”). Bidder 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 RFP or subsequent contract shall be assigned in accordance with all Ethics Requirements. During the Term, no person who is employed by Bidder or is Subcontractors and who is disqualified from providing services under the RFP or subsequent contract pursuant to any Ethics Requirements may share in any net revenues of the Contractor or its Subcontractors derived from a Contract. Bidder shall identify and provide the State with notice of those employees of Bidder and its Subcontractors who are former employees of the State that will be assigned to perform services under this RFP or subsequent Contract, and make sure that such employees comply with all applicable laws and prohibitions. The State may request that Bidder provide it with whatever information that State deems appropriate about each such person’s engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. The State shall have the right to withdraw or withhold approval of any Subcontractor if utilizing such Subcontractor for any work performed hereunder would be conflict with any of the Ethics Requirements. The State shall have the right to terminate the Contract at any time if any work performed hereunder is in conflict with any of the Ethics Requirements.

Subcontracting:

- _____1. Bidder agrees not to subcontract any of its services, unless, as indicated in its proposal, without the prior written approval of NYSIF.

BIDDER CERTIFICATIONS

Signature

Typed Name

Company Position

Company Name

Date Signed

Sworn to before me this

_____**Day of**_____, 20____

Notary Public

NYSIF EXHIBIT A

STANDARD CLAUSES

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, licensor, licensee, lessor, lessee or any other party):

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

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

3. 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.

4. NON-DISCRIMINATION REQUIREMENTS. To the extent required by Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, sex (including gender identity or expression), national origin, sexual orientation, military status, age, disability, predisposing genetic characteristics, marital status or domestic violence victim status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex, or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.

5. 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.

6. 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.

7. INTERNATIONAL BOYCOTT PROHIBITION. In accordance with Section 220-f of the Labor Law and Section 139-h of the State Finance Law, if this contract exceeds \$5,000, the Contractor agrees, as a material condition of the contract, that neither the

Contractor nor any substantially owned or affiliated person, firm, partnership or corporation has participated, is participating, or shall participate in an international boycott in violation of the federal Export Administration Act of 1979 (50 USC App. Sections 2401 et seq.) or regulations thereunder. If such Contractor, or any of the aforesaid affiliates of Contractor, is convicted or is otherwise found to have violated said laws or regulations upon the final determination of the United States Commerce Department or any other appropriate agency of the United States subsequent to the contract's execution, such contract, amendment or modification thereto shall be rendered forfeit and void. The Contractor shall so notify the State Comptroller within five (5) business days of such conviction, determination or disposition of appeal (2NYCRR 105.4).

8. 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.

9. 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.

10. 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.

11. EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN. In accordance with Section 312 of the Executive Law and 5 NYCRR 143, if this contract is: (i) a written agreement or purchase order instrument, providing for a total expenditure in excess of \$25,000.00, whereby a contracting agency is committed to expend or does expend funds in return for labor, services, supplies, equipment, materials or any combination of the foregoing, to be performed for, or rendered or furnished to the contracting agency; or (ii) a written agreement in excess of \$100,000.00 whereby a contracting agency is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property and improvements thereon; or (iii) a written agreement in excess of \$100,000.00 whereby the owner of a State assisted housing project is committed to expend or does expend funds for the acquisition, construction, demolition, replacement, major repair or renovation of real property

and improvements thereon for such project, then the following shall apply and by signing this agreement the Contractor certifies and affirms that it is Contractor's equal employment opportunity policy that:

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

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

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

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

12. 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 Exhibit A, the terms of this Exhibit A shall control.

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

14. 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.

15. 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.

16. 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.

17. 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.

18. 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.

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

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

NYS Department of Economic Development
Division for Small Business
Albany, New York 12245
Telephone: 518-292-5100
Fax: 518-292-5884
email: opa@esd.ny.gov

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

NYS Department of Economic Development
Division of Minority and Women's Business Development
633 Third Avenue
New York, NY 10017
212-803-2414
email: mwbecertification@esd.ny.gov
<https://ny.newnycontracts.com/FrontEnd/VendorSearchPublic.asp>

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

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

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

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

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

20. RECIPROCITY AND SANCTIONS PROVISIONS. Bidders are hereby notified that if their principal place of business is located in a country, nation, province, state or political subdivision that penalizes New York State vendors, and if the goods or services they offer will be substantially produced or performed outside New York State, the Omnibus Procurement Act 1994 and 2000 amendments (Chapter 684 and Chapter 383, respectively) require that they be denied contracts which they would otherwise obtain.

NOTE: As of May 15, 2002, the list of discriminatory jurisdictions subject to this provision includes the states of South Carolina, Alaska, West Virginia, Wyoming, Louisiana and Hawaii. Contact NYS Department of Economic Development for a current list of jurisdictions subject to this provision.

21. COMPLIANCE WITH NEW YORK STATE INFORMATION SECURITY BREACH AND NOTIFICATION ACT.

Contractor shall comply with the provisions of the New York State Information Security Breach and Notification Act (General Business Law Section 899-aa; State Technology Law Section 208).

22. 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.

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

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

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

25. 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: <http://www.ogs.ny.gov/about/regs/docs/ListofEntities.pdf>

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

During the term of the Contract, should the state agency receive information that a person (as defined in State Finance Law §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.

NYSIF EXHIBIT 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 NYSIF Exhibit B are expressly incorporated in and applicable to the resulting procurement contracts let by NYSIF 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. NYSIF Exhibit A Standard Clauses
- b. Contract and other writing(s) setting forth the final agreements, clarifications and terms between the Bid Documents and Contractor's Bid. Clarifications must be specifically noted in writing as to 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.
- c. Bid Documents (Other than Exhibit A).
- d. NYSIF Exhibit B (General Specifications).
- e. Contractor's Bid or Proposal.

BID SUBMISSION**5. NOTIFICATION TO ALL BIDDERS**

NYSIF is responsible for providing addenda or responding to questions from prospective Bidders. If it is necessary to revise the Bid Documents before the due date for bids, amendments will be posted on NYSIF's website: www.nysif.com/procurement.

By submitting a bid, Bidders are certifying they are qualified to perform the proposed work. Bidders shall have the necessary staff, equipment, compliance, etc. as set forth in the Bid Documents.

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. NYSIF 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 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. LATE BIDS

For purposes of Bid openings held and conducted by NYSIF, a Bid must be received in such place as may be designated in the Bid Documents at or before the date and time established in the Bid Specifications for the Bid opening.

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 awards; and acceptance of the late Bid is in the best interests of NYSIF. Bids submitted for continuous or periodic recruitment contract awards must meet the submission requirements associated with their specifications. Delays in United States mail deliveries or any other means of transmittal, including couriers or agents of NYSIF 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 by NYSIF relative to Bid timeliness shall be final.

10. BID CONTENTS

Bids must be complete and legible. All Bids must have original signatures. 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 NYSIF 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 NYSIF after the time specified for the Bid opening, will not be considered.

11. ERRORS AND OMISSIONS

If a Bidder discovers any ambiguity, conflict, discrepancy, omission or other error in Bid Documents, immediately notify one of the Designated Contacts of such error and request the clarification or modification thereof. Notice to NYSIF of any problems described above must be made in writing and received at NYSIF on or before the date and time shown as the final date for Bidder inquiries. Any modifications deemed necessary by NYSIF shall be given by written notice and posted on NYSIF's Procurement website (www.nysif.com/procurement).

If prior to the final filing date for submission of a bid, a Bidder fails to notify NYSIF of a known error or an error that reasonably should have been known, the Bidder shall assume the risk. If awarded the contract, the Bidder shall not be entitled to additional compensation or time by reason of the error or its late correction.

12. EXTRANEIOUS 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 must be specifically enumerated in the "Comments and Limitations" section of the proposer's bid response; and
- b. The Bidder 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, deletion, 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 NYSIF 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).

13. CONFIDENTIAL/TRADE SECRET MATERIALS

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 NYSIF 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 at the time of bid submission, 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.

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 NYSIF 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 NYSIF, 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.

14. 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 contracts@nysif.com.

15. 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 proprietary information, a written request to NYSIF to not disclose such information must accompany the Bid. 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 proprietary information. Where a Freedom of Information request is made for a trade secret or proprietary information, NYSIF 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.

16. 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 NYSIF 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 Mini-Bid solicitations, the payroll records must be submitted to the entity preparing the agency Mini-Bid project specification. For “agency specific” Bids, the payroll records should be submitted to the entity issuing the purchase order. For all other OGS Centralized Contracts, such records should be submitted to the individual agency issuing the purchase order(s) for the work. Upon mutual agreement of the Contractor and NYSIF, 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 bylaw.

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.

17. 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 NYSIF 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 NYSIF 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. 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.

18. EXPENSES PRIOR TO CONTRACT EXECUTION

NYSIF is 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.

19. ADVERTISING RESULTS

The prior written approval of NYSIF 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 NYSIF relative to the Bid or Contract for press or other media releases.

20. 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. NYSIF’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.

21. 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.

22. 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 NYSIF. 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 NYSIF under this Contract. Contractor shall be solely liable for any costs of acquisition associated therewith. Contractor fully indemnifies the NYSIF 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 disability benefits (form C-105.2 and form DB-120.1, respectively), 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 herein, 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 NYSIF. 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 NYSIF and pass through the manufacturer’s standard commercial warranty to NYSIF 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, 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 NYSIF shall in no event be liable or responsible for such costs.

Any part of component replaced by the Contractor under the Contract warranty shall be replaced at no cost to NYSIF 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.

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 NYSIF, 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 NYSIF.
- d. **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 NYSIF.
- e. **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 NYSIF, shall be immediately reduced to the lower price.
- f. **Price Decreases** 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

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) 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. 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 NYSIF, 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 Commissioner’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/Services. 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. 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 NYSIF 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** NYSIF 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 NYSIF 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 NYSIF 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, NYSIF 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, NYSIF) 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 NYSIF the sample or product submitted is not in accordance with the specifications or testing requirements prescribed in the Bid Specifications, NYSIF may reject the Bid. If an award has been made, NYSIF 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 NYSIF, 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.

BID EVALUATION

28. BID EVALUATION

NYSIF reserves the right to accept or reject any and all Bids, or separable portions of offers, and waive technicalities, irregularities, and omissions if NYSIF determines the best interests of the State will be served. NYSIF, in its sole discretion, may accept or reject illegible, incomplete or vague Bids and its 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.

29. 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.

30. CLARIFICATIONS / REVISIONS

Prior to award, NYSIF reserves the right to seek clarifications from Bidders on the contents of the bid/proposals Other than to provide such information as may be requested by NYSIF, no Bidder will be allowed to alter its proposal or add new information after the final filing date and time. Failure to provide requested information may result in rejection of the Bid.

31. PROMPT PAYMENT DISCOUNTS

While prompt payment discounts will not be considered in determining the low Bid, NYSIF 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.

32. 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 NYSIF to award a Contract to one or more of such Bidders shall be final.

33. PERFORMANCE AND RESPONSIBILITY QUALIFICATIONS

NYSIF 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 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 NYSIF 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, NYSIF may reject such Bid or terminate the Contract.

34. 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-responsible.

35. QUANTITY CHANGES PRIOR TO AWARD

NYSIF 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.

36. TIMEFRAME FOR OFFERS

NYSIF reserves the right to make awards within one hundred eighty (180) 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 one hundred eighty (180) 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 NYSIF 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 NYSIF, be accepted or rejected.

ADMINISTRATIVE**37. NYSIF PREROGATIVES**

The contract award is subject to the availability of funds. Moreover, NYSIF is not liable for any costs incurred by any firm for work performed to prepare its proposal or for any travel and/or other expenses incurred in the preparation and/or submission of its proposal or with respect to any presentation/interview that may be required by NYSIF. Further, NYSIF is not liable for any costs incurred by the successful Bidder for services performed or costs incurred until the contracting process has been completed and all required approvals obtained.

NYSIF reserves the right to exercise the following:

- a. Withdraw the IFB/RFP at any time, at NYSIF's sole discretion;
- b. Make an award under the IFB/RFP in whole or in part;
- c. Reject any or all bids received in response to the solicitation;
- d. Cancel or limit the scope of the contract for any reason;
- e. To not award a contract;
- f. Seek clarifications and revisions of proposals;
- g. Accept a bid for the contract other than the lowest cost;
- h. Make multiple contract awards pursuant to the solicitation;
- i. Waive any requirements that are not material;
- j. Eliminate mandatory requirements unmet by all Bidders;
- k. Change any of the scheduled dates;
- l. Waive or modify minor irregularities in bids received after prior notification to the Bidder;
- m. Consider modifications to bids at any time before the award is made, if such action is in the best interest of NYSIF;
- n. Amend and modify the specifications after their release and post to NYSIF's procurement website (www.nysif.com/procurement);
- o. Disqualify any Bidder whose conduct and/or proposal fails to conform to the requirements of the IFB/RFP;
- p. Reject/disqualify a bid if, in NYSIF's sole opinion, the bid price is determined to be excessive;
- q. 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 a Bidder's proposal and/or to determine a Bidder's compliance with the requirements of the solicitation;
- r. 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 IFB/RFP
- s. Review Bidder's records used in determining bid;
- t. Require the Bidder to demonstrate to the satisfaction of NYSIF any feature(s) presented as a part of its bid;
- u. Investigate or make any inquiry into the capabilities of any Bidder to properly perform under any resultant contract;
- v. Make inquiries, at NYSIF's discretion and by means which it may choose, into the Bidder's background or statements made in the bid to determine the truth and accuracy of all statements made therein;
- w. Adjust or correct Bidders' mathematical errors and waive or modify other minor irregularities in proposals received, after prior notification to the Bidder;
- x. Request any additional information deemed necessary for proper evaluation of bids;
- y. Adopt as NYSIF property all submitted bids and to use any portions thereafter which are not specifically noted as proprietary by the submitting firms;
- z. Utilize any and all ideas submitted in the proposals received;

- aa.** Adopt all or any part of a Bidder's proposal in selecting the optimum configuration;
- bb.** In any case where a question of non-performance of a contract arises, payment may be withheld in whole or in part at the discretion of NYSIF. Should the amount withheld be finally paid, a cash discount originally offered may be taken by NYSIF as if no delay in payment had occurred;
- cc.** Submission of an invoice and payment, or electronic transmission, thereof by NYSIF shall not preclude NYSIF from obtaining reimbursement or demanding a price adjustment in any case where the service delivered is found to deviate from the terms and conditions of the bid and award documents. Any delivery made which does not meet such terms and conditions may be rejected, or accepted on an adjusted price basis as may be determined by NYSIF;
- dd.** Reject an obviously unbalanced bid or to make "NO AWARD" on individual listings or sub-items if individual bid prices are deemed to be unbalanced or excessive or if an error in the solicitation becomes evident. In such case, ranking and evaluation of bids may be made on remaining items. Award would be made on the remaining items. The determination of an unbalanced bid shall be at the sole discretion of NYSIF. Options contained in this paragraph shall also be at NYSIF's sole discretion;
- ee.** Terminate the contract(s) if it deems the price adjustment pursuant to the solicitation or contract is not in the best interests of NYSIF or the State;
- ff.** ff. Implement changes in price based on unforeseen factors such as dramatic changes in availability, delivery, costs, etc., for product, supplies, etc., that substantively affect the contractor's business processes or that may impact contract pricing. Such changes may be based on information from the U.S. Bureau of Labor Statistics, industry data, or other sources;
- gg.** After an unsuccessful attempt to speak with the contact person noted on the reference form, survey another person knowledgeable and familiar with the Bidder from the submitted reference due to time constraints;
- hh.** Review and consider other known clients of the Bidder in addition to those provided, including NYSIF, and to disqualify based on unsatisfactory reports and/or records of services provided;
- ii.** Reject all bids which do not comply with the bid specifications. However, NYSIF may elect to award to the Bidder who receives the highest overall combined evaluation score providing that the Bidder's non-compliance is deemed by NYSIF to be non-material to overall performance of the services;
- jj.** Invalidate a Bidder's scores at any time during the evaluation process if the Bidder's bid is deemed non-responsive or is disqualified;
- kk.** Evaluate, accept and/or reject any and all bids, in whole or in part, and waive technicalities, irregularities and omissions if, in NYSIF's considered judgment, the best interests of NYSIF will be served. Separable portions of offers may also be accepted or rejected. In the event compliant bids are not received, NYSIF reserves the right to consider late or non-conforming bids as offers;
- ll.** ll. Stop the work covered by this solicitation and any contract(s) resulting there from at any time that it is deemed the successful Bidder is unable or incapable of performing the work to NYSIF's satisfaction;
- mm.** Disqualify a Bidder from receiving the award if the Bidder, or anyone in the Bidder's employ, has previously failed to perform satisfactorily in connection with public bidding or contracts;
- nn.** Negotiate with Bidders to serve the best interests of the State and NYSIF;
- oo.** Begin contract negotiations with another Bidder in order to serve the best interests of NYSIF in the event that NYSIF is unsuccessful in negotiating a contract with the selected Bidder;
- pp.** Split the contract between several Bidders;
- qq.** If a contract is not approved by the State Comptroller or the Department of Financial Services, where applicable, or if a contract is awarded but terminated within 120 days, NYSIF reserves the right to contract with the next lowest Bidder (IFB)/next highest ranking offer (RFP);
- rr.** If two or more bids are found to be substantially equivalent, NYSIF, at its sole discretion, will determine award;
- ss.** Unless otherwise specified in the solicitation, every offer is firm and not revocable for a period of 180 days from the bid opening;
- tt.** Accept or reject any of the Bidder's employees assigned to this contract and to require their replacement at any time
- uu.** Consider amendments which are not specifically covered by the terms of the contract but are judged to be in the best interest of NYSIF and/or the State;
- vv.** Have any service completed via separate competitive bid or other means, as determined to be in the best interest of NYSIF;

- ww. Adjust any Bidder's expected costs of the bid price based on a determination of the evaluation committee that the selection of the said Bidder will cause the State to incur additional costs.

38. NEW YORK STATE PROCUREMENT RIGHTS

To enable the State to acquire commodities, technology and services at the lowest price or best value from responsible and responsive bids, the State reserves the rights to:

- a. Define requirements to meet Agency needs and to modify, correct and clarify requirements at any time during the process provided the changes are justified and maintain fairness in contracting with the business community;
- b. Accept and/or reject any or all bids, and waive technicalities or portions of the bids in the best interest of the State;
- c. Establish terms and conditions which must be met by all Bidders and/or, where permitted by the solicitation, eliminate mandatory requirements that are not met by any Bidder;
- d. Establish, where permitted by solicitation, conditions under which the scope of the contract can be expanded and criteria for price increases or decreases during the contract period;
- e. Award contracts for any or all parts of the bid solicitation in accordance with the Method of Award;
- f. Consider every bid as firm and not revocable for a period of up to one hundred eighty (180) days from the bid opening or such other period of time specified in the solicitation. Subsequent to such one hundred eighty (180) day or other specified period, a bid may be withdrawn in writing.
- g. Have the option to require a bond or other guarantee of performance, and to approve the amount, form and sufficiency thereof.

39. BIDDER CERTIFICATION REQUIREMENTS

Any company submitting a bid in response to this solicitation *must certify in writing* acceptance of the following contract conditions which relate to consideration of the bid:

- a. NYSIF reserves the sole right of judgment and acceptance of a company's written bid.
- b. The submitted bid must remain in effect for one hundred-eighty (180) days from the bidding deadline. However, a non-successful Bidder may withdraw its bid any time after the selection of the successful Bidder, upon written notice to NYSIF. Bidders whose bids have been rejected by NYSIF shall be notified of such rejection.
- c. Compensation shall be paid by the State of New York, in accordance with its standard payment practices.
- d. The Bidder certifies that, if selected, all services described in the bid document can and will be provided.
- e. The successful Bidder agrees to submit an Equal Employment Opportunity Policy Statement and Staffing Plan to NYSIF, upon request, as outlined under Participation of New York State Business Enterprises.
- f. The Bidder warrants that, if selected, it will not delegate, assign, encumber or subcontract, in whole or in part, its agreement and/or its responsibilities under the contract without prior written approval from NYSIF.

For any bid that includes services to be provided by subcontract with a third party, the Bidder will be responsible for the conduct and performance of the third party. NYSIF will consider the Bidder to be the prime contractor and the sole point of contact in regard to any contractual items specified or required in the bid documents.

The Bidder should obtain the consent of the proposed subcontractor and include it in the bid.

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

- g. The Bidder warrants that all information provided by it in connection with this bid is true and accurate.
- h. The Bidder agrees not to make any claims for or have any right to damages because of any misinterpretation or misunderstanding of the specifications or because of any lack of information.
- i. The Bidder warrants that the prices in this bid have been arrived at independently without collusion, consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other Bidder or with any competitor. Unless otherwise required by law, the Bidder certifies that 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 the opening, directly or indirectly, to any Bidder or competitor and no attempt has been made or will be made by the Bidder to induce any other person, partnership, or corporation to submit or not submit a bid for the purpose of restricting competition. In addition, a Bidder is prohibited from making multiple bids in a different form (e.g., as prime Bidder and as a subcontractor to another prime Bidder).

A Bidder must include a statement in the bid describing all actual or potential relationships which may be considered to be a “conflict of interest.” The “conflict of interest” will be taken under consideration by NYSIF's Bid Evaluation Committee. The Committee's determination of a disqualifying “conflict of interest” is final.

- j. Disclose any existing or contemplated relationship with any other person or entity, including relationships with any member, shareholders of 5% or more, parent, subsidiary, or affiliated firm, which would constitute an actual or potential conflict of interest or appearance of impropriety, relating to other clients/customers of the Respondent or former officers and employees of the Agencies and their Affiliates, in connection with your rendering services enumerated in this RFP. If a conflict does or might exist, please describe how your Staffing Firm would eliminate or prevent it. Indicate what procedures will be followed to detect, notify the Agencies of, and resolve any such conflicts.
- k. The Bidder must disclose whether it, or any of its members, shareholders of 5% or more, parents, affiliates, or subsidiaries, have been the subject of any investigation or disciplinary action by the New York State Commission on Public Integrity or its predecessor State entities (collectively, “Commission”), and if so, a brief description must be included indicating how any matter before the Commission was resolved or whether it remains unresolved.

A Bidder must include a statement in the bid describing all actual or potential relationships which may be considered to be a “conflict of interest.” The “conflict of interest” will be taken under consideration by NYSIF's Bid Evaluation Committee. The Committee's determination of a disqualifying “conflict of interest” is final.

- l. The Bidder will conform to all provisions of NYSIF Exhibit A, *Standard Clauses*.
- m. The Bidder agrees that no New York State or local sales tax, transportation tax or Federal excise tax will be charged on any part of this project since NYSIF is an agency of the State of New York and tax exempt by statute.
- n. The Bidder will save and hold harmless NYSIF and its management from all claims, suits, litigation and legal liability from any acts or omissions committed by the Bidder during the course of the contract.
- o. The contractor is an independent contractor of the State and may not hold itself out nor claim to be an officer, employee or subdivision of the State nor may contractor make any claim, demand or application to or for any right based upon any different status.
- p. 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, at the contractor's expense. Prior to award and during the Contract term and any renewals thereof, Contractor must establish to the satisfaction of NYSIF 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 NYSIF. Failure to comply or failure to provide proof may constitute grounds for NYSIF to cancel or suspend the Contract, in whole or in part, or to take any other action deemed necessary by NYSIF. Furthermore:
 - Contractor agrees to disclose information and provide affirmations and certifications to comply with Sections 139-j and 139-k of the State Finance Law.
 - Contractor agrees to cooperate with NYSIF's periodic risk assessment of Contractor and the continued adequacy of its cybersecurity practices, in accordance with 23 NYCRR 500.11(a)(4) of the *Cybersecurity Requirements for Financial Services Companies*, as promulgated by the Department of Financial Services.
- q. All contractors and contractor employees must be aware of and comply with the requirements of the New York State Public Officers Law, all other appropriate provisions of New York State Law, and all resultant codes, rules and regulations from State laws establishing the standards for business and professional activities of State employees, and governing the conduct of employees of firms, associations and corporations in business with the State. In signing the bid, each Bidder has guaranteed knowledge and full compliance with those provisions for this and any other dealings, transactions, sales, contracts, services, offers or relationships involving the State and/or State employees. Failure to comply with those provisions may result in disqualification from the bidding process and in other civil or criminal proceedings as required by law.
- r. As a general rule and in accordance with New York Public Officers law, former employees of NYSIF may neither appear nor practice before NYSIF, nor receive compensation for services rendered on a matter before NYSIF, for a period of two years following their separation from NYSIF. In addition, former NYSIF are subject to a “lifetime bar” from appearing before NYSIF receiving compensation for services regarding any transaction in which they personally participated or which was under their active consideration during their tenure with NYSIF.
- s. Bidder 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”). Bidder 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 RFP or subsequent contract shall be assigned in accordance with all Ethics Requirements. During the Term, no person who is employed by Bidder or is Subcontractors and who is disqualified from providing services under the RFP or subsequent contract pursuant to any Ethics Requirements may share in any net revenues of the Contractor or its Subcontractors derived from a Contract. Bidder shall identify and provide the State with notice of those employees of Bidder and its Subcontractors who are former employees of the State that will be assigned to perform services under this RFP or subsequent Contract, and make sure that such employees comply with all applicable laws and prohibitions. The State may request that Bidder provide it with whatever information that State deems appropriate about each such person's engagement, work cooperatively with the State to solicit advice from the New York State Joint Commission on Public Ethics, and, if deemed appropriate by the State, instruct any such person to seek the opinion of the New York State Joint Commission on Public Ethics. The State shall have the right to withdraw or withhold approval of any Subcontractor if utilizing such Subcontractor for any work performed hereunder would be conflict with any of the Ethics Requirements. The State shall have the right to terminate the Contract at any time if any work performed hereunder is in conflict with any of the Ethics Requirements.

- t. Bidder hereby reaffirms the attestations made in its proposal and covenants, and represents that there is and shall be no actual or potential conflict of interest that could prevent Bidder's satisfactory or ethical performance of duties required to be performed pursuant to the terms of the RFP or subsequent Contract. Bidder shall have a duty to notify NYSIF immediately of any actual or potential conflicts.
- u. If NYSIF impedes or causes any delay in the completion of the Contractor's work, then NYSIF should be notified immediately in writing of the delay and the reason(s) for such delay.
- v. Tax Law 5-a is in effect for all solicitations to purchase issued by covered agencies on or after January 1, 2005. It applies to contracts where (1) the total amount of such persons' 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, subcontractors, or affiliates of 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, and (2) the contracts or agreements with state agencies or public authorities for the sale of commodities or services having a value in excess of \$100,000. The law imposes upon certain contractors the obligation to certify whether or not the contract, its affiliates, its subcontractors and affiliates of the subcontractors are required to register to collect state sales and compensating use tax.
- w. Pursuant to State Finance Law Sections 139-j and 139-k, this solicitation includes and imposes certain restrictions on communications between NYSIF and a Bidder during the procurement process. A Bidder is restricted from making contacts from the earliest notice of a solicitation release through final award and approval of the Procurement Contract by NYSIF and, if applicable, Office of the State Comptroller or Department of Financial Services ("restricted period") to other than designated staff unless it is a contact that is included among certain statutory exceptions set forth in State Finance Law Section 139-j (3)(a). Designated staff, as of the date hereof, is identified in the solicitation document (see INQUIRIES/ISSUING OFFICE/DESIGNATED CONTACT). NYSIF employees are also required to obtain certain information when contacted during the restricted period and make a determination of the responsibility of the Bidder pursuant to these two statutes. Certain findings of non-responsibility can result in rejection for contract award, and in the event there are two findings within a 4 year-period, the Bidder is debarred from obtaining governmental Procurement Contracts.
- x. Bidder has provided "Appendix V – Vendor Assurance of No Conflict of Interest or Detrimental Effect", signed by an authorized executive or legal representative attesting that the Bidder's performance of the services does not and will not create a conflict of interest with, nor position Bidder to breach any other contract currently in force with, the State of New York, and that Bidder will not act in any manner that is detrimental to any State of New York project on which Bidder is rendering services.
- y. In conjunction with any subcontract under this RFP or subsequent Contract, the Bidder shall obtain and deliver to NYSIF, prior to entering into a subcontract, an "Appendix V- Vendor Assurance of No Conflict of Interest or Detrimental Effect", signed by an authorized executive or legal representative of the subcontractor. Bidder shall also require in any subcontracting agreement that the subcontractor, in conjunction with any further subcontracting agreement, obtain and deliver to NYSIF a signed and completed Appendix V for each of its subcontractors prior to entering into a subcontract.
- z. NYSIF and Bidder recognize that conflicts may occur in the future because the Bidder may have existing, or may establish new relationships. The NYSIF will review the nature of any relationships and reserves the right to terminate any contract for any reason, or for cause, if, in the judgement of NYSIF, a real or potential conflict of interest cannot be cured.

40. PARTICIPATION OF NYS BUSINESS ENTERPRISES

It is the policy of New York State to maximize the 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.

For all contracts estimated to be \$25,000 or more:

- a. Contractors and subcontractors shall undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, affirmative action shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff or termination and rates of pay or other forms of compensation.
- b. Prior to the award of a State contract, the contractor shall submit an Equal Employment Opportunity Policy Statement to NYSIF within the time frame established by NYSIF.
- c. The contractor's EEO Policy Statement shall contain, but not necessarily be limited to, and the contractor, as a precondition to entering into a valid and binding State contract, shall, during the performance of the State contract, agree to the following:
 - i. The contractor will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will undertake or continue existing EEO programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination, and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force.
 - ii. The contractor shall state in all solicitations or advertisements for employees that, in the performance of the contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.
 - iii. ONLY FOR CONTRACTS WITH A TOTAL EXPENDITURE IN EXCESS OF \$250,000: 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.
 - iv. 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, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.
 - v. The Contractor will include the provisions of Subdivisions (i) through (iv) of this Subsection c, which provides for relevant provisions of the Human Rights Law, in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each Subcontractor as to work in connection with the Contract.
 - vi. At the request of NYSIF, 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.
- d. Except for construction contracts, prior to award of a State contract, the contractor shall submit to NYSIF a staffing plan of the anticipated work force to be utilized on the State contract or, where required, information on the contractor's total work force, including apprentices, broken down by specified ethnic background, gender and Federal Occupational Categories or other appropriate categories specified by NYSIF. The form of the staffing plan shall be supplied by NYSIF.
- e. After an award of a State contract, the contractor shall submit to the contracting agency a work force utilization report, in a form and manner required by the agency, of the work force actually utilized on the State contract, broken down by specified ethnic background, gender and Federal Occupational Categories or other appropriate categories specified by the contracting agency.

(Note: The contractor shall include the language of the above provisions in every subcontract in such a manner that the requirements of the provisions will be binding upon each subcontractor as to work in connection with the State contract. This includes the requirement that subcontractors shall undertake or continue existing programs of affirmative action to ensure that minority group members and women are afforded equal employment opportunities without discrimination, and, when requested, provide to the contractor information on the ethnic background, gender and Federal Occupational Categories of

the employees to be utilized on the State contract.)

41. DEBRIEFING

Any unsuccessful Bidder may request a debriefing by notifying NYSIF in writing within seven (7) business days after receiving notification of the contract non-award. All requests for debriefings shall be emailed to contracts@nysif.com. The debriefing shall be addressed within 30 days of receipt of the written request, or as soon after that time as practicable under the circumstances.

A debriefing will be limited to a review of an unsuccessful Bidder's own submission and the scoring of that submission. An unsuccessful Bidder is not entitled to review the submission of the successful Bidder beyond being informed of the total scoring of the successful Bidder. Generally, NYSIF will provide a written response to debriefing requests, providing the unsuccessful Bidder with the top score, average score, and Bidder's score for each of the major evaluation categories as well as the Bidder's ranking in each.

42. NYSIF'S VENDOR PROTEST PROCEDURE

NYSIF's Vendor Protest Procedure (Protest), which provides vendors with an opportunity to administratively resolve disputes related to NYSIF's procurement decisions, is as follows:

a. Protesting NYSIF's Procurement Decisions

i. Protest Phases

Solicitation Phase Protest

A prospective proposer, Offeror or Bidder may, during the procurement solicitation phase, protest the content of a Request for Proposal (RFP) or Invitation for Bid (IFB) or any aspect of NYSIF's conduct of the solicitation phase of the procurement.

Such protests must be submitted in writing to NYSIF's Director of Administration, via certified mail or overnight mail service, and must be received by NYSIF no later than 1:00 p.m. on the 7th (seventh) business day prior to the date when proposals or bids are due. Solicitation phase protests are to be addressed as follows:

*Director of Administration
New York State Insurance
Fund 15 Computer Drive
West Albany, NY 12205
Attn: Vendor Protest*

Post Award Protest

An actual proposer, Offeror or Bidder that has submitted a bid or proposal in response to a solicitation may protest the award of the contract for that solicitation. Such protest must be submitted in writing to NYSIF's Director of Administration, via certified mail or overnight mail service, and must be received by NYSIF no later than 1:00 p.m. on the 10th (tenth) business day following: 1) NYSIF's issuance of a Notice of Contract Award or Bid Tab Certification or; 2) NYSIF's issuance of a letter to the Bidder indicating that its proposal was not selected. Post award protests are to be addressed as follows:

*Director of Administration
New York State Insurance
Fund 15 Computer Drive
West Albany, NY 12205
Attn: Vendor Protest*

ii. Protest Contents

Written protests must contain all the detail necessary for the Director of Administration to evaluate the protester's issue and make a determination. The written protest must, at a minimum, include the following:

- Name and title of person(s) filing the protest;
- Company name and address, telephone and fax numbers, and email address;
- The solicitation title and number;
- A detailed statement of all legal and/or factual grounds for disagreement with a specification or a procurement determination;
- A statement as to the form of relief requested; and
- Copies of all applicable supporting documentation.

b. Protest Determination

NYSIF's Director of Administration shall make a determination for every solicitation phase and post award protest submitted in accordance with this Procedure. A copy of the decision, stating the reason(s) upon which it is based and informing the protester of the right to appeal an unfavorable decision to the General Attorney of NYSIF, shall be sent to the protester or its agent by regular mail within thirty (30) days of receipt of the protest, except that upon notice to the protester such period may be extended.

NYSIF shall include the protest and all determinations thereon in the Procurement Record relevant to the bid being protested."

c. Appeal Process

Should the protester be dissatisfied with NYSIF's Director of Administration's determination, the protester may file a written appeal. Such written appeal must be sent via certified mail or overnight mail service and must be received by NYSIF no later than 1:00 p.m. of the 10th (tenth) business day following the protester's receipt of the determination. The appeal should be directed to NYSIF's General Attorney at the following address:

*General Attorney
New York State Insurance
Fund 15 Computer Drive
West Albany, NY 12205
Attn: Vendor Protest*

An appeal of the decision shall not include any new facts and information unless requested in writing by the General Attorney.

The final determination on the appeal shall be issued within thirty (30) days of receipt of the appeal, except that upon notice to the protester such period may be extended. The decision of the General Attorney shall be a final and conclusive agency determination.

For contracts requiring approval by the Office of the State Comptroller (OSC), the protester may appeal to OSC directly. See <http://www.osc.state.ny.us/agencies/guide/MyWebHelp/Content/XI/17.htm> for further information.

d. Legal Appeals

Nothing contained in these provisions is intended to limit or impair the rights of any vendor or contractor to seek and pursue remedies of law through the judicial process.

NYSIF EXHIBIT C

CONTRACT PROVISIONS

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1. CONTRACT DOCUMENTS

The contract documents consist of the contract agreement, proposal, bid document specifications, addenda issued prior to receipt of bids, and all subsequent modifications and changes issued pursuant to the bid documents.

The contract represents the agreement between the parties and supersedes all prior negotiations, representations and agreements, whether written or oral, including the bidding documents which may have resulted from the Bid Documents.

The contract may be revised, modified and/or amended by mutual written consent of both parties and where applicable the approval of the NYS Attorney General (AG), Office of the State Comptroller (OSC) or the Department of Financial Services (DFS). The contract is made in accordance with the laws of New York State.

2. TERM

In addition to any stated renewal periods in the Contract, any Contract or unit portion thereof let by NYSIF may be extended by NYSIF for an additional period(s) of up to one year with the written concurrence of the Contractor and, where required, OSC or DFS approval. Such extension may be exercised on a month to month basis or in other stated periods of time during the one year extension.

3. TERMINATION OF CONTRACT

- 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 may be terminated by NYSIF 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, NYSIF may complete the contractual requirements in any manner it may deem advisable and pursue available legal or equitable remedies for breach. NYSIF shall have the right to award a new contract to a third party. In the event of termination for cause, NYSIF shall seek recovery damage incurred by NYSIF and the reasonable re-procurement costs associated in reassigning the contract.
- b. **For Convenience:** This Contract may be terminated at any time by NYSIF 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, NYSIF 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 Non-Responsibility:** Upon written notice to the Contractor, and a reasonable opportunity to be heard with appropriate NYSIF officials or staff, the contract may be terminated by NYSIF at the Contractor's expense where the Contractor is determined by NYSIF to be non-responsible. In such event, NYSIF may complete the contractual requirements in any manner it may deem advisable and pursue available legal or equitable remedies for breach.
- d. **For Violation of the Sections 139-j and 139-k of the State Finance Law:** NYSIF 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, NYSIF may exercise its termination right by providing written notification to the Contractor in accordance with the written notification terms of the Contract.
- e. **For Violation of Revised Tax Law 5a:** NYSIF 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, NYSIF may exercise its termination right by providing written notification to the Contractor.
- f. **Conflicts of Interest:** NYSIF reserves the right to review the nature of relationships and reserves the right to terminate the contract for any reason, or for cause, if, in the judgement of NYSIF, a real or potential conflict of interest cannot be cured.

4. SUSPENSION OF WORK

- a. **For Convenience:** NYSIF may order the contractor in writing to suspend performance of all or any part of the work for a reasonable period of time, not to exceed thirty (30) days, as determined by NYSIF.

Upon receipt of a suspension order, the contractor shall, as soon as practicable, cease performance of the work as ordered.

The contractor specifically agrees that a suspension, interruption or delay of the performance of the work pursuant to this proposal shall not increase the cost of performance of the work of this contract.

- b. **For Non-Responsibility:** NYSIF, in its sole discretion, reserves the right to suspend any or all activities under this contract, at any time, when NYSIF discovers information that calls into questions the responsibility of the Contractor. In the event of

such suspension, the Contractor will be given written notice outlining the particulars of such suspension. Upon issuance of such notice, the Contractor must comply with the terms of the suspension order. Contract activity may resume at such time as NYSIF issues a written notice authorizing a resumption of performance under the contract.

5. VENDOR RESPONSIBILITY

The contractor shall at all times during the contract term remain responsible. The Contractor agrees, if requested by NYSIF, to present evidence of its continuing legal authority to do business in New York State, integrity, experience, ability, prior performance, and organizational and financial capacity.

6. 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 NYSIF in the performance of the Contract which non-performance, by exercise of reasonable diligence, cannot be prevented. Contractor shall provide NYSIF with written notice of any force majeure occurrence as soon as the delay is known.

Neither the Contractor nor NYSIF 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 NYSIF 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 NYSIF where the delay or failure will significantly impair the value of the Contract to the State, NYSIF may:

- a. Accept allocated performance or deliveries from the Contractor. The Contractor, however, hereby agrees to grant preferential treatment to NYSIF 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 NYSIF; 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, NYSIF reserves the right, in its 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.

7. DISASTER RECOVERY PLAN

A. Disaster Recovery Plan

Contractor shall develop and deliver, upon request, to NYSIF on or before a date as reasonably determined by NYSIF, and at no additional cost to NYSIF, a Disaster Recovery Plan for the services which is acceptable to NYSIF and all appropriate regulatory organizations having jurisdiction over Contractor. The Disaster Recovery Plan, which will apply specifically and exclusively to the services under this Agreement, shall provide a description of the Plan Assumptions, Recovery Strategy, Disaster Declaration, Plan Notification and Activation, and Recovery Resources. Contractor shall make available at its premises its Master Disaster Recovery Plan applicable to all of its operations for review by NYSIF. NYSIF's approval of the disaster Recovery Plan shall not be unreasonably withheld. Review and acceptance of any Disaster Recovery Plan as may be required by any such regulatory organization shall be the responsibility of Contractor. The Disaster Recovery Plan shall provide, at a minimum, for Contractor to provide alternate electrical power for uninterrupted service. The Disaster Recovery Plan shall also designate one or more facilities (each a "Disaster Recovery Site") or separate computer resources to which Contractor shall move the Services (or affected portion of such services) upon the declaration of a Disaster requiring such a relocation (including a Disaster at a Disaster Recovery Site). Each Disaster Recovery Site must be appropriately equipped with data processing equipment which the parties reasonably believe should be sufficient to provide the Services in compliance with Attachment A. The Disaster Recovery Plan must also specify all procedures for the determination or declaration of a Disaster, which determination or declaration may not be unreasonably withheld or delayed by either party.

B. Access to Disaster Recovery Plans

1. Contractor shall make available to NYSIF any reports or findings of any regulatory agency dealing with Contractor's disaster recovery capabilities to provide services hereunder, unless it is prohibited from making such disclosure by law or by any such agency, together with any reports of its independent auditors relating to such plans. Contractor shall also make available to NYSIF results of any tests of Contractor's disaster recovery facilities conducted by Contractor or any third party with respect to the services provided under the Agreement. Contractor shall provide an annual briefing to NYSIF related to its disaster recovery strategy.
2. NYSIF acknowledges that Contractor's Master Disaster Recovery Plan providing disaster recovery for these services contains highly sensitive and confidential business information. It is understood and agreed that NYSIF may examine and approve the Master Disaster Recovery Plan; however, such examination shall be limited to that portion of the plan(s) which relates to the providing of services under this Agreement. Contractor may in its discretion limit NYSIF's review of its Master Disaster Recovery Plan(s) to a review of a copy maintained at Contractor's Capital Region office and not permit any copies to be made.

C. Disaster Event Notification

Contractor shall no later than twenty-four (24) hours after the occurrence of an event requiring activation of the Disaster Recovery Plan inform NYSIF that the plan has been activated. At that time, Contractor shall provide NYSIF with a description of the nature and extent of the disaster, an assessment of the impact on all services provided pursuant to this Agreement and a description of the specific recovery actions with their associated timeframes that have been or will be taken as part of the plan. Contractor will provide appropriate periodic updates of the recovery process as required by NYSIF.

8. 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. 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 NYSIF 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 NYSIF 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 NYSIF. Failure to meet such delivery time schedule may be grounds for cancellation of the order or, in NYSIF's discretion, the Contract.

9. WEEKEND AND HOLIDAY DELIVERY

Unless otherwise specified in the Bid Specifications, 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 NYSIF shall govern

10. 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 NYSIF 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 (FOB) destination tailgate delivery at the dock. 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 NYSIF. Any losses resulting from the Contractor's failure to deliver Product to authorized personnel shall be borne exclusively by the Contractor.

11. 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 NYSIF to be equal to or better than the specified Product must be substituted by the Contractor at no additional cost or expense to NYSIF. Unless otherwise specified, any substitution of Product prior to NYSIF's written approval may be cause for cancellation of Contract.

12. REJECTED PRODUCT

When Product is rejected, it must be removed by the Contractor from the premises of NYSIF within ten calendar days of notification of rejection by NYSIF. 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 NYSIF shall have the right to dispose of Product as its own property. The Contractor shall promptly reimburse NYSIF for any and all costs and expenses incurred in storage or effecting removal or disposition after the ten-calendar day period

13. INSPECTION AND ACCEPTANCE OF THE WORK

NYSIF will, from time-to-time, inspect the products being provided and/or the services being performed under the terms of the contract.

All products/work shall be subject to the approval of NYSIF. In the event that any of the products provided/work performed are not acceptable to NYSIF in its sole judgment, the contractor shall replace the product/correct that work in an expeditious manner at no additional cost to NYSIF.

The contractor shall, without charge, promptly correct any problems NYSIF finds do not conform to the contract documents, unless in the public interest NYSIF consents to accept such product or work with an appropriate adjustment to the contract price.

If the contractor does not promptly correct rejected product/work, NYSIF may replace such product/correct such work and charge the cost thereof to the contractor, or terminate the contract in accordance with the Agreement.

14. 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 NYSIF 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 NYSIF 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 NYSIF.

15. 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 NYSIF determines pursuant to its authority under Section 163 (10) (b) of the State Finance Law that an emergency exists requiring the prompt and immediate delivery of Product, NYSIF reserves the right to obtain such Product from any source, including but not limited to this Contract(s), if NYSIF in its sole discretion determines it 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.

16. 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 NYSIF. Failure to obtain consent to assignment from NYSIF 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 NYSIF. Prior to a consent to assignment of a Contract, or portion thereof, becoming effective, the Contractor shall submit the request to assignment to NYSIF and seek written agreement from NYSIF. The assignment agreement may be subject to the approval of AG and OSC or DFS. NYSIF reserves the right to reject any proposed assignee at its 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 NYSIF responsibilities for the Contract.

17. ASSIGNMENT OF CLAIM

Contractor hereby assigns to the State any and all 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.

18. RIGHT TO AUDIT

Contractor shall maintain accurate records and accounts of services performed and money expended under this agreement and shall furnish or make available such supplemental accounts, records or other information as are required to substantiate any estimate, expenditures or report as required by NYSIF (or its designee), or as may be necessary for auditing purposes or to verify that expenditures were made only for the purpose authorized by this agreement and consistent with all requirements as stated in the Request for Proposal. Such records and accounts and all supportive documentation shall be kept for at least six (6) years subsequent to dates of final payment hereunder, or until a final audit has been made by NYSIF (or its designee).

In case all or a part of such records are not made available for audit purposes, Contractor agrees that any cost items claimed but not supported by such records shall be disallowed, or if payment has already been made, Contractor shall, upon written demand of NYSIF, refund to NYSIF the amount disallowed.

SSAE 18 Reports:

If Contractor utilizes a Statement on Standards for Attestation Engagements (SSAE) No. 16, or Statement on Standards for Attestation Engagements (SSAE) No. 18, as developed by the American Institute of Certified Public Accountants (AICPA), within the past twenty-four months prior to the Agreement, Contractor shall provide NYSIF with a copy of Contractor's Service Organization Control (SOC) Report types 1, 2, or 3, on an annual basis. Such Report(s) shall be used for information purposes only. NYSIF reserves the right to request a copy of the Report(s) during the Agreement duration (including option periods). Production of Contractor SSAE 16 or 18 Report(s), or SOC Reports shall not take the place of NYSIF's right under the Agreement to independently audit Contractor.

19. POLICY COMPLIANCE

Contractor warrants, covenants and represents that it will comply fully with all policies and procedures of NYSIF in performance of the Contract including but not limited to security, physical, facility, documentary and cyber security rules, policies, procedures and protocols.

20. SUBCONTRACTORS / SUPPLIERS

NYSIF 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; NYSIF determines that the company is not qualified; NYSIF 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 (MWBE) Bidders as required by prior Contracts.

21. CONTRACT BILLINGS

Contractor shall provide complete and accurate billing invoices to NYSIF in order to receive payment. Invoices must contain all information required by the Contract. The Contractor is required to utilize NYSIF's electronic billing system and any related programs for all reporting and bill payment.

Submission of an invoice and payment thereof shall not preclude NYSIF 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 NYSIF, any and all information necessary to verify the accuracy of the billings. Such information shall be provided in the format requested by NYSIF and in a media commercially available from the Contractor. NYSIF may direct the Contractor to provide the information to the State Comptroller (OSC).

22. 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, NYSIF may, with or without formally Bidding: (i) Purchase from other sources; or (ii) If NYSIF 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, NYSIF may acquire acceptable replacement Product of lesser or greater quality.

Such purchases may, in the discretion of NYSIF, be deducted from the Contract quantity and payments due to 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 NYSIF. 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, NYSIF may, at its discretion, make application to exercise its right to set-off against monies due the Debtor or, under the Doctrine of Recoupment, credit NYSIF the amounts owed by the Contractor arising out of the same transactions.

- d. **Reimbursement of Costs Incurred** The Contractor agrees to reimburse NYSIF 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 NYSIF 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, NYSIF may rent substitute equipment temporarily. Any sums expended for such rental shall, upon demand, be reimbursed to NYSIF promptly by the Contractor or deducted by NYSIF 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 NYSIF 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 NYSIF the amount of such claim or portion of the claim still outstanding, on demand. NYSIF reserves the right to determine the disposition of any rebates, settlements, restitution, liquidated damages, etc., which arise from the administration of the Contract.

23. **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 NYSIF 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.

24. **PRODUCT ACCEPTANCE – HARDWARE AND SOFTWARE**

Unless otherwise provided by mutual agreement, NYSIF 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. Unless otherwise provided by mutual agreement, NYSIF shall have the option to run testing on the Product prior to acceptance. 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 by NYSIF'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.

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 NYSIF as of the expiration of that period.

25. **TOXIC SUBSTANCES**

Each Contractor furnishing a toxic substance as defined by Section 875 of the Labor Law, shall provide NYSIF with not less than two copies of a material safety data sheet, which 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 NYSIF's agency representative.

26. **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 NYSIF, as necessary to ensure delivery of Product or coordination of performance of services

27. **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 NYSIF, 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 NYSIF with certification of such insurance upon request. The Contractor remains responsible for all applicable federal, state and local taxes, and all FICA contributions.

28. EMPLOYEES, SUBCONTRACTORS AND 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 NYSIF. NYSIF 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 NYSIF'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. NYSIF reserves the right to reject and/or bar from the facility for cause any employee, Subcontractor, or agents of the Contractor.

29. OWNERSHIP OF DOCUMENTS

All drawings, specifications, computations, sketches, test data, survey results, reports and other documents including models, photographs, renderings and other material prepared for or relating to the project, including any material furnished by NYSIF are the property of NYSIF.

30. INFORMATION SECURITY CLAUSE

In the event of a Breach of Security as defined in NY CLS Gen Bus §899-aa and NY CLS State Technology Law §208, or otherwise, involving NYSIF supplied Personal Information or Private Information from systems owned, operated, sub-contracted or otherwise routed through Contractor's systems or networks, Offeror shall notify NYSIF immediately, without unreasonable delay, pursuant to the NOTICE provision of this Agreement. "Breach of Security" shall mean the unauthorized acquisition or acquisition without valid authorization of computerized data that compromises the security, confidentiality, or integrity of personal information maintained by a business. "Personal Information" shall mean any information concerning a person which, because of name, number, mark or other identifier, can be used to identify such person. "Private Information" shall mean personal information in combination with any one or more of the following data elements, when either the personal information or the data information or the data element is not encrypted or encrypted with an encryption key that has also been acquired: (i) social security number; (ii) driver's license number or non-driver identification cards number; or (iii) account number, credit or debit card number, in combination with any required security code, access code, or password which would permit access to an individual's financial account. Additionally, Offeror undertakes to, solely at its own cost and expense, provide any requisite notices that either Contractor or NYSIF would have to provide pursuant to NY CLS Gen Bus §899-aa and NY CLS State Technology Law §208, or any other applicable statute, both on behalf of Contractor and on behalf of NYSIF. Offeror's notification shall include but not be limited to a description of the categories of information that were, or are reasonably believed, to have been acquired by a person without valid authorization, including specification of which of the elements of personal information and private information were, or are reasonably believed to have been, so acquired, or as otherwise provided for by applicable law.

31. CONFIDENTIALITY CLAUSE

NYSIF Confidential Information includes but is not limited to: (i) the meaning ascribed to "Nonpublic Personal Information" in Title V of the Gramm-Leach-Bliley Act of 1999 or any successor federal statute, and the rules and regulations thereunder, all as may be amended or supplemented from time to time ("GLBA"), as it relates to NYSIF's consumers, (ii) "Protected Health Information ('PHI') as such term is defined in the Health Insurance Portability and Accountability Act of 1996, or any successor federal statute, and the rules and regulations thereunder, all as may be amended or supplemented from time to time ("HIPAA") and (iii) any personally identifiable information protected under any other applicable state or federal statute, rule or regulation.

All material made available to the contractor or its staff will remain the property of NYSIF. In addition, the contractor, subcontractor and staff shall maintain the confidentiality of all material, including the identity of any parties and content of any material to which they are exposed or have access. All improvements to applications and processes developed at NYSIF's expense and within the scope of the services provided to NYSIF shall be the sole and exclusive property of NYSIF.

The contractor will not divulge, disclose or furnish to any other party the information or processes utilized at NYSIF, disclosed to the contractor or developed by the contractor or another during the course of the project unless such information is in the public domain.

The contractor will advise NYSIF if it is engaged in a project for any other insurance company, or subsidiary, that has a Workers' Compensation or Disability Benefits product line.

Any request for information from third parties shall be reported to NYSIF in writing within 24 hours. News releases pertaining to this project will not be made without prior NYSIF approval.

32. INDEMNIFICATION

Contractor shall be fully liable for the actions of its agents, employees, partners or Subcontractors and shall fully indemnify and save harmless NYSIF from suits, actions, damages and costs of every name and description relating to personal injury and damage to real or personal tangible property and intellectual 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 NYSIF.

33. INDEMNIFICATION RELATING TO THIRD PARTY RIGHTS

The Contractor will also indemnify and hold NYSIF harmless from and against any and all damages, expenses (including reasonable attorneys' fees), claims, judgments, liabilities and costs that may be finally assessed against NYSIF 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 NYSIF's 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 NYSIF 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 NYSIF is given a refund for any amounts paid for the period during which Usage was not feasible.

34. 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 contract, or (ii) one million dollars (\$1,000,000), whichever is greater.
- b. NYSIF 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 NYSIF unless Contractor at the time of the presentation of claim shall demonstrate to the NYSIF'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 NYSIF 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 NYSIF, the Contractor, or by others

35. NON-SOLICITATION

The Contractor shall contact NYSIF employees, including employees designated by NYSIF to receive marketing material and negotiate contracts only in connection with the transaction of business set forth herein. The Contractor shall be cognizant of sections 73 and 74 of the NYS Public Officers Law, which govern the conduct of the state employees, and sections 139-j and 139-k of the NYS Finance Law which governs the conduct of the state employees and their relations with outside parties.

The Contractor shall not contact or solicit NYSIF employees in connection with any contests, lotteries, challenges, or competitions, whether or not prizes, awards, gifts, remuneration or items of value are awarded. The Contractor shall neither solicit nor market directly to any NYSIF employees in their individual capacities. If the Contractor maintains identifiable records of NYSIF employees in connection with its performance hereunder, such records shall not be commercially exploit its relationship with NYSIF nor use NYSIF, its name, trademarks or logo for any advertising, marketing or other commercial purpose without prior written approval. This clause shall survive termination of any awarded contract.

36. CONTRACTOR CONSULTANT LAW

Effective June 19, 2006, Chapter 10 of the Laws of 2006 amended the Civil Service and State Finance Laws, relative to maintaining certain information on contract employees working under State agency service and consulting contracts. State agency

consultant contracts are defined as “contracts entered into by a state agency for *analysis, evaluation, research, training, data processing, computer programming, engineering, environmental health and mental health services, accounting, auditing, paralegal, legal, or similar services*”. The amendments require that certain contract employee information be provided to the state agency awarding such contracts, the Office of the State Comptroller (OSC), the Division of the Budget (DOB) and the Department of Civil Service (CS).

To meet these new requirements, the awarded contractor agrees to complete Form A - Contractor's Planned Employment Form, and Form B – Contractor's Annual Employment Report.

For more information on this requirement, please see the NYS Office of the State Comptroller's [Guide to Financial Operations Section XI.18.C Consultant Disclosure Legislation](#).

37. INSURANCE

Prior to the commencement of the work, Contractor shall file with NYSIF Certificates of Insurance evidencing compliance with all requirements contained in the Bid Documents. Acceptance and/or approval by NYSIF do not and shall not be construed to relieve Contractor of any obligations, responsibilities or liabilities under this Agreement.

Contractor shall cause all insurance to be in full force and effect as of the commencement date of this Agreement and to remain in full force and effect throughout the term of this Agreement and as further required by this Agreement. Contractor shall not take any action, or omit to take any action that would suspend or invalidate any of the required coverages during the period of time such coverages are required to be in effect.

38. PERFORMANCE / BID BOND

NYSIF 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 NYSIF.

39. NOTICE

Any communications between NYSIF and Contractor and notices provided herein, to be given or made, shall be in writing and shall be transmitted either by:

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

Such notices shall be addressed to:

New York State Insurance
Fund Procurement Unit
15 Computer Drive West
Albany, New York 12205
Email: contracts@nysif.com
Fax: 518-437-4209

or to such addressee as may be hereafter designated by notice.

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

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

40. MODIFICATIONS TO THE AGREEMENT

This Agreement may not be modified, renewed or discharged, except as herein specifically provided, or by an agreement in writing signed by both parties and, if applicable, approved by the Office of the State Comptroller or Department of Financial Services.

During the term of the contract, the contract may be amended as changes occur within the industry. NYSIF reserves the right to consider amendments which are not specifically covered by the terms of the contract but are judged to be in the best interest of NYSIF and the State. Examples of amendments may include but are not limited to new job titles under the Department of Labor Prevailing Wages, new categories of expertise, ancillary job classifications, on-going services, etc. NYSIF or the contractor may suggest changes. If the contractor offers new job titles or services, these services may be made available under this contract and may be offered at maximum not to exceed prices. It shall be the contractor's responsibility to submit to NYSIF service changes for consideration for contract amendment. These changes, if approved, shall take effect upon written notification by NYSIF and may be subject to approval by the Office of the State Comptroller or Department of Financial Services

41. SEVERABILITY

In the event that any provision of this Agreement shall be considered void, voidable, illegal or invalid for any reason, such provision shall be of no force and effect only to the extent that it is so declared void, voidable, illegal or invalid. All of the provisions of this Agreement not specifically found to be so deficient shall remain in full force and effect.

42. CHOICE OF LAW: VENUE

This Agreement shall be governed by and construed under the laws of the State of New York, without giving effect to the choice of law or conflict of law provisions thereof.

43. COUNTERPARTS / SIGNATURES

This Agreement may be executed in counterparts, each of which when so executed will be deemed to be an original. Such counterparts together will constitute one agreement.

APPENDIX D

MacBRIDE QUESTIONNAIRE

YOU ARE REQUIRED TO ANSWER THE QUESTIONS BELOW IN ORDER TO BE CONSIDERED FOR SELECTION IN THE AWARD OF A CONTRACT WITH AN AGENCY OF THE STATE OF NEW YORK:

“NONDISCRIMINATION IN EMPLOYMENT IN NORTHERN IRELAND:
MacBRIDE FAIR EMPLOYMENT PRINCIPLES”

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

(Answer YES or NO to one or both of the following, as applicable:)

- (1) have business operations in Northern Ireland:

☐ YES

☐ NO

If yes,

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

☐ YES

☐ NO

This questionnaire should be signed by a person authorized to enter into contracts on behalf of the bidder.

Signature

Typed Name

Company Position

Company Name

Date Signed

APPENDIX E

VENDOR RESPONSIBILITY QUESTIONNAIRE

Each Contracting Agency conducts a review of prospective contractors (“vendors”) to provide reasonable assurances that the vendor is responsible. This questionnaire is used for all non-construction contracts with a contract value of \$100,000.00 or more and is designed to provide information to assess a vendor’s authorization to do business in New York State, as well as your business integrity, financial and organizational capacity, and performance history. (Review of construction contractors will be based upon the Uniform Contracting Questionnaire developed by the Council of Contracting Agencies.)

Each vendor must answer every question contained in this questionnaire. Where a response requires additional information, the vendor must attach a written response that adequately details the requested information. Please number each response to match the question number. The completed questionnaire and attached responses will become part of the procurement record.

In order to expedite the required review, when providing additional information for a “YES” answer to Questions 14 a-s, or any other response which requires additional explanation, your information and responses should address the relationship of the issue to the proposed contract. Be brief, concise and to the point. Discuss as appropriate the following:

- Provide a description of the issue and identify the actions taken or currently being implemented to ensure that the issue will not occur again.
- State whether the staff and/or organizational component involved in the identified issue(s) will work on the proposed contract. If so, provide information to assure the agency that the issue will not be repeated.
- Identify the relationship (or lack thereof) between the product/services involved in the issue and the type of product/services proposed for this contract.
- State whether the issue will affect your financial or organizational ability to perform under the proposed contract.
- Provide copies of relevant documents or any other information that would assist the agency in its vendor responsibility evaluation.

It is imperative that the person completing the vendor responsibility questionnaire be knowledgeable about the proposing vendor’s business and operations, as an owner or officer of the vendor must attest to the questionnaire information. Please be advised that at the end of this questionnaire, you must certify, under oath, all responses given.

New York State
Standard Vendor Responsibility Questionnaire

VENDOR FEIN: _____

1. Legal Business Name: _____

2. Federal Employer ID # (FEIN): _____

3. D/B/A — Doing Business As (if applicable): _____

County filed: _____

4. Website Address (if applicable): _____

5. Principal Place of Business Address: _____

6. Telephone Number: _____ 7. Fax Number: _____

8. Authorized Contact for this Questionnaire:

Name: _____

Title: _____

Telephone Number: _____ Fax Number: _____

E-mail: _____

9. Type of Business: (please check appropriate box and provide additional information)

☐ Corporation. State of Incorporation: _____

☐ Sole Proprietor. State/County filed in: _____

☐ General Partnership. State/County filed in: _____

☐ Not-for-Profit Corporation. Charities Registration Number: _____

☐ Limited Liability Company (LLC). Jurisdiction filed: _____

☐ Limited Partnership. State/County filed in _____

☐ Other - Specify: _____ Jurisdiction filed (if applicable) _____

10. If not incorporated or formed in New York State, please provide a current Certificate of Good Standing from your state or applicable local jurisdiction.

New York State
Standard Vendor Responsibility Questionnaire

VENDOR FEIN: _____

11. List Name and Title of each principle, owner, officer, major stockholder (10% or more of the voting shares for publicly traded companies, 25% or more of the shares for all other companies), director, and member, as applicable:

- a) _____
- b) _____
- c) _____
- d) _____
- e) _____
- f) _____
- g) _____
- h) _____

12. Authorized Contact for the Proposed Contract:

Name: _____

Title: _____

Telephone Number: _____ Fax Number: _____

E-mail: _____

13. Does the vendor use, or has it used in the past five (5) years, any other business name, FEIN, or D/B/A other than what is listed in Questions 1-3 above?

Yes

No

If yes, provide the name(s), FEIN(s) and D/B/A(s) and the address for each such company and D/B/A on a separate piece of paper and attach to this response.

New York State
Standard Vendor Responsibility Questionnaire

VENDOR FEIN: _____

14. Within the past five (5) years, has the vendor, any principal, owner, officer, major stockholder (10% or more of the voting shares for publicly traded companies, 25% or more of the shares for all other companies), affiliate¹ or any person involved in the bidding, contracting or leasing process been the subject of any of the following:

(a) a judgment or conviction for any business-related conduct constituting a crime under federal, state or local government law including, but not limited to, fraud, extortion, bribery, racketeering, price-fixing or bid collusion or any crime related to truthfulness and/or business conduct? ☐ Yes ☐ No

(b) a criminal investigation or indictment for any business-related conduct constituting a crime under federal, state or local government law including, but not limited to, fraud, extortion, bribery, racketeering, price-fixing or bid collusion or any crime related to truthfulness and/or business conduct? ☐ Yes ☐ No

(c) an unsatisfied judgment, injunction or lien for any business-related conduct obtained by any federal, state or local government agency including, but not limited to, judgments based on taxes owed and fines and penalties assessed by any federal, state or local government agency? ☐ Yes ☐ No

(d) an investigation for a civil or criminal violation for any business-related conduct by any federal, state or local agency? ☐ Yes ☐ No

(e) a grant of immunity for any business-related conduct constituting a crime under federal, state or local governmental law including, but not limited to, fraud, extortion, bribery, racketeering, price-fixing, bid collusion or any crime related to truthfulness and/or business conduct? ☐ Yes ☐ No

(f) a federal, state or local government suspension or debarment from the contracting process? ☐ Yes ☐ No

(g) a federal, state or local government contract suspension or termination for cause prior to the completion of the term of a contract? ☐ Yes ☐ No

(h) a federal, state or local government denial of a lease or contract award for non-responsibility? ☐ Yes ☐ No

(i) an administrative proceeding or civil action seeking specific performance or restitution in connection with any federal, state or local contract or lease? ☐ Yes ☐ No

¹ "Affiliate" meaning: (a) any entity in which the vendor owns more than 50% of the voting stock; (b) any individual, entity or group of principal owners or officers who own more than 50% of the voting stock of the vendor; or (c) any entity whose voting stock is more than 50% owned by the same individual, entity or group described in clause (b). In addition, if a vendor owns less than 50% of the voting stock of another entity, but directs or has the right to direct such entity's daily operations, that entity will be an "affiliate" for purposes of this questionnaire.

New York State
Standard Vendor Responsibility Questionnaire

VENDOR FEIN: _____

(j) a federal, state or local determination of a willful violation of any public works or labor law or regulation?	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
<hr/>				
(k) a sanction imposed as a result of judicial or administrative proceedings relative to any business or professional license?	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
<hr/>				
(l) a consent order with the New York State Department of Environmental Conservation, or a federal, state or local government enforcement determination involving a violation of federal, state or local environmental laws?	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
<hr/>				
(m) an Occupational Safety and Health Act citation and Notification of Penalty containing a violation classified as serious or willful?	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
<hr/>				
(n) a rejection of a bid on a New York State contract or a lease with the State for failure to comply with the MacBride Fair Employment Principles?	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
<hr/>				
(o) a citation, violation order, pending administrative hearing or proceeding or determination issued by a federal, state or local government for violations of				
- health laws, rules or regulations	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
<hr/>				
- unemployment insurance or workers' compensation coverage or claim requirements	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
<hr/>				
- ERISA (Employee Retirement Income Security Act)	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
<hr/>				
- human rights laws	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
<hr/>				
- federal U.S. Citizenship and Immigration Services laws	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
<hr/>				
- Sherman Act or other federal anti-trust laws	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
<hr/>				
(p) entered into an agreement to a voluntary exclusion from contracting with a federal, state or local governmental entity	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
<hr/>				
(q) a denial, decertification, revocation or forfeiture of Women's Business Enterprise, Minority Business Enterprise or Disadvantaged Business Enterprise status?	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
<hr/>				
(r) a rejection of a low bid on a federal, state or local contract for failure to meet statutory affirmative action or Minority or Women's Business Enterprise or Disadvantaged Business Enterprise status requirements on a previously held contract?	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No
<hr/>				
(s) a finding of non-responsibility by an agency or authority due to a violation of State Finance Law §139-j?	<input type="checkbox"/>	Yes	<input type="checkbox"/>	No

For each YES answer to Question 14, items a-s, provide details on additional sheets regarding the finding, including but not limited to Cause, Current Status, Resolution, etc.

New York State
Standard Vendor Responsibility Questionnaire

VENDOR FEIN: _____

15. During the past three (3) years, has the vendor failed to:

(a) File returns or pay any applicable Federal, State, or Local Government Taxes ☐ Yes ☐ No

If yes, identify the taxing jurisdiction, type of tax, liability year(s) and tax liability amount the company failed to file/pay and the current status of the liability:

(b) FILE RETURNS OR PAY NEW YORK STATE UNEMPLOYMENT INSURANCE? ☐ Yes ☐ No

If yes, indicate the years the company failed to file/pay the insurance and the current status of the liability:

16. Have any bankruptcy proceedings been initiated by or against the vendor or its affiliates within the past seven (7) years (whether or not closed) or is any bankruptcy proceeding pending by or against the vendor or its affiliates, regardless of the date of filing? ☐ Yes ☐ No

If yes, indicate if this is applicable to the submitting vendor or one of its affiliates: _____

If it is an affiliate, include the affiliate's name and FEIN: _____

Provide the court name, address and docket number: _____

Indicate if the proceedings have been initiated, remain pending or have been closed: _____

If closed, provide the date closed: _____

17. Does vendor have the financial resources necessary to fulfill the requirements of the proposed contract? ☐ Yes ☐ No

New York State
Standard Vendor Responsibility Questionnaire

VENDOR FEIN: _____

State of _____)
) ss:
County of _____)

CERTIFICATION:

The undersigned, personally and on behalf of the vendor identified in questions 1-3 above, does hereby state and certify to the New York State Insurance Fund (NYSIF) that the information given above is true, accurate and complete. It is further acknowledged that the State of New York and NYSIF will rely upon the information contained herein and in any attached pages for purposes of evaluating our company for vendor's responsibility for contract award and the State may, in its discretion, by means which it may choose, verify the truth and accuracy of all statements made herein. It is further acknowledged that intentional submission of false or misleading information may constitute a felony under Penal Law Section 175.35 or may constitute a misdemeanor under Penal Law Sections 175.30, 210.35 or 210.45, and may also be punishable by a fine and/or imprisonment of up to five years under 18 USC Section 1001 and may result in contract termination.

Sworn to before me this

Signature of Officer

_____ Day of _____, 20____

Typed/Printed Name

Title

Notary Public

Registration No: _____

Company Name

State: _____

Address

City, State, Zip

APPENDIX F
NYS CERTIFICATIONS

Company Name: _____

Is your firm a New York resident business?

☐ Yes

☐ No

Total number of people employed by your firm:

company-wide: _____

in New York City: _____

Is your firm a NYSESD certified MINORITY ENTERPRISE as defined in Executive Law Article 15-A?

☐ Yes

☐ No

(If yes, attach a copy of your current New York State certification letter.)

Is your firm a NYSESD certified WOMEN-OWNED ENTERPRISE as defined in Executive Law Article 15-A?

☐ Yes

☐ No

(If yes, attach a copy of your current New York State certification letter.)

Does your firm purchase goods or services or subcontract with any New York State certified minority or women-owned enterprises?

☐ Yes

☐ No

Is your firm a NYSOGS certified SERVICE DISABLED VETERAN OWNED BUSINESS as defined in Executive Law Article 17-B?

☐ Yes

☐ No

(If yes, attach a copy of your current New York State certification letter.)

APPENDIX F
NYS CERTIFICATIONS

Is your firm a SMALL BUSINESS as defined in Executive Law Section Article 15-A?

“Small Business” shall be defined as a business which:

- A. Has a significant business presence in New York demonstrated through one of the following;
 - 1. Pays taxes in New York State
 - 2. Purchases New York State products or materials, or
 - 3. Has any payroll in New York State
- B. Is independently owned and operated;
- C. Not dominant in its field; and,
- D. Employs less than three hundred persons

In accordance with New York State Finance Law, Section 165, the contractor certifies that it:

- ☐ IS a Small Business as defined in New York State Executive Law Section 310(20).
- ☐ IS NOT a Small Business as defined in New York State Executive Law Section 310(20).

Signature: _____

Typed Name: _____

Company Position: _____

Company Name: _____

Date Signed: _____

ACKNOWLEDGEMENT

STATE OF _____)
) ss.:
COUNTY OF _____)

On this ____ day of _____, 201____, before me personally came _____, to me known and known to me to be the person who executed the above instrument, who, being duly sworn by me, did for himself/herself depose and say that he/she is a member of the firm of _____ and that he/she executed the foregoing instrument in the firm name of _____, and that he/she had authority to sign same, and he/she did duly acknowledge to me that he/she executed the same as the act and deed of said firm of _____, for the uses and purposes mentioned therein.

Notary Public

ENCOURAGING USE OF NEW YORK STATE BUSINESSES IN CONTRACT PERFORMANCE

<u>Business Name</u>	<u>FEIN</u>	<u>Dollar Value</u>	<u>Description of Work</u>
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APPENDIX H

Disclosure of Prior Non-Responsibility Determinations

Name of Individual or Entity Seeking to Enter into the Procurement Contract:

Address _____

Name and Title of Person Submitting this Form: _____

Bid Number: _____

Date: _____

1. Has any Governmental Entity made a finding of non-responsibility regarding the individual or entity seeking to enter into the Procurement Contract in the previous four years? (Please circle):

No

Yes

If yes, please answer questions 2-4; otherwise, proceed to 5:

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

No

Yes

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

No

Yes

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

Governmental Entity: _____

Date of Finding of Non-responsibility: _____

Basis of Finding of Non-Responsibility: _____

(Add additional pages as necessary)

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

No

Yes

APPENDIX H

Disclosure of Prior Non-Responsibility Determinations

6. If yes, please provide details below.

Governmental Entity: _____

Date of Termination or Withholding of Contract: _____

Basis of Termination or Withholding: _____

(Add additional pages as necessary)

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

By _____

Name _____

Title _____

Date _____

APPENDIX M

PARTICIPATION BY MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES: REQUIREMENTS AND PROCEDURES

I. General Provisions

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

II. Contract Goals

- A. For purposes of this Contract, NYSIF conducted a comprehensive search and determined that the Contract does not offer sufficient opportunities to set goals for participation by MWBE’s as subcontractors, service providers and suppliers to Contractor. Contractor is however, encouraged to make every good faith effort to promote and assist the participation of MWBE’s on this Contract for the provision of service and materials. The directory of New York State Certified MWBE’s can be viewed at: <https://ny.newnycontracts.com>. Additionally, the Contractor is encouraged to contact the Division of Minority and Women’s Business Development at (212) 803-2414 to discuss additional methods of maximizing participation by MWBEs on the Contract.

APPENDIX M

- B. The Contractor understands that only sums paid to MWBEs for the performance of a commercially useful function, as that term is defined in 5 NYCRR § 140.1, may be applied towards the achievement of the applicable MWBE participation goal. [FOR CONSTRUCTION CONTRACTS – The portion of a contract with an MWBE serving as a supplier that shall be deemed to represent the commercially useful function performed by the MWBE shall be 60% of the total value of the contract. The portion of a contract with an MWBE serving as a broker that shall be deemed to represent the commercially useful function performed by the MWBE shall be the monetary value for fees, or the markup percentage, charged by the MWBE]. [FOR ALL OTHER CONTRACTS - The portion of a contract with an MWBE serving as a broker that shall be deemed to represent the commercially useful function performed by the MWBE shall be 25% of the total value of the contract]

III. Equal Employment Opportunity (“EEO”)

- A. The provisions of Article 15-A of the Executive Law and the rules and regulations promulgated thereunder pertaining to equal employment opportunities for minority group members and women shall apply to the Contract.
- B. In performing the Contract, the Contractor shall:
1. Ensure that each contractor and subcontractor performing work on the Contract shall undertake or continue existing EEO programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status. For these purposes, EEO shall apply in the areas of recruitment, employment, job assignment, promotion, upgrading, demotion, transfer, layoff, or termination and rates of pay or other forms of compensation.
 2. The Contractor shall submit an EEO policy statement to NYSIF within seventy-two (72) hours after the date of the notice by NYSIF to award the Contract to the Contractor.
 3. If the Contractor, or any of its subcontractors, does not have an existing EEO policy statement, NYSIF may require the Contractor or subcontractor to adopt a model statement (see Form 106 – Equal Employment Opportunity Policy Statement).
 4. The Contractor’s EEO policy statement shall include the following language:
 - a. The Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability, or marital status, will undertake or continue existing EEO programs to ensure that minority group members and women are afforded equal employment opportunities without discrimination, and shall make and document its conscientious and active efforts to employ and utilize minority group members and women in its work force.
 - b. The Contractor shall state in all solicitations or advertisements for employees that, in the performance of the contract, all qualified applicants will be afforded equal employment opportunities without discrimination because of race, creed, color, national origin, sex, age, disability or marital status.

APPENDIX M

- c. ONLY FOR CONTRACTS WITH A TOTAL EXPENDITURE IN EXCESS OF \$250,000: 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.
- d. The Contractor will include the provisions of Subdivisions (a) through (c) of this Subsection 4 and Paragraph "E" of this Section III, which provides for relevant provisions of the Human Rights Law, in every subcontract in such a manner that the requirements of the subdivisions will be binding upon each subcontractor as to work in connection with the Contract.

C. Form 101 - Staffing Plan

To ensure compliance with this Section, the Contractor shall submit a staffing plan to document the composition of the proposed workforce to be utilized in the performance of the Contract by the specified categories listed, including ethnic background, gender, and Federal occupational categories. The Contractor shall complete the staffing plan form and submit it as part of their bid or proposal or within a reasonable time, as directed by NYSIF.

D. Form 102 - Workforce Utilization Report

- 1. The Contractor shall submit a Workforce Utilization Report, and shall require each of its subcontractors to submit a Workforce Utilization Report, in such form as shall be required by NYSIF on a Quarterly basis during the term of the Contract, with the exception of Construction Contracts. For Construction Contracts, the Contractor is required to submit a Workforce Utilization Report on a Monthly basis.
 - 2. Separate forms shall be completed by the Contractor and any subcontractors.
 - 3. Pursuant to Executive Order #162, contractors and subcontractors are also required to report the gross wages paid to each of their employees for the work performed by such employees on the contract on a quarterly basis.
- E. The Contractor shall comply with the provisions of the Human Rights Law, and all other State and Federal statutory and constitutional non-discrimination provisions. The Contractor and its subcontractors shall not discriminate against any employee or applicant for employment because of race, creed (religion), color, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

APPENDIX M

IV. Liquidated Damages - MWBE Participation

- A. Where NYSIF determines that the Contractor is not in compliance with the requirements of this Appendix and the Contractor refuses to comply with such requirements, or if the Contractor is found to have willfully and intentionally failed to comply with the MWBE participation goals, the Contractor shall be obligated to pay to NYSIF liquidated damages.
- B. 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.
- C. In the event a determination has been made which requires the payment of liquidated damages and such identified sums have not been withheld by NYSIF, the Contractor shall pay such liquidated damages to NYSIF within sixty (60) days after they are assessed. Provided, however, that if the Contractor has filed a complaint with the Director of the Division of Minority and Women's Business Development pursuant to 5 NYCRR § 142.12, liquidated damages shall be payable only in the event of a determination adverse to the Contractor following the complaint process.

APPENDIX M

Form 101 - Instructions

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

Instructions for completing:

1. Check off the appropriate box to indicate if the entity completing the Report is the Offeror or Subcontractor.
2. Check off the appropriate box to indicate work force to be utilized in the performance of the contract or the Offerors' total work force.
3. Enter the name and address of the Offeror and the solicitation number that this report applies to.
4. Verify that job titles are provided under the column titled "SOC Job Title" for each employee whose anticipated work will be reflected on the Report. If a necessary job title is not included, please add the corresponding job category, title and corresponding job code to the "EEO 1 Job Categories" "SOC Job Title" and "SOC Job Code" columns from the list of job categories, SOC titles, and SOC codes reflected in the EEO-1 Job Classification Guide, 2014. A copy
5. of this guide can be found on NYSIF's website at: www.nysif.com/procurement
6. In the first group of boxes, identify the anticipated number of hours worked by persons identifying with each racial/ethnic category by gender for each job title in the SOC Job Title column.
7. In the second group of boxes, identify the anticipated number of persons identifying with each racial/ethnic category by gender for each job title in the SOC Job Title column.
8. Enter the name and the title for the person completing the form, enter the date upon which the Report was completed, and sign the form.

RACE/ETHNIC IDENTIFICATION

Race/ethnic designations as used by the Equal Employment Opportunity Commission and do not denote scientific definitions of anthropological origins. For the purposes of this Report, an employee must 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 Report 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/AFRICAN AMERICAN:** a person, not of Hispanic origin, who has origins in any of the black racial groups of the original peoples of Africa.
- **HISPANIC/LATINO:** a person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.
- **ASIAN/NATIVE HAWAIIAN OR OTHER PACIFIC ISLANDER:** a person having origins in any of the original peoples of the Far East, Southeast Asia, the the Indian subcontinent or the Pacific Islands.
- **NATIVE INDIAN/ALASKAN NATIVE:** a person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.

Form 101
STAFFING PLAN
Submit with Bid or Proposal-Instructions in Appendix M

Reporting Entity

☐

Contractor

☐

Subcontractor

Report includes Contractor's/Subcontractor's

☐

Workforce Utilized in Performance of Contract

☐

Contractor/Subcontractor's Total Workforce

Offeror's Name

Offeror's Address

Solicitation Number

EEO 1 Job Categories	SOC Job Title	SOC Job Code	Hours worked by Race/Ethnic Identification During Reporting Period									
			White		Black/African American		Hispanic/Latino		Asian/Native Hawaiian or Other Pacific Islander		Native American/Alaskan Native	
			Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Professionals	Lawyers	(23-1011)										
Administrative Support Workers	Paralegals and Legal Assistants	(23-2011)										
Administrative Support Workers	Miscellaneous Legal Support Workers	(23-2090)										
Administrative Support Workers	Secretaries and Administrative Assistants	(43-6010)										
	Other -											
	Other -											
	Other -											
TOTAL ANTICIPATED HOURS WORKED												

EEO 1 Job Categories	SOC Job Title	SOC Job Code	Number of Employees by Race/Ethnic Identification During Reporting Period									
			White		Black/African American		Hispanic/Latino		Asian/Native Hawaiian or Other Pacific Islander		Native American/Alaskan Native	
			Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Professionals	Lawyers	(23-1011)										
Administrative Support Workers	Paralegals and Legal Assistants	(23-2011)										
Administrative Support Workers	Miscellaneous Legal Support Workers	(23-2090)										
Administrative Support Workers	Secretaries and Administrative Assistants	(43-6010)										
	Other -											
	Other -											
	Other -											
TOTAL ANTICIPATED EMPLOYEES												

Preparer's Name:

Preparer's Title:

Date:

Preparer's Signature:

APPENDIX M

Form 102 - Instructions for Submitting the Workforce Utilization Report

The Workforce Utilization Report (“Report”) is to be submitted on a monthly basis for construction contracts¹, and a quarterly basis for all other contracts, during the life of the contract to report the actual workforce utilized in the performance of the contract broken down by job title. When the workforce utilized in the performance of the contract can be separated out from the contractor’s and/or subcontractor’s total workforce, the contractor and/or subcontractor shall submit a Report of the workforce utilized on the contract. When the workforce to be utilized on the contract cannot be separated out from the contractor’s and/or subcontractor’s total workforce, information on the contractor’s and/or subcontractor’s total workforce may be included in the Report.

Reports are to be submitted electronically, using the provided Report worksheet, to mwbeinfo@nysif.com within ten (10) days following the end of each month or quarter, whichever is applicable.

Instructions for Completing the Workforce Utilization Report

1. **REPORTING ENTITY:** Check off the appropriate box to indicate if the entity completing the Report is the contractor or a subcontractor.
2. **FEDERAL EMPLOYER IDENTIFICATION NUMBER:** Enter the Federal Employer Identification Number (FEIN) assigned by the IRS. Contractors utilizing their social security number in lieu of an FEIN should leave this field blank.
3. **CONTRACTOR NAME and CONTRACTOR ADDRESS:** Enter the primary business address for the entity completing the Report.
4. **CONTRACT NUMBER:** Enter the number of the contract to which the Report applies.
5. **REPORTING PERIOD:** Check off the box that corresponds to the applicable quarterly or monthly reporting period for this Report. Only select one box.
6. **WORKFORCE IDENTIFIED IN REPORT:** Check off the appropriate box to indicate if the workforce being reported is just for the contract or the contractor’s or subcontractor’s total workforce.
7. **OCCUPATION CLASSIFICATIONS and SOC JOB TITLE:** Select the occupation classification and job title that best describes each group of employees performing work on the state contract under columns A and B.
8. **EEO JOB TITLE and SOC CODE:** These fields will populate automatically based upon the Occupation Classifications and SOC Job Titles selected. Do not modify the results generated in these fields.
9. **NUMBER OF EMPLOYEES and NUMBER OF HOURS:** Enter the number of employees and total number of hours worked by such employees for each job title under the columns corresponding to the gender and racial/ethnic groups with which the employees most closely identify.
10. **TOTAL GROSS WAGES: [TO BE REPORTED QUARTERLY]** Enter the total gross wages paid to all employees for each job code, and each gender and racial/ethnic group, identified in the Report. Contractors and subcontractors should report only gross wages for work on the contract paid to employees during the period covered by the Report. “Gross wages” are those reported by employers to employees on their wage statements. Gross wages are defined more specifically by 20 NYCRR §2380.4 and typically include every form of compensation for employment paid by an employer to his, her or its employees, whether paid directly or indirectly by the employer, including salaries, commissions, bonuses, tips and the reasonable value of board, rent, housing, lodging or similar advantage received.
11. **PREPARER’S INFORMATION:** Enter the name and title for the person completing the form, enter the date upon which the Report was completed, and check the box accepting the name entered into the Report as the digital signature of the preparer.

¹ The Gross Wages column is only required to be completed on a quarterly basis commencing 1/1/2018.

APPENDIX M

Race/Ethnic Identification

Race/ethnic designations do not denote scientific definitions of anthropological origins. For the purposes of this Report, an employee must be included in the group with which he or she most closely identifies. No person may be counted in more than one race/ethnic group. In determining an employee's race or ethnicity, a contractor may rely upon an employee's self-identification, employment records, or, in cases where an employee refuses to identify his or her race or identity, observer identification. The race/ethnic categories for this Report 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/AFRICAN AMERICAN** a person, not of Hispanic origin, who has origins in any of the black racial groups of the original peoples of Africa.
- **HISPANIC/LATINO** a person of Mexican, Puerto Rican, Cuban, Central or South American or other Spanish culture or origin, regardless of race.
- **ASIAN, NATIVE HAWAIIAN OR OTHER PACIFIC ISLANDER** a person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent or the Pacific Islands.
- **NATIVE AMERICAN/ALASKAN NATIVE** a person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.

Resources

If you have questions regarding these requirements, are unsure of the appropriate job titles to include in your Report, or otherwise require assistance in preparing or submitting the Report, please contact MWBEinfo@nysif.com or contact Mary Rumberg at (212) 312-7178 or Carrell Clarke-Europe at (212) 312-0089.

APPENDIX M

Form 106

MINORITY AND WOMEN-OWNED BUSINESS ENTERPRISES – EQUAL EMPLOYMENT OPPORTUNITY POLICY STATEMENT

M/WBE 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 _____

M/WBE

This organization will and will cause its contractors and subcontractors to take good faith actions to achieve the M/WBE 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 M/WBE contractor associations.
- (2) Request a list of State-certified M/WBEs 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 M/WBEs.
- (4) Where feasible, divide the work into smaller portions to enhanced participations by M/WBEs and encourage the formation of joint venture and other partnerships among M/WBE contractors to enhance their participation.
- (5) Document and maintain records of bid solicitation, including those to M/WBEs and the results thereof. The Contractor will also maintain records of actions that its subcontractors have taken toward meeting M/WBE contract participation goals.
- (6) Ensure that progress payments to M/WBEs are made on a timely basis so that undue financial hardship is avoided, and that bonding and other credit requirements are waived or appropriate alternatives developed to encourage M/WBE participation.

EEO

(a) This organization will not discriminate against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability or marital status, will undertake or continue existing 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, sex, national origin, sexual orientation, military status, age, disability, predisposing genetic characteristic, marital status or domestic violence victim status, and shall also follow the requirements of the Human Rights Law with regard to non-discrimination on the basis of prior criminal conviction and prior arrest.

(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 _____, 2 _____

By _____

Print: _____ Title: _____

APPENDIX M

Form 106 (continued)

_____ 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 (M/WBE-EEO) program.

M/WBE Contract Goals

_____ % Minority and Women's Business Enterprise Participation

_____ % Minority Business Enterprise Participation

_____ % Women's Business Enterprise Participation

(Authorized Representative)

Title: _____

Date: _____

**Contractor Certification to Covered Agency**

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

ST-220-CA

(12/11)

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

Contractor name				For covered agency use only Contract number or description	
Contractor's principal place of business		City	State		
Contractor's mailing address (if different than above)					
Contractor's federal employer identification number (EIN)			Contractor's sales tax ID number (if different from contractor's EIN)		
Contractor's telephone number			Covered agency name		
Covered agency address				Covered agency telephone number	

I, _____, hereby affirm, under penalty of perjury, that I am _____
(name) (title)

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

(Mark an X in only one box)

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

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

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

Sworn to this ____ day of _____, 20 ____

(sign before a notary public)

(title)

Instructions

General information

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

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

When to complete this form

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

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

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

Individual, Corporation, Partnership, or LLC Acknowledgment

STATE OF _____ }
: _____ SS.:
COUNTY OF _____ }

On the ____ day of _____ in the year 20____, before me personally appeared _____, known to me to be the person who executed the foregoing instrument, who, being duly sworn by me did depose and say that _____ he resides at _____,

Town of _____,

County of _____,

State of _____; and further that:

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

☐ (If an individual): _____ he executed the foregoing instrument in his/her name and on his/her own behalf.

☐ (If a corporation): _____ he is the _____ of _____, the corporation described in said instrument; that, by authority of the Board of Directors of said corporation, _____ he is authorized to execute the foregoing instrument on behalf of the corporation for purposes set forth therein; and that, pursuant to that authority, _____ he executed the foregoing instrument in the name of and on behalf of said corporation as the act and deed of said corporation.

☐ (If a partnership): _____ he is a _____ of _____, the partnership described in said instrument; that, by the terms of said partnership, _____ he is authorized to execute the foregoing instrument on behalf of the partnership for purposes set forth therein; and that, pursuant to that authority, _____ he executed the foregoing instrument in the name of and on behalf of said partnership as the act and deed of said partnership.

☐ (If a limited liability company): _____ he is a duly authorized member of _____, LLC, the limited liability company described in said instrument; that _____ he is authorized to execute the foregoing instrument on behalf of the limited liability company for purposes set forth therein; and that, pursuant to that authority, _____ he executed the foregoing instrument in the name of and on behalf of said limited liability company as the act and deed of said limited liability company.

Notary Public

Registration No.

Privacy notification

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

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

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

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

This information is maintained by the Manager of Document Management, NYS Tax Department, W A Harriman Campus, Albany NY 12227; telephone (518) 457-5181.

Need help?



Visit our Web site at **www.tax.ny.gov**

- get information and manage your taxes online
- check for new online services and features



Telephone assistance

Sales Tax Information Center: (518) 485-2889

To order forms and publications: (518) 457-5431

Text Telephone (TTY) Hotline (for persons with hearing and speech disabilities using a TTY): (518) 485-5082



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

**Contractor Certification**(Pursuant to Tax Law Section 5-a, as amended,
effective April 26, 2006)**ST-220-TD**

(4/15)

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

Contractor name

Contractor's principal place of business

City

State

ZIP code

Contractor's mailing address (if different than above)

City

State

ZIP code

Contractor's federal employer identification number (EIN)

Contractor's sales tax ID number (if different from contractor's EIN)

Contractor's telephone number

()

Covered agency or state agency

Contract number or description

Covered agency telephone number

()

Covered agency address

City

State

ZIP code

Is the estimated contract value over the full term of the contract (but not including renewals) more than \$100,000?

Yes ☐No ☐Unknown at this time ☐**General information**

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

All sections must be completed including all fields on the top of this page, all sections on page 2, Schedule A on page 3, if applicable, and *Individual, Corporation, Partnership, or LLC Acknowledgement* on page 4. If you do not complete these areas, the form will be returned to you for completion.

For more detailed information regarding this form and Tax Law section 5-a, see Publication 223, *Questions and Answers Concerning Tax Law Section 5-a, (as amended, effective April 26, 2006)*. See *Need help?* for more information on how to obtain this publication.

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

Mail completed form to:

**NYS TAX DEPARTMENT
DATA ENTRY SECTION
W A HARRIMAN CAMPUS
ALBANY NY 12227-0826**

Privacy notification

New York State Law requires all government agencies that maintain a system of records to provide notification of the legal authority for any request, the principal purpose(s) for which the information is to be collected, and where it will be maintained. To view this information, visit our Web site, or, if you do not have Internet access, call and request Publication 54, *Privacy Notification*. See *Need help?* for the Web address and telephone number.

Need help?Visit our Web site at **www.tax.ny.gov**

- get information and manage your taxes online
- check for new online services and features

**Telephone assistance****Sales Tax** Information Center: (518) 485-2889

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

Complete Sections 1, 2, and 3 below. Make only one entry in each section.

Section 1 – Contractor registration status

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

Section 2 – Affiliate registration status

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

Section 3 – Subcontractor registration status

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

Sworn to this ____ day of _____, 20 ____

(sign before a notary public)

(title)

Schedule A – Listing of each entity (contractor, affiliate, or subcontractor) exceeding \$300,000 cumulative sales threshold

List the contractor, or affiliate, or subcontractor in Schedule A only if such entity exceeded the \$300,000 cumulative sales threshold during the specified sales tax quarters. See directions below. For more information, see Publication 223.

A Relationship to contractor	B Name	C Address	D Federal ID number	E Sales tax ID number	F Registration in progress

- Column A – Enter **C** in column A if the contractor; **A** if an affiliate of the contractor; or **S** if a subcontractor.
- Column B – Name - If the entity is a corporation or limited liability company, enter the exact legal name as registered with the NY Department of State, if applicable. If the entity is a partnership or sole proprietor, enter the name of the partnership and each partner’s given name, or the given name(s) of the owner(s), as applicable. If the entity has a different DBA (doing business as) name, enter that name as well.
- Column C – Address - Enter the street address of the entity’s principal place of business. Do not enter a PO box.
- Column D – ID number - Enter the federal employer identification number (EIN) assigned to the entity. If the entity is an individual, enter the social security number of that person.
- Column E – Sales tax ID number - Enter only if different from federal EIN in column D.
- Column F – If applicable, enter an X if the entity has submitted Form DTF-17 to the Tax Department but has not received its certificate of authority as of the date of this certification.

Individual, Corporation, Partnership, or LLC Acknowledgment

STATE OF }
 : SS.:
COUNTY OF }

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

(Mark an X in the appropriate box and complete the accompanying statement.)

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

Notary Public

Registration No. _____

APPENDIX S

CONTRACTOR REQUIREMENTS AND PROCEDURES FOR BUSINESS PARTICIPATION OPPORTUNITIES FOR NEW YORK STATE CERTIFIED SERVICE DISABLED VETERAN OWNED BUSINESSES (SDVOB)

Article 17-B of the New York State Executive Law provides for more meaningful participation in public procurement by certified Service-Disabled Veteran-Owned Businesses (“SDVOB”), thereby further integrating such businesses into New York State’s economy. NYSIF 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 NYSIF 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 are 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.

CONTRACT GOALS

For purposes of this procurement, NYSIF conducted a comprehensive search and determined that the Contract does not offer sufficient opportunities to set specific goals for participation by SDVOBs as subcontractors, service providers, and suppliers to Contractor. Nevertheless, Bidder/Contractor is encouraged to make good faith efforts to promote and assist in the participation of SDVOBs on the Contract for the provision of services and materials. The directory of New York State Certified SDVOBs can be viewed at: <https://ogs.ny.gov/veterans/>.

Bidder/Contractor is encouraged to contact the Office of General Services’ Division of Service-Disabled Veteran’s Business Development at 518-474-2015 or VeteransDevelopment@ogs.ny.gov to discuss methods of maximizing participation by SDVOBs on the Contract.

APPENDIX S
FORM S-100: SDVOB UTILIZATION PLAN

SDVOB UTILIZATION PLAN

☐ Initial Plan ☐ Revised plan Contract/Solicitation # _____

INSTRUCTIONS: This Utilization Plan must contain a detailed description of the supplies and/or services to be provided by each NYS **Certified** Service-Disabled Veteran-Owned Business (SDVOB) under the contract. By submission of this Plan, the Bidder/Contractor commits to making good faith efforts in the utilization of SDVOB subcontractors and suppliers as required by the SDVOB goals contained in the Solicitation/Contract. 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. Firms that do not perform commercially useful functions may not be counted toward SDVOB utilization. Attach additional sheets if necessary.

BIDDER/CONTRACTOR INFORMATION

SDVOB Goals In Contract

Bidder/Contractor Name:	Federal Identification No.:	%
Bidder/Contractor Address (Street, City, State and Zip Code):		

Bidder/Contractor Telephone Number:	Contract Work Location/Region:
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Contract Description/Title:

CONTRACTOR INFORMATION

Prepared by (Signature):	Name and Title of Preparer:	Telephone Number:	Date:
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Email Address:

If unable to meet the SDVOB goals set forth in the solicitation/contract, bidder/contractor must submit a request for waiver on the SDVOB Waiver Form (S-200).

SDVOB Subcontractor/Supplier Name:

Please identify the person you contacted:	Federal Identification No.:	Telephone No.:
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Address:	Email Address:
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Detailed description of work to be provided by subcontractor/supplier:

Dollar Value of subcontracts/supplies/services (When \$ value cannot be estimated, provide the estimated % of contract work the SDVOB will perform): \$ _____ or _____%

SDVOB Subcontractor/Supplier Name:

Please identify the person you contacted:	Federal Identification No.:	Telephone No.:
---	-----------------------------	----------------

Address:	Email Address:
----------	----------------

Detailed Description of work to be provided by subcontractor/supplier:

Dollar Value of subcontracts/supplies/services (When \$ value cannot be estimated, provide the estimated % of contract work the SDVOB will perform): \$ _____ or _____%

FOR NYSIF USE ONLY

NYSIF Authorized Signature:	<input type="checkbox"/> Accepted	<input type="checkbox"/> Accepted as Noted	<input type="checkbox"/> Notice of Deficiency
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NAME (Please Print):	SDVOB %/\$	Date Received:	Date Processed:
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Comments:

NYS CERTIFIED SDVOB SUBCONTRACTOR/SUPPLIER INFORMATION: The directory of New York State Certified SDVOBs can be viewed at: https://ogs.ny.gov/Veterans/Docs/CertifiedNYS_SDVOB.pdf

Note: All listed Subcontractors/Suppliers will be contacted and verified by NYSIF.

APPENDIX S
FORM S-100: SDVOB UTILIZATION PLAN

ADDITIONAL SHEET

Bidder/Contractor Name:	Contract/Solicitation # _____
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SDVOB Subcontractor/Supplier Name:		
Please identify the person you contacted:	Federal Identification No.:	Telephone No.:
Address:	Email Address:	
Detailed Description of work to be provided by subcontractor/supplier:		
Dollar Value of subcontracts/supplies/services (When \$ value cannot be estimated, provide the estimated % of contract work the SDVOB will perform): \$ _____ or _____ %		
SDVOB Subcontractor/Supplier Name:		
Please identify the person you contacted:	Federal Identification No.:	Telephone No.:
Address:	Email Address:	
Detailed Description of work to be provided by subcontractor/supplier:		
Dollar Value of subcontracts/supplies/services (When \$ value cannot be estimated, provide the estimated % of contract work the SDVOB will perform): \$ _____ or _____ %		
SDVOB Subcontractor/Supplier Name:		
Please identify the person you contacted:	Federal Identification No.:	Telephone No.:
Address:	Email Address:	
Detailed Description of work to be provided by subcontractor/supplier:		
Dollar Value of subcontracts/supplies/services (When \$ value cannot be estimated, provide the estimated % of contract work the SDVOB will perform): \$ _____ or _____ %		
SDVOB Subcontractor/Supplier Name:		
Please identify the person you contacted:	Federal Identification No.:	Telephone No.:
Address:	Email Address:	
Detailed Description of work to be provided by subcontractor/supplier:		
Dollar Value of subcontracts/supplies/services (When \$ value cannot be estimated, provide the estimated % of contract work the SDVOB will perform): \$ _____ or _____ %		

APPENDIX T

NYSIF VENDOR SECURITY SURVEY

REQUIREMENTS

The vendor security survey (Appendix T) is to be submitted as part of the bid or proposal package. Bidders are required to answer all of the questions in order to be considered for an award of a contract with the New York State Insurance Fund (NYSIF).

The completed Vendor Security Survey will be reviewed and evaluated by NYSIF personnel on a pass/fail basis. The minimum required implementation levels are included in the survey and defined below. Bidders who do not meet the minimum required implementation levels will be disqualified.

INSTRUCTIONS FOR COMPLETION

Within the “**RESPONSE**” column all questions must be answered by selecting the appropriate answer from the drop down list and defined as follows:

1. **Fully** (Implemented) = The control is in place, functioning effectively, and is optimized.
2. **Partially** (Implemented) = The control is in place, effectiveness may not be rated, and the control is not optimized.
3. **Non-Existent** = The control is not in place.

Within the “**EXPLANATION OF CONTROLS**” column, comments must be provided to support a bidder's selected “**RESPONSE**”. Comments must clarify the controls implemented, describe mitigating factors, such as alternative controls or exposure limits, and specify the date when the control will be operational.

Within the “**SUBSTANTIATING DOCUMENT(S)**” column, supporting documentation is optional. Documentation should support a bidder's response, such as written policy, audits, screenshots, etc.

All questions related to this Vendor Security Survey must be submitted in writing to contracts@nysif.com by the date and time indicated in the solicitation calendar, citing the particular question and bid number.

*****Rci g'3"qh'7"

**APPENDIX T
VENDOR SECURITY SURVEY**

VENDOR COMPANY INFORMATION		VENDOR RESOURCE COMPLETING QUESTIONNAIRE	
NAME		ASSIGNEE NAME	
WEBSITE		ROLE OR TITLE	
ADDRESS		PHONE + EXT	
CITY/STATE/ZIP		EMAIL ADDRESS	

1	INVENTORY OF AUTHORIZED AND UNAUTHORIZED DEVICES	RESPONSE	EXPLANATION OF CONTROLS	SUBSTANTIATING DOCUMENT(S)
	Actively manage (inventory, track, and correct) all hardware devices on the network so that only authorized devices are given access, and unauthorized and unmanaged devices are found and prevented from gaining access.	PLEASE RESPOND (Using Dropdown)		
MINIMUM REQUIRED LEVEL = PARTIALLY				
2	INVENTORY OF AUTHORIZED AND UNAUTHORIZED SOFTWARE	RESPONSE	EXPLANATION OF CONTROLS	SUBSTANTIATING DOCUMENT(S)
	Actively manage (inventory, track, and correct) all software on the network so that only authorized software is installed and can execute, and that unauthorized and unmanaged software is found and prevented from installation or execution.	PLEASE RESPOND (Using Dropdown)		
MINIMUM REQUIRED LEVEL = PARTIALLY				
3	SECURE CONFIGURATIONS FOR HARDWARE AND SOFTWARE	RESPONSE	EXPLANATION OF CONTROLS	SUBSTANTIATING DOCUMENT(S)
	Establish, implement, and actively manage (track, report on, correct) the security configuration of laptops, servers, and workstations using a rigorous configuration management and change control process in order to prevent attackers from exploiting vulnerable services and settings.	PLEASE RESPOND (Using Dropdown)		
MINIMUM REQUIRED LEVEL = PARTIALLY				
4	CONTINUOUS VULNERABILITY ASSESSMENT AND REMEDIATION	RESPONSE	EXPLANATION OF CONTROLS	SUBSTANTIATING DOCUMENT(S)
	Continuously acquire, assess, and take action on new information in order to identify vulnerabilities, remediate, and minimize the window of opportunity for attackers.	PLEASE RESPOND (Using Dropdown)		
MINIMUM REQUIRED LEVEL = PARTIALLY				
5	CONTROLLED USE OF ADMINISTRATIVE PRIVILEGES	RESPONSE	EXPLANATION OF CONTROLS	SUBSTANTIATING DOCUMENT(S)
	The processes and tools used to track/control/prevent/correct the use, assignment, and configuration of administrative privileges on computers, networks, and applications.	PLEASE RESPOND (Using Dropdown)		
MINIMUM REQUIRED LEVEL = PARTIALLY				

6	MAINTENANCE, MONITORING, AND ANALYSIS OF AUDIT LOGS	RESPONSE	EXPLANATION OF CONTROLS	SUBSTANTIATING DOCUMENT(S)
	Collect, manage, and analyze audit logs of events that could help detect, understand, or recover from an attack.	PLEASE RESPOND (Using Dropdown)		
	MINIMUM REQUIRED LEVEL = PARTIALLY			
7	EMAIL AND WEB BROWSER PROTECTIONS	RESPONSE	EXPLANATION OF CONTROLS	SUBSTANTIATING DOCUMENT(S)
	Minimize the attack surface and the opportunities for attackers to manipulate human behavior through their interaction with web browsers and email systems.	PLEASE RESPOND (Using Dropdown)		
	MINIMUM REQUIRED LEVEL = PARTIALLY			
8	MALWARE DEFENSES	RESPONSE	EXPLANATION OF CONTROLS	SUBSTANTIATING DOCUMENT(S)
	Control the installation, spread, and execution of malicious code at multiple points in the enterprise, while optimizing the use of automation to enable rapid updating of defense, data gathering, and corrective action.	PLEASE RESPOND (Using Dropdown)		
	MINIMUM REQUIRED LEVEL = PARTIALLY			
9	LIMITATION AND CONTROL OF NETWORK PORTS	RESPONSE	EXPLANATION OF CONTROLS	SUBSTANTIATING DOCUMENT(S)
	Manage (track/control/correct) the ongoing operational use of ports, protocols, and services on networked devices in order to minimize windows of vulnerability available to attackers.	PLEASE RESPOND (Using Dropdown)		
	MINIMUM REQUIRED LEVEL = PARTIALLY			
10	DATA RECOVERY CAPABILITY	RESPONSE	EXPLANATION OF CONTROLS	SUBSTANTIATING DOCUMENT(S)
	The processes and tools used to properly back up critical information with a proven methodology for timely recovery of it.	PLEASE RESPOND (Using Dropdown)		
	MINIMUM REQUIRED LEVEL = PARTIALLY			
11	SECURE CONFIGURATIONS FOR NETWORK DEVICES	RESPONSE	EXPLANATION OF CONTROLS	SUBSTANTIATING DOCUMENT(S)
	Establish, implement, and actively manage (track, report on, correct) the security configuration of network infrastructure devices using a rigorous configuration management and change control process in order to prevent attackers from exploiting vulnerable services and settings.	PLEASE RESPOND (Using Dropdown)		
	MINIMUM REQUIRED LEVEL = PARTIALLY			

12	BOUNDARY DEFENSE	RESPONSE	EXPLANATION OF CONTROLS	SUBSTANTIATING DOCUMENT(S)
	Detect/prevent/correct the flow of information transferring networks of different trust levels with a focus on security-damaging data.	PLEASE RESPOND (Using Dropdown)		
	MINIMUM REQUIRED LEVEL = PARTIALLY			
13	DATA PROTECTION	RESPONSE	EXPLANATION OF CONTROLS	SUBSTANTIATING DOCUMENT(S)
	The processes and tools used to prevent data exfiltration, mitigate the effects of exfiltrated data, and ensure the privacy and integrity of sensitive information.	PLEASE RESPOND (Using Dropdown)		
	MINIMUM REQUIRED LEVEL = PARTIALLY			
14	CONTROLLED ACCESS BASED ON THE NEED TO KNOW	RESPONSE	EXPLANATION OF CONTROLS	SUBSTANTIATING DOCUMENT(S)
	The processes and tools used to track/control/prevent/correct secure access to critical assets (e.g., information, resources, systems) according to the formal determination of which persons, computers, and applications have a need and right to access these critical assets based on an approved classification.	PLEASE RESPOND (Using Dropdown)		
	MINIMUM REQUIRED LEVEL = PARTIALLY			
15	WIRELESS ACCESS CONTROL	RESPONSE	EXPLANATION OF CONTROLS	SUBSTANTIATING DOCUMENT(S)
	The processes and tools used to track/control/prevent/correct the security use of wireless local area networks (LANS), access points, and wireless client systems.	PLEASE RESPOND (Using Dropdown)		
	MINIMUM REQUIRED LEVEL = PARTIALLY			
16	ACCOUNT MONITORING AND CONTROL	RESPONSE	EXPLANATION OF CONTROLS	SUBSTANTIATING DOCUMENT(S)
	Actively manage the life cycle of system and application accounts -their creation, use, dormancy, deletion - in order to minimize opportunities for attackers to leverage them.	PLEASE RESPOND (Using Dropdown)		
	MINIMUM REQUIRED LEVEL = PARTIALLY			
17	SECURITY SKILLS ASSESSMENT AND TRAINING	RESPONSE	EXPLANATION OF CONTROLS	SUBSTANTIATING DOCUMENT(S)
	For all functional roles in the organization (prioritizing those mission-critical to the business and its security), identify the specific knowledge, skills, and abilities needed to support defense of the enterprise; develop and execute an integrated plan to assess, identify gaps, and remediate through policy, organizational planning, training, and awareness programs.	PLEASE RESPOND (Using Dropdown)		
	MINIMUM REQUIRED LEVEL = PARTIALLY			

18	APPLICATION SOFTWARE SECURITY	RESPONSE	EXPLANATION OF CONTROLS	SUBSTANTIATING DOCUMENT(S)
	Manage the security life cycle of all in-house developed and acquired software in order to prevent, detect, and correct security weaknesses.	PLEASE RESPOND (Using Dropdown)		
	MINIMUM REQUIRED LEVEL = PARTIALLY			
19	INCIDENT RESPONSE AND MANAGEMENT	RESPONSE	EXPLANATION OF CONTROLS	SUBSTANTIATING DOCUMENT(S)
	Protect the organization's information, as well as its reputation, by developing and implementing an incident response infrastructure (e.g., plans, defined roles, training, communications, management oversight) for quickly discovering an attack and then effectively containing the damage, eradicating the attacker's presence, and restoring the integrity of the network and systems.	PLEASE RESPOND (Using Dropdown)		
	MINIMUM REQUIRED LEVEL = PARTIALLY			
20	PENETRATION TESTS	RESPONSE	EXPLANATION OF CONTROLS	SUBSTANTIATING DOCUMENT(S)
	Test the overall strength of an organization's defenses (the technology, the processes, and the people) by simulating the objectives and actions of an attacker.	PLEASE RESPOND (Using Dropdown)		
	MINIMUM REQUIRED LEVEL = PARTIALLY			

APPENDIX U

VENDOR PROFILE

VENDOR COMPANY INFORMATION					VENDOR RESOURCE COMPLETING QUESTIONNAIRE		
Vendor Name:					Name Of Vendor Assignee:		
Vendor Website:					Role Or Title:		
Vendor Address:					Phone Number:		EXT: <input type="text"/>
City:	<input type="text"/>	State:	<input type="text"/>	Zip:	<input type="text"/>	Email Address:	

Instructions: Please answer the questions making entries in the Response area.

VENDOR SERVICE STATUS	RESPONSE
<p>1</p> <p>Is your organization currently providing services to NY State Insurance Fund (NYSIF), either actively or on an intermittent (ad-hoc) basis? Note: If no longer providing services in any capacity, please provide details of service termination, dates, etc. for review and consideration.</p>	

SERVICE OVERVIEW	RESPONSE
<p>2</p> <p>Is there an executed contract between NYSIF and your organization?</p>	
<p>3</p> <p>What is the current business relationship? (I.e. What services does your organization currently provide to NYSIF? (*Please be detailed*))</p>	
<p>4</p> <p>Will the business relationship between NYSIF and your organization change within the next year? If so, please describe the changes.</p>	
<p>5</p> <p>From what physical location(s) does your organization provide services to NYSIF? (Please include all locations providing services.)</p>	

DATA EXCHANGE	RESPONSE
<p>6</p> <p>Does your organization receive data from NYSIF?</p>	
<p>(6a)</p> <p>By what means is NYSIF data exchanged and in what direction; from NYSIF to your organization or both directions?</p>	
<p>7</p> <p>Of the following, what types of data are transmitted/stored/processed by your organization during the course of providing services to NYSIF?</p>	
<p>(7a)</p> <p>Protected Health Information ("PHI")?</p>	
<p>(7b)</p> <p>Payment Card Information ("PCI")?</p>	
<p>(7c)</p> <p>Personally Identifiable Information ("PII")?</p>	
<p>(7d)</p> <p>Social Security Number ("SSN")?</p>	
<p>(7e)</p> <p>Financial information, or information that could be covered under SOX?</p>	
<p>(7f)</p> <p>Other, not included above?</p>	
<p>8</p> <p>On average, what is the volume of NYSIF data transmitted, processed, received, etc. per month by your organization?</p>	
<p>9</p> <p>On average, what is the volume of NYSIF data stored by your organization?</p>	
<p>10</p> <p>In the past 12 months has your organization, or any of your sub-contractors, experienced a material breach or unauthorized disclosure of any data? If yes, please describe situation, data exposed and timing in detail.</p>	

APPENDIX V

Vendor Assurance of No Conflict of Interest or Detrimental Effect

The Firm offering to provide services pursuant to this Claims Investigative Services RFP, 2017-135-CL, as a contractor, joint venture contractor, subcontractor, or consultant, attests that its performance of the services outlined in this Contract does not and will not create a conflict of interest with nor position the Firm to breach any other contract currently in force with the State of New York.

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

1. The fulfillment of obligations by the Firm, as proposed in the response, does not violate any existing contracts or agreements between the Firm and the State;
2. The fulfillment of obligations by the Firm, as proposed in the response, does not and will not create any conflict of interest, or perception thereof, with any current role or responsibility that the Firm has with regard to any existing contracts or agreements between the Firm and the State;
3. The fulfillment of obligations by the Firm, as proposed in the response, does not and will not compromise the Firm's ability to carry out its obligations under any existing contracts between the Firm and the State;
4. The fulfillment of any other contractual obligations that the Firm has with the State will not affect or influence its ability to perform under any contract with the State resulting from this Contract;
5. During the negotiation 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, including any contract which results from this Contract, 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,

APPENDIX V

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 engaged under this RFP should note that the State recognizes that conflicts may occur in the future because a Firm may have existing or new relationships. The State will review the nature of any such new relationship and reserves the right to terminate the contract for cause if, in its judgment, a real or potential conflict of interest cannot be cured.

Name, Title:

Signature:

Date:

This form must be signed by an authorized executive or legal representative.

APPENDIX X

EO 177 CERTIFICATION

PROHIBITING STATE 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, disability, marital status, familial status, domestic violence victim status, prior arrest or conviction record, military status or predisposing genetic characteristics.

The 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, the 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____

APPENDIX Z

FEE SCHEDULE PROPOSAL

Bidder	_____	Contact	_____
DBA, if any	_____	Title	_____
Federal ID #	_____	Email Address	_____
Type of Firm	_____	Telephone #	_____
Address	_____	Fax #	_____
	_____	Web Address	_____

REGION: _____

Bidders must use one sheet for each Region. Bidder must sign both pages of the Fee Schedule.

See Exhibit 1 for detailed map of the regions.

Surveillance Assignments and/or WCB Testimony	8 hours	\$ _____
	4 hours	\$ _____
Complex, Non-Surveillance Assignments	Completed Assignment	\$ _____
	Incomplete Assignment	\$ _____
	Successful Follow-up	\$ _____
Routine, Non-Surveillance Assignments	Completed Assignment	\$ _____
	Incomplete Assignment	\$ _____
	Successful Follow-up	\$ _____

Notes:

Prices shall include all direct and indirect costs, including, but not limited to, direct labor costs, overhead, fee or profit, clerical support, equipment, materials, supplies, managerial (administrative) support, all documents, reports, forms, reproduction and any other costs.

All prices to be bid at a flat rate in whole dollar amounts. The flat rate will be an all-inclusive rate. Only direct out of pocket fees, such as medical record fees, photocopying fees (outside of Bidder's office), etc. will be billable, requiring a receipt. If a receipt is not available, a brief explanation as to the reason(s) should appear upon the invoice. This charge must appear as a separate entry upon the Bidder's invoice.

Surveillance rates are all inclusive. Surveillance rates must include everything necessary to bring about a productive surveillance including the use of more than one operative as indicated or required. Pre-surveillance, database searches, travel time, mileage, video, copying of videos etc. is included. Providing NYSIF, WCB, attorneys, etc. with additional copies of recordings at NYSIF's request at any time will also be included in the all-inclusive rate. The 4 and 8 hour blocks of time are for actual on-site surveillance (not travel time). If a surveillance concludes prior to or continues after the assigned time, the invoice is pro- rated at the assigned block rate.

Signature: _____ Title: _____

Typed Name: _____ Date: _____

APPENDIX Z

FEE SCHEDULE PROPOSAL

Complex, Non-Surveillance Assignments include: as Interview/Signed Statements, Activity Checks and Database Search.

Routine, Non-Surveillance Assignments include: Permanent Disability Field Review, Beneficiary Field Review, Medical Records, Forms, Documents and Miscellaneous

Wherein a requested Investigation is not completed, but a valid attempt is documented, a partial fee will be billable. If the Bidder is subsequently successful in completing the request, the difference between the original agreed upon flat fee and the partial fee paid, will then be billable. In other words, incomplete rate plus successful follow up rate must equal complete rate.

Any item not listed is subject to prior approval by NYSIF.

NYSIF reserves the right to review all documents, bills, expense reports, files etc. prepared by Bidder relating to investigation assigned to them by NYSIF on the Bidder's premises at the request of NYSIF.

Volume – The information which follows is supplied for bidding purposes only. The below figures represent the volume of assignments issued by each office during 2017 for all locations (in-state, national and international). It does not represent the actual number of assignments completed within the confines each region.

Investigations Assignments 2017

Office	Surveillance	Non-Surveillance
Albany	1877	3533
Syracuse	1091	978
Rochester	349	436
White Plains	378	3571
Nassau	704	1321
Suffolk	1506	2419
Manhattan (Div 1)	1043	3635
New York City (Div 2)	126	2960
Binghamton	496	1328
Buffalo	1314	1293
Totals	8884	21474

Signature: _____ Title: _____

Typed Name: _____ Date: _____

APPENDIX Z FEE SCHEDULE PROPOSAL

FEE SCHEDULE SUPPLEMENTAL:

National Coverage

Any Bidder that has the capacity to provide national services, with their own employees, is encouraged to complete the Appendix Z "Fee Schedule Supplemental" section below and provide additional information on its ability to service the national area. NYSIF is seeking an all inclusive flat rate, in whole dollar amounts, for Investigative Services performed in the United States (including Puerto Rico). These rates are for Bidding purposes only and shall not be evaluated.

Prices shall include all direct and indirect costs, including, but not limited to, travel fees, direct labor costs, overhead, fee or profit, clerical support, equipment, materials, supplies, managerial (administrative) support, all documents, reports, forms, reproduction and any other costs.

Only direct out of pocket fees, such as medical record fees, photocopying fees (outside of Bidder's office), etc. will be billable, requiring a receipt. If a receipt is not available, a brief explanation as to the reason(s) should appear upon the invoice. This charge must appear as a separate entry upon the Bidder's invoice.

NATIONAL RATE (UNITED STATES INCLUDING PUERTO RICO)

Surveillance Assignments and/or WCB Testimony	8 hours	\$ _____
	4 hours	\$ _____
Complex, Non-Surveillance Assignments	Completed Assignment	\$ _____
	Incomplete Assignment	\$ _____
	Successful Follow-up	\$ _____
Routine, Non-Surveillance Assignments	Completed Assignment	\$ _____
	Incomplete Assignment	\$ _____
	Successful Follow-up	\$ _____

Please Note:

- NYSIF reserves the right to request national and/or international investigative services if the Bidder indicates they can provide these services.
- If NYSIF selects a Bidder for international services, the rates will be subject to negotiation on a case by case basis.

Signature: _____ Title: _____

Typed Name: _____ Date: _____

EXHIBIT 1
MAP OF REGIONS

Investigative Services

Map of Regions

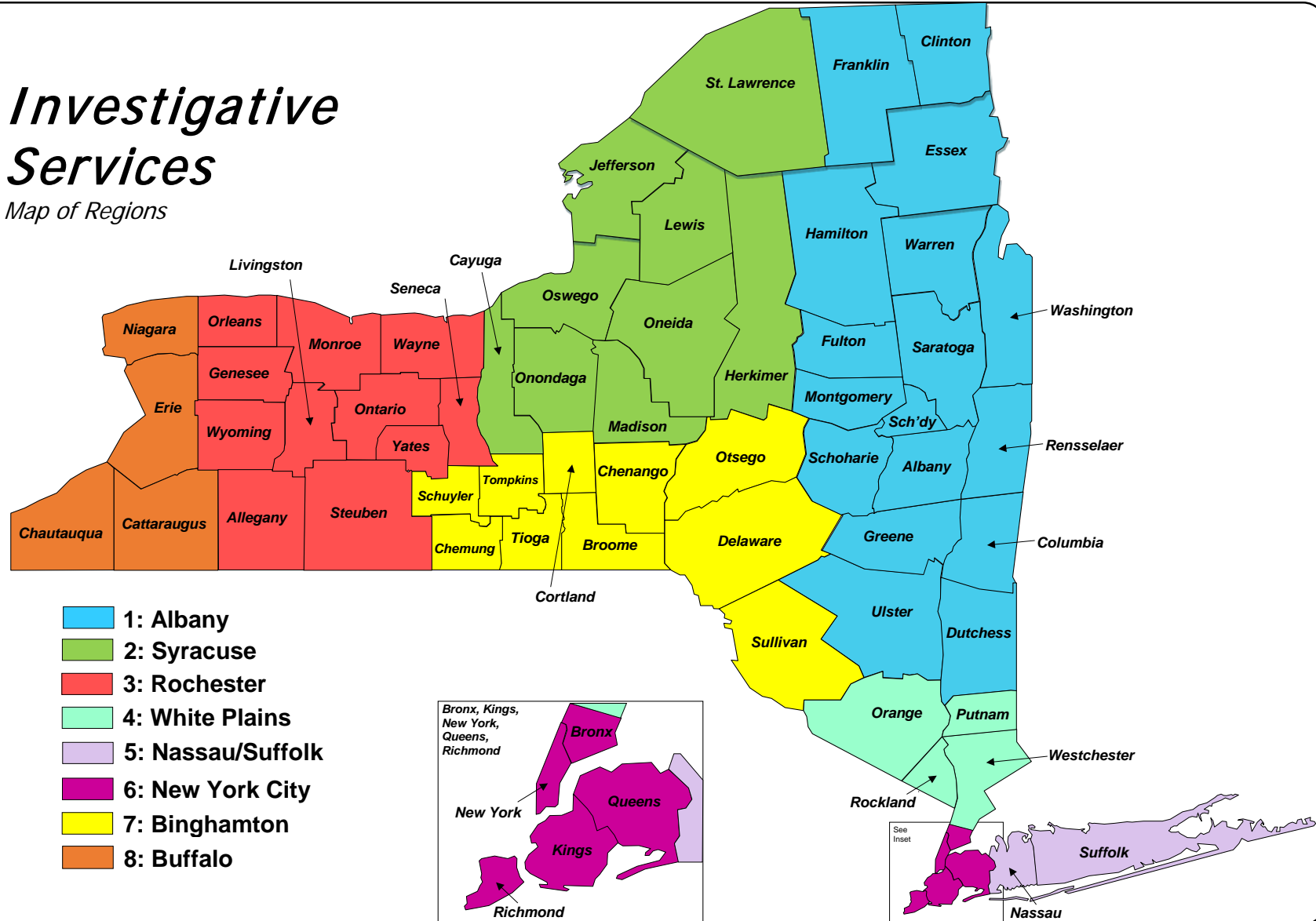


EXHIBIT 2

SAMPLE TEMPLATE MISCELLANEOUS INVESTIGATIONS (SUBMISSION NOT REQUIRED)

Date of this report: _____

Claimant: _____ NYSIF Case#: _____ -Unit - _____ D/A: _____

Agency Name: _____ Investigation Date: _____

Person who conducted investigation: _____ Title: _____

Agency Investigation No.: _____ NYSIF Investigation No.: _____

Phone [] Field [] By Appointment [] Preliminary report #: [] Final report []

Person interviewed: _____

Of (name of business): _____

Address visited: _____

Telephone number: _____

1. Purpose of Investigation? _____

2. Was request accomplished? _____

3. If no, provide details _____

4. Report text: _____

Approved by: _____

Rev12/07

Exhibit 3 - Personnel Qualifications Sheet.xlsx

[illegible]

EXHIBIT 4 – SURVEILLANCE EVALUATION

Surveillance Evaluation				
Claimant Information	Evaluation Questions	Results	Final Score	
Completed assignment promptly				
5 4 3 2 1				
<input type="radio"/> Outstanding <input type="radio"/> Good <input type="radio"/> Average <input type="radio"/> Fair <input type="radio"/> Poor				
The assignment was completed in a timely manner and was submitted in keeping with the required due date.				
Quality of video				
<input type="radio"/> Outstanding <input type="radio"/> Good <input type="radio"/> Average <input type="radio"/> Fair <input type="radio"/> Poor				
Contains high quality color. Date and time displayed. Clear facial views of claimant. Clear and steady picture, with audible sound when required.				
Quality of report				
<input type="radio"/> Outstanding <input type="radio"/> Good <input type="radio"/> Average <input type="radio"/> Fair <input type="radio"/> Poor				
Reports, organizes, and conveys information and ideas accurately. Presents facts, excluding personal opinions. Documents activity.				
Compliance with Instructions				
<input type="radio"/> Outstanding <input type="radio"/> Good <input type="radio"/> Average <input type="radio"/> Fair <input type="radio"/> Poor				
Complies with both general and special instructions.				
Compliance with standards				
<input type="radio"/> Outstanding <input type="radio"/> Good <input type="radio"/> Average <input type="radio"/> Fair <input type="radio"/> Poor				
Exercises good judgment, uses field time effectively, uses appropriate equipment and appropriate techniques.				

EXHIBIT 5 – NON-SURVEILLANCE EVALUATION

Non-SurveillanceEvaluation				
Claimant Information	Evaluation Questions	Results	Final Score	
Completed assignment promptly				
5 4 3 2 1				
<input type="radio"/> Outstanding <input type="radio"/> Good <input type="radio"/> Average <input type="radio"/> Fair <input type="radio"/> Poor				
The assignment was completed in a timely manner and was submitted in keeping with the required due date.				
Quality of report				
<input type="radio"/> Outstanding <input type="radio"/> Good <input type="radio"/> Average <input type="radio"/> Fair <input type="radio"/> Poor				
Reports, organizes, and conveys information and ideas accurately. Presents facts, excluding personal opinions. Documents activity.				
Compliance with Instructions				
<input type="radio"/> Outstanding <input type="radio"/> Good <input type="radio"/> Average <input type="radio"/> Fair <input type="radio"/> Poor				
Complies with both general and special instructions.				
Compliance with standards				
<input type="radio"/> Outstanding <input type="radio"/> Good <input type="radio"/> Average <input type="radio"/> Fair <input type="radio"/> Poor				
Exercises good judgment, uses field time effectively, uses appropriate equipment and appropriate techniques.				

3. What are claimant's daily activities?, Describe how claimant's time is occupied
4. Has claimant returned to work in ***any employment at any time*** since the date of accident?
If yes, explain (date of return, f/t, p/t, wage, name and address of employer)
5. Is claimant currently undergoing medical treatment?
If yes, list names and addresses of medical providers

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

6. Were activities consistent with disability?

If no, explain

7. Were 3 sources interviewed?

If yes, complete source 1,2,3 below, provide name and address (include apt. no.). If name refused, provide description. Indicate what each source said about claimant's activities.

If no, explain and complete all sources that were interviewed

Source 1

Source 2

Source 3

8. Report text:

Approved by:

Rev 09/11

1. Do you know the person who assaulted you?
If yes, provide details
2. Was this person a friend?
If yes, provide details
3. Have you known each other for a long time?
If yes, provide details
4. Was this person a fellow employee?
If yes, provide details
5. Have you socialized outside of employment?
If yes, provide details
6. Was he/she a fellow employee/supervisor?
If yes, provide details
7. Was there a personal argument between you?
If yes, provide details

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

8. Was a complaint logged with the police?
If no, why wasn't it?

If yes, provide details

9. Report text:

Approved by:
Rev 12/07

1. Is lifting or stooping a regular part of the claimants duties?
If yes, provide details including amount of time spent on each
2. Is lifting or stooping only an occasional activity?
If yes, provide details including amount of time spent on each
3. Was weight lifting involved in the accident?
If yes, ascertain the approximate size and weight of the object lifted.
Be specific as to the height and weight of the object lifted –from where to where
4. Did the claimant rest after the alleged injury?
5. Was the accident reported to anyone in the company?
If yes, when and where and to whom did the claimant report the accident?
If no, how did alleged event come to the attention of assured?
6. Were there any witnesses to the accident?
If yes, names and titles
Obtain their statements, if C-201A is requested.
7. Are any previous injuries and/ or back complaints known to the employer or acknowledged by the claimant?

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

If yes, describe fully

8. Did the claimant localize his pain and symptoms to a specific region?
If yes, ascertain the specific region

9. Report text:

Approved by:
Rev 12/07

Reported on behalf of: *New York State Insurance Fund*

Beneficiary Field Review

Date of this report:

Claimant: **NYSIF Case#:** **-Unit -** **D/A:**

Agency Name: _____ **Investigation Date:** _____

Person who conducted investigation: _____ **Title:** _____

Agency Investigation No.: NYSIF Investigation No.:

Phone ☐ **Field** ☐ **By Appointment** ☐ **Preliminary report #:** **Final report** ☐

Eligibility status checks on beneficiary of death benefits.

The purpose of this assignment is to ascertain the continuing eligibility of the captioned beneficiary for the benefits that are being paid biweekly by computer pursuant to Workers' Compensation Board award. We wish to determine if the beneficiary (ies) is/are alive, still eligible for benefits and that checks are being received timely.

Beneficiary Name: _____ Address on request: _____ Phone #: _____

Address where beneficiary was seen and/or interviewed: _____ If not at address on request, state reason why _____

1. Was beneficiary seen in person?
If yes, provide description:

Height

Weight

Race

Eye color

Hair color

Gender

Distinguishing marks

Does the beneficiary look the stated age?

If no, explain (# 14) and interview 2 sources not related to or living with beneficiary

2. Was beneficiary interviewed?

If no, explain (#14) and interview 2 sources not related to or living with beneficiary

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

3. Did beneficiary present proper photo identification?
 If yes, ID type
 Number

 If no, state reason
What type of non-photo ID did beneficiary present?
 ID type
 Number
If no ID was seen, interview 1 source not related to or living with beneficiary
4. Has address and/or phone number of record changed?
 If yes, provide new address and/or new phone #
5. If the beneficiary is the spouse has (s) he remarried or plans to re-marry?
 If yes, provide details
6. Did beneficiary (if remarried) provide a copy of the marriage certificate?
 If no, obtain name, address and phone number where marriage certificate can be secured
7. Are there dependent children?
 If yes, provide the following information:
 Name
 SS#
 Date of Birth
8. Is dependent attending school?
 If yes, provide the following information:
 Name, address and phone number of school
9. Is there a Power of Attorney?
 If yes, provide details
10. Are checks being received in a timely manner?
 If no, explain
11. Secure a signed and dated form DP523B from the beneficiary
12. Is beneficiary deceased?
 If yes, provide details
13. Did informant (if beneficiary deceased) provide a copy of death certificate?
 If no, obtain name, address and phone number where death certificate can be secured
14. Explanation (Why Beneficiary not seen and/or not interviewed)

Include in source information: Alive? Lives at address? Remarried? Etc.

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

Source 1: Provide name and address (include apt. no.) and what source said. If name refused, state NAME REFUSED and provide description.

Source 2: Provide name and address (include apt. no.) and what source said. If name refused, state NAME REFUSED and provide description.

15. Did you encounter anything suspicious while conducting this investigation?

If yes, explain

16. Date, time and results of phone calls

17. Date and results of letters sent

18. Was photograph of beneficiary secured?

19. List evidence which is being forwarded to Point Person

Report text: Limit to items not previously addressed in template questions

Approved by:

Rev 12/07

1. Is the driver a radio rights owner/franchisee?
If no, provide details
2. Are drivers screened and trained by the assured?
If yes, provide details
3. Does a detailed manual of rules and regulations exist?
If yes, provide details
4. Must the driver personally operate the vehicle exclusively for this assured?
If no, provide details
5. Does a driver dress code exist?
If yes, provide details
6. Is driver conduct closely regulated with minimum standards of job performance required?
If yes, provide details
7. Is failure to maintain the minimum standards enforced by fines and threat of expulsion?
If yes, provide details

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

8. Does the assured have the right to discharge/terminate for any failure to perform in accordance with the terms and conditions?
If no, provide details
9. Can the agreement between the driver and the assured be otherwise disposed of without prior consent of the assured?
If yes, provide details
10. Are voucher fare assignments mandatory in nature?
If no, provide details
11. Are drivers only allowed to answer calls dispatched by this assured?
If no, provide details
12. Can drivers accept fares other than those referred by the assured?
If yes, provide details
13. Can drivers pick up fares independent of those dispatched by the assured's dispatcher?
If yes, provide details
14. Does the assured set the rates, fares and other fees charged to clients?
If no, provide details
15. Does the assured have complete control over the solicitation and scheduling of voucher fares?
If no, provide details
16. Are the passengers clients of the assured?
If no, provide details
17. Does the assured have exclusive authority over the handling and processing of the voucher payment system?
If no, provide details
18. Can drivers accept cash payments?
If yes, provide details
19. Are all vouchers, fares and charged fees remitted to the assured on a periodic basis?
If no, provide details
20. Are the drivers paid by check drafted by the assured?
If no, provide details
21. Does the driver pay union dues, rent for the radio and commissions on his receipts?
If yes, provide details
22. Are drivers required to drive a particular type of luxury car?
If yes, provide details

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

- 23. Must the vehicle be a specific color?
If yes, provide details
- 24. Does the vehicle display signs indicating the name/logo of the assured?
If yes, provide details
- 25. Does the assured own/furnish the vehicle?
If no, provide details
- 26. Are drivers required to lease a radio from the assured?
If no, provide details
- 27. Report text:

Approved by:

Rev 12/07

Reported on behalf of: *New York State Insurance Fund*

Carpal Tunnel/Repetitive Trauma Claims

Date of this report:

Claimant: **NYSIF Case#:** **-Unit -** **D/A:**

Agency Name: _____ **Investigation Date:** _____

Person who conducted investigation: _____ **Title:** _____

Agency Investigation No.: _____ **NYSIF Investigation No.:** _____

Phone ☐ **Field** ☐ **By Appointment** ☐ **Preliminary report #:** **Final report** ☐

Person interviewed:

Of (name of business):

Address visited:

Telephone number:

1. Describe claimant's current job duties
(Include a complete and thorough description of job duties, tasks performed to include position and motion of hands, wrists and arms. Daily frequency and duration of each task).
2. Was the claimant provided with a wrist rest when using equipment such as computer keyboards?
3. Was the claimant allowed to take breaks?
4. How often and duration?
5. How long has the claimant performed each task while an employee of this assured?
6. Did the claimant perform the same or similar tasks for previous employers?
7. Does the claimant have a systemic disease such as diabetes, high blood pressure, thyroid disease, heart condition, lupus or arthritis?
If yes, list which one, when, where and with whom treated)
8. Other systemic disease?
If yes, explain (list when, where and with whom treated)

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

9. Pregnant?
If yes, explain (list when, where and with whom treated)
10. Is claimant engaged in any activities outside of work such as bowling, knitting, golf, crocheting, arts and crafts, skiing or skating?
If yes, indicate which one and amount of time spent per week)
11. Other repetitive hand activity?
If yes, explain (indicate amount of time spent per week)
12. Was claimant ever treated for carpal tunnel syndrome, tendonitis, overuse syndrome?
If yes, explain
13. When did the claimant first notice symptoms (tingling, numbness, etc.)?
14. Does the claimant have other employment?
If yes, explain (please include job title and job description)
15. List prior medical problems, complaints, surgeries:

Report text:

Approved by :

Rev 12/07

Other Names (s) used by Spouse

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

Dependent Child (ren) Name (s)

ACCIDENT INFORMATION:

Date of accident

Time of accident

Address or exact location where accident occurred

Description of how accident occurred

Describe the injury including which body parts were involved

If back or hernia case, when did claimant first feel pain?

Specific region

Was claimant unconscious? _____, Dazed? _____, How long? _____

NOTICE:

How did claimant report the accident to the employer?

Date reported

to whom?

Location

Title

Was an accident report completed?

WITNESS INFORMATION:

Were there any witnesses to the accident?

If yes, provide name, phone number and address

THIRD PARTY LAWSUIT:

Is claimant suing?

If yes, whom?

Address

Attorney's name

Address

Phone

Has claimant settled?

MEDICAL TREATMENT:

Secure HIPAA medical release

Was first aid given to the claimant at the scene?

If yes, by whom

For initial treatment, claimant was transported to

How were they transported	Date transported
by air	1945
by sea	1946
by land	1947
by rail	1948
by bus	1949
by car	1950
by boat	1951
by train	1952
by ship	1953
by plane	1954
by truck	1955
by motorcycle	1956
by bicycle	1957
by foot	1958
by horse	1959
by sled	1960
by canoe	1961
by kayak	1962
by raft	1963
by rowing	1964
by swimming	1965
by diving	1966
by climbing	1967
by jumping	1968
by sliding	1969
by skiing	1970
by skating	1971
by cycling	1972
by walking	1973
by running	1974
by jumping	1975
by sliding	1976
by skiing	1977
by skating	1978
by cycling	1979
by walking	1980
by running	1981
by jumping	1982
by sliding	1983
by skiing	1984
by skating	1985
by cycling	1986
by walking	1987
by running	1988
by jumping	1989
by sliding	1990
by skiing	1991
by skating	1992
by cycling	1993
by walking	1994
by running	1995
by jumping	1996
by sliding	1997
by skiing	1998
by skating	1999
by cycling	2000
by walking	2001
by running	2002
by jumping	2003
by sliding	2004
by skiing	2005
by skating	2006
by cycling	2007
by walking	2008
by running	2009
by jumping	2010
by sliding	2011
by skiing	2012
by skating	2013
by cycling	2014
by walking	2015
by running	2016
by jumping	2017
by sliding	2018
by skiing	2019
by skating	2020
by cycling	2021
by walking	2022
by running	2023
by jumping	2024
by sliding	2025
by skiing	2026
by skating	2027
by cycling	2028
by walking	2029
by running	2030
by jumping	2031
by sliding	2032
by skiing	2033
by skating	2034
by cycling	2035
by walking	2036
by running	2037
by jumping	2038
by sliding	2039
by skiing	2040
by skating	2041
by cycling	2042
by walking	2043
by running	2044
by jumping	2045
by sliding	2046
by skiing	2047
by skating	2048
by cycling	2049
by walking	2050
by running	2051
by jumping	2052
by sliding	2053
by skiing	2054
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by walking	2057
by running	2058
by jumping	2059
by sliding	2060
by skiing	2061
by skating	2062
by cycling	2063
by walking	2064
by running	2065
by jumping	2066
by sliding	2067
by skiing	2068
by skating	2069
by cycling	2070
by walking	2071
by running	2072
by jumping	2073
by sliding	2074
by skiing	2075
by skating	2076
by cycling	2077
by walking	2078
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by jumping	2080
by sliding	2081
by skiing	2082
by skating	2083
by cycling	2084
by walking	2085
by running	2086
by jumping	2087
by sliding	2088
by skiing	2089
by skating	2090
by cycling	2091
by walking	2092
by running	2093
by jumping	2094
by sliding	2095
by skiing	2096
by skating	2097
by cycling	2098
by walking	2099
by running	2100
by jumping	2101
by sliding	2102
by skiing	2103
by skating	2104
by cycling	2105
by walking	2106

If claimant was transported to a hospital, was he/she admitted?

Primary physician for this injury

Is claimant still treating?	If yes, explain

[illegible]

Present Medical complaints:

PRIORS:

Has claimant suffered any prior conditions, illnesses, injuries or accidents? (For example, Hypertension, Diabetes, Drug/ Alcohol Treatment, Permanent Impairments/Physical Limitations, Eyeglasses, Contact Lenses Etc.)

If yes, explain

Has claimant had any prior work related injuries?

If yes, explain

Has claimant ever had an injury/illness to the same body part or system?

If yes, describe the injury/illness

Was it related to work? Was a claim filed for WC benefits?

Type of medical treatment received

Medical provider that treated

Dates of medical treatment

Did claimant have any previous hospitalizations/surgery?

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

If yes, explain

Does the claimant have any other health-related issues?

If yes, explain

LOST TIME/WAGES:

Did the claimant lose time from work?

If yes, last day worked?

Has claimant returned to work?

If yes, RTW date?

At regular duties?

Salary now receiving

EMPLOYMENT INFORMATION:

Name of employer

Address

Claimants work status

Date of Hire

Does claimant receive room, meals or other benefits in addition to their base pay?

If yes, explain

Claimant's regular work week

Claimant's regular work hours

Claimant's supervisor

Claimant's job title

Description of claimant's job duties

Was claimant employed by anyone else at the time of the accident?

If yes, explain

Claimant's gross AWW

Gross income for prior 52 weeks

Is claimant related to the owner or administrative officer?

If yes, explain

OTHER BENEFITS:

Has claimant applied for Unemployment benefits?

Or Disability benefits

Or Social Security Insurance

If so, is claimant collecting?

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

Amount

Benefit start date

Is the claimant Medicare eligible? If so, effective date

Is the claimant over age 65, collecting SSDB benefits for 24 months or more, or in end stage renal disease? Give effective date of event, and explain

RETIREMENT INFORMATION:

Has claimant filed for retirement or otherwise indicated intent to retire at a given time/age?

If yes, Disability, or Regular?

Effective date

Does claimant have a pension plan?

If yes, at what age is claimant eligible to retire under pension plan?

Comments

List evidence being mailed to Point Person

Approved by:

Rev 05/10

1. Is claimant assigned to a fixed route?
Explain.
2. Is claimant required to use his/her own vehicle?

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

Explain.

3. Does the claimant's workday start when he/she leaves home?
Explain.

4. Was the claimant on a special errand?
Explain.

5. Is the claimant transported to and from work?
Explain.

6. Report text:

Approved by:
Rev 12/07

1. Was the State Insurance fund your Workers' Compensation Carrier on the date of accident?
If no, provide details
2. Is the name of the employer correct?
If no, provide details
3. Is the claimant an employee of the business?
If yes, provide details
4. Does the employer own multiple entities?
If yes, provide details
5. Is there any entity that is excluded from coverage?
If yes, provide details
6. Does the claimant work at a location that is excluded from coverage?
If yes, provide details
7. Is the claimant the owner or partner of the business?
If yes, provide details
8. Is the business a corporation?
If no, provide details

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

9. Is the claimant a relative of the employer?
If yes, provide details
10. Is the claimant a medallion taxi driver?
If yes, provide details
11. Does the claimant drive a medallion taxi owned by the employer?
If no, provide details
12. Is there a police report or MV-104?
If yes, provide details
13. Is the claimant an independent contractor/subcontractor?
If yes, provide details
14. Was there a general contractor on the job?
If yes, provide details
15. Is the claimant a building employee?
If yes, provide details
16. Did the accident happen on the employer's premises?
If no, provide details
17. Does the employer own the building where the accident happened?
If no, provide details
18. Report text:

Approved by:
Rev 12/07

Reported on behalf of: *New York State Insurance Fund*

C.P.A. Audit

Date of this report:

Claimant: **NYSIF Case#:** **-Unit -** **D/A:**

Agency Name: _____ **Investigation Date:** _____

Person who conducted investigation: _____ **Title:** _____

Agency Investigation No.: NYSIF Investigation No.:

Phone ☐ Field ☐ By Appointment ☐ Preliminary report #: Final report ☐

Person interviewed:

Of (name of business):

Address visited:

Telephone number:

- 1. Is this an initial or follow-up audit**

- ## 2. Subject of audit

Name

Address

Phone #

- ### 3. Claimant's attorney

Name

Address

Phone #

- #### 4. Purpose of audit?

- ## 5. Was audit conducted?

If no, explain

- 6. Is this report needed for a hearing?**

If yes, date of hearing

- 7. Report text:**

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

Approved by :

Rev 12/07

Database Search

Date of this report:

Claimant: **NYSIF Case#:** **-Unit -** **D/A:**

Agency Name: _____ **Investigation Date:** _____

Person who conducted investigation: _____ **Title:** _____

Agency Investigation No.: _____ **NYSIF Investigation No.:** _____

Phone ☐ Field ☐ By Appointment ☐ Preliminary report #: Final report ☐

Database search investigations include searches on the listed websites as well as those requested in special instructions and websites the vendor has found to be useful in their investigative experience.

Sites to search for information on claimant's activities, hobbies, employment status, photos, etc:

1- google

2- facebook

3- twitter

4- linkedin

5- pinterest

6- myspace

7- tumblr

8- flickr

9- pipl

10- craigslist

11-youtube

12- instagram

13- local community and neighboring communities patch sites

Sites to search for licenses held by the claimant:

1- county and neighboring counties consumer affairs websites

2- NYS Department of State Division of licensing services

3- NYS Department of Motor Vehicles

4- NYS Department of Education Department Office of the Professions, search as requested

Sites to search regarding court and criminal records

1 – vinelink

2- NYS Unified Court System (webcrims)

3- Federal Bureau of Prisons

4- NYS Department of Corrections Inmate Lookup

Other sites requested:

Vendor initiated searches:

Important evidence/indicators

Follow up undertaken/suggested

Rev 10/13

1. At the time of the alleged accident / death was decedent in the employ of the insured?
2. At the time of the accident / death was decedent performing his (her) regular work duties?
If so, provide details of precisely what the decedent was doing

If not, provide details as well
3. In the informant's opinion, was the accident / death in the course of employment?

If so, what makes informant think so?
If not, why
4. Does informant think original accident / death arose out of the course of employment?
Provide details as to why informant thinks so
5. Was the accident / death on the insured's premises?
If not, provide details of site of incident
6. Was the insured notified of the accident / death on the date of the incident?
Please provide the name and title of individual notified and date of notice (if not date of accident / death)
7. Did decedent die on the date of the accident?

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

If not, provide details as to when decedent died

8. Were any emergency services called to the scene?

9. Were the police called to the scene?

10. Was the Fire Department called to the scene?

11. Was the EMT called to the scene?

If so, provide detail as to which precinct / squad was called, names of responding officers / technicians, aided #, if known and obtain copies of any police reports

12. Did decedent die as a result of:

cardiovascular accident or stroke?

pulmonary distress?

silicosis (talcosis, asbestosis, pneumonosis, etc.) or other slow starting respiratory diseases?

motor vehicle accident?

homicide?

fall?

electric shock?

crush injuries?

burns?

cancer?

other?

If other, specify cause of death

Provide details of nature of death for any of the above

13. Has insured copy of the death certificate?

If so, obtain copy.

14. Was the decedent hospitalized after the incident?

If so, provide name(s) of hospital(s) and dates of hospitalization

15. Was an autopsy / post mortem exam performed on the decedent's cadaver?

If so, by what jurisdiction, which medical examiner / coroner, where, when, and M.E.#, if known

16. If autopsy was performed, has the insured a copy of the report?

If (s)he has a copy, please obtain same.

17. Was decedent a full-time worker?

18. Did decedent work a regular 9:00 AM to 5:00 PM shift?

If not, what were his (her) regular work hours?

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

19. Was s(he) a 5 day, Monday-Friday worker?
If not, how many days and which days did (s)he work
20. Was decedent a salaried worker paid by time?
If not, how was s(he) paid?
21. Please specify decedent's actual earnings
Attempt to secure a payroll for 52 weeks prior to date of accident, tax returns or other documentation of income.
22. Did decedent earn tips?
If so, clarify the nature of tips and an estimate of how much (s)he received
23. Did (s)he receive any bonuses, longevity pay, Christmas bonuses or other earnings not reported above?
If so, what was the annual value of these salary supplements?
24. Did decedent receive living quarters, utilities, board, food, clothing or other living expenses from the insured?
If so, specify value per year for these expenses
25. Did the original accident occur:
after 9:00 A.M. but before lunch break?
during decedent's morning break?
after his(her) lunch break but before 5:00 P.M.?
during his(her) afternoon break?
after 5:00 P.M. but during decedent's dinner break?
between 5:00 P.M. and 9:00 A.M. next day but not during a meal break?
Please specify time of day incident occurred
26. Where did the original accident occur?
Provide details as to location of accident including exact location, why decedent was there, how often (s)he goes there and whether informant knows why (s)he was there
27. Decedent's gender was
28. If decedent was under 25 years old, obtain a wage expectancy statement from employer. If (s)he was under 16 years old determine from the employer if (s)he had working papers and obtain a copy of same.
29. Did decedent claim any withholdings for dependents?
If so, how many
30. Decedent's marital status

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

Please provide details, if known by insured of dates and jurisdictions of any marriages and dissolutions of them

Also obtain names and addresses of spouses, estranged spouses, ex-spouses and deceased spouses

31. Had decedent children?

Obtain names, ages, sexes, and names and addresses of other parents of children

If ages 18 years old to 23 years old, determine if child is attending school fulltime and at what institution

Are any children known to be totally disabled?

32. Does informant know of any other dependents?

If so, state names, addresses and relationships to decedent

33. Did estate or spouse pay for funeral expenses?

Provide details of who paid for disposal of the remains, if known what funeral director handled the disposal and how much was paid

34. Did insured contribute to funeral expenses?

If so, how much did (s)he contribute?

To whom did (s)he pay the money?

35. Is reimbursement requested?

If so, obtain copies of all receipted bills and cancelled checks.

36. Were any wages advanced during any period of decedent's disability?

If so, how much and for what period

37. Is reimbursement requested?

If so, obtain completed copy of signed C-107 form.

38. To the best of the insured's knowledge, has any legal suit been filed on the estate's behalf against a third party?

If so, obtain details of the third party including names of any defendant's, nature of the contributory negligence charged, amount of claim, names and addresses of any attorneys for defendant or claimant

39. To the best of the insured's knowledge, had the decedent any permanent, prior, physical or mental impairment?

If so, what was the nature of the impairment?

Determine when and how the impairment was incurred and names and dates of any treating doctors (including addresses) and hospitals

If decedent took medication for the condition, who prescribed it, when was it prescribed and where was prescription filled

What was the name of the medication prescribed?

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

Also, fully explain The Second Injury Law, Section 15.8 of the Workers' Compensation Law to the informant to encourage his (her) cooperation.

40. Did the decedent, while sustaining his (her) injury, perform any acts forbidden by his (her) employer?
If so, what were the acts, why were they forbidden and how, if at all, did the employer discipline those who performed such acts
41. In the informant's opinion, was there any indication that decedent, immediately prior to the accident, was either intoxicated by alcohol or "recreational" drugs?
If so, please elaborate
42. In the informant's opinion, did a willful intent by the decedent to injure himself (herself) or others contribute in any way to the original accident?
If so, how was decedent trying to injure either him (her) self or someone else

Why was (s)he doing so?

What makes the informant think that it was what decedent was doing and how did it contribute?

43. Report text:

Approved by:

Rev 12/07

Disability address

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

Claimant Information:

Date of Birth **Age** **(If less than 25-WEC62? , working papers?)**

Address **Phone #**

Gender **Race**

Height **Weight**

Eye color **Hair color**

Distinguishing marks **Social Security #**

Is the claimant an owner/officer or related to an owner or officer?

If yes, what is the relationship?

Date of Hire **Job title**

Union/negotiating unit/local **Department**

Name of the claimant's immediate supervisor

Description of claimant's regular work duties

Claimant's regular work week **Claimant's scheduled work hours**

Does claimant work full or part time?

Is claimant a regular, seasonal, casual, loaned, subcontracted, independent contractor, volunteer or temporary employee?

If yes, explain

Is claimant a field worker?

If yes, explain

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

Accident Information:

Date of Accident Time of Accident

Did the accident occur on employer's premises? If yes, at which location?

If no, address where accident occurred

Description of how accident occurred

Nature of injury and body part

Object that injured claimant

Witnesses

Is a third party involved? If yes, explain

Notice:

Who gave notice?

Date and Time given? Oral or Written?

Notice given to whom? Title? Phone number?

Lost Time/Wages:

Is the claimant currently employed by policyholder?

If no, why? Separation date

Claimant's last day worked Last day paid

Was claimant paid in full for the day? If no, explain

List periods of lost time (C-11?)

Has claimant RTW? (C-11?) Date claimant RTW (C-11?)

Regular wages? (C-11?) If no, reduced wkly wage (C-11?)

Is/was claimant paid by employer for lost time? (C-107?)

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

Gross earnings for prior 52 weeks, including bonus, comm., room/board (C-240?)

Medical Treatment:

Was first aid rendered to claimant at the scene?

By whom, and to what extent?

Was claimant hospitalized?

How was claimant transported?

Name of hospital

Address

Phone number

Claimant was initially treated by

Primary doctor

Address

Phone number

Priors:

Is employer aware of prior conditions, illnesses, injuries or accidents claimant has suffered?
(Hypertension, Diabetes, Patent Defects, Eyeglasses, Contact Lenses Etc.)

If yes, explain

Did any of these involve compensation claims?

If yes, explain

Was the State Insurance Fund the carrier for any of these accidents?

If yes, explain

Alternate Duty:

Is light duty available?

Was it offered to claimant?

Did claimant refuse or accept?

Describe the light duty

Other Benefits:

Has claimant applied for Unemployment, Disability or SSI benefits?

If yes, are they receiving benefits? Amount Start Date

Retirement Information:

Has claimant filed for retirement or otherwise indicated intent to retire at a given time/age?

If yes, type: Disability, or Regular?

Effective date

Does claimant have a pension plan?

If yes, at what age is claimant eligible to retire under pension plan?

Is employer aware of claimant seeking employment elsewhere?

Comments:

Does employer have any reason to believe the claimant will abuse or take advantage of his/her workers' compensation benefits?

Does employer have any reason to dispute the accident / occurrence?

Any other comments?

List evidence being mailed to Point Person

Approved by:

Rev 12/07

Prior conditions-accidents, operations, congenital conditions-Sec 15-8 or 15-7?

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

Are any of these conditions due to compensation cases? Was SIF the carrier?
Explain

Name and address of disability carrier

Third party name and address (if none, state "none")

History of accident

Approved by:
Rev 12/07

1. Was claimant hired in N.Y.S.?
If no, provide details
2. Was claimant hired by a N.Y.S. employee of a N.Y.S. employer?
If no, provide details
3. Is he a regular employee of our assured?
If no, provide details
4. Has claimant traveled out of state before?
If yes, provide details
5. Is claimant a N.Y.S. resident?
If no, provide details
6. Is claimant paid from a N.Y.S. payroll?
If no, provide details
7. Is he a union member?
If yes, provide details
8. Is claimant paid at New York union rates?
If yes, provide details

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

9. Was the work performed incidental to assured's New York business?
Provide details
10. Is there a relationship between the claimant's job in the other state (where injured) and job performed by assured?
Provide details
11. Does the assured have a fixed location in the other state?
If yes, provide details
12. Does assured's policy contain an endorsement allowing for travel to location of injury?
If yes, provide details
13. Does assured have any additional workers' compensation coverage?
If yes, provide details
14. Report text:

Approved by:

Rev 12/07

1. Have claimant describe what he was doing at the time of the incident.
2. What position was claimant in (standing, sitting, etc.) before fainting?
What does the claimant think was the cause of his fainting?
3. Was there anything in the work environment which may have caused the spell – excessively high temperature, humidity, fumes, etc.?
Were any other people affected?
Was claimant dressed appropriately for the temperature?
4. When did the claimant last eat prior to fainting?
What did he/she eat and how much?
Did claimant have any caffeine or alcohol intake in the 24 hours prior to fainting?
5. Did claimant strike his/her head or any part of his/her body against any object while falling?
If no, make sure investigation and any witness statements indicate that any injuries were caused solely by contact with the floor.
If yes, obtain diagram and explain.

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

6. Did the fall result in any injuries?
7. If possible, draw a diagram of the scene and the position in which claimant was found.
8. What type of floor was claimant on?
What was the condition of the floor?
Was the floor wet, oily, slippery or hazardous in any way?
9. Who did the claimant talk to upon regaining consciousness?
What did claimant say?
10. Get prior medical history including details of any prior fainting spells and name of claimant's family doctor.
Was the claimant on any medication?
Is there any history of prior heart or seizure treatment or any other medical conditions that may have caused or contributed to claimant's fainting spell?
11. How was the claimant feeling in the days prior to the incident?
How did the claimant sleep the night before?
12. Was there a non compensable explanation for claimant's fainting spell (for example, medication claimant was taking, seizure, etc.)?
If yes, provide details.

From the employer:

1. Interview the claimant's supervisor and any witnesses. Verify claimant's allegations of what he/she was doing just prior to fainting, what objects he/she struck with what parts of body, and any environmental factors alleged by the claimant.
2. Obtain material safety data sheets for any products alleged to have contributed to the incident.
3. What comments, if any, did the claimant make after regaining consciousness?
4. Determine if the employer or co-workers are aware of any prior fainting spells.
5. Secure written statements as to the above.
6. Report text:

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

Approved by:
Rev 12/07

Reported on behalf of: *New York State Insurance Fund*

7. C-201A (Signed Statement) ☐ Complete the following:

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

- A. Signed statement?
 - B. If no, why not?
 - C. If yes, from whom?
 - D. Title
 - E. Address
 - F. Telephone number
 - G. Provide a synopsis of the pertinent facts developed during the interview , or if requested, provide a transcript of the entire statement(additional fee)
 - H. Other comments
8. Report text:

Approved by:
Rev 12/07

1. Did claimant work above ground level?
If yes, did claimant do this on a regular or occasional basis? Be specific.
2. Did claimant fall?
If yes, specify the distance of the fall and the surface that the claimant landed on.
3. Was claimant wearing any safety equipment?
If yes, specify.
4. Did claimant fall from a ladder or scaffolding?
If yes, specify the manufacturer.
Specify the owner of the equipment.
If it was rented, specify from whom.
Who owned the property it was located on?
Was the claimant working for a general or independent contractor? Specify.
5. Did claimant's work require stooping and or bending?
If yes, to what extent and for what percentage of the work-day?
Detail claimant's job duties.
6. Was claimant unconscious or dazed after the accident?
If yes, for how long.

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

7. Was there bleeding from any of the cranial orifices?
If yes, specify which and how much. Be specific.
8. Did claimant cry out or make a call for help?
If yes, get the names of those who responded to the call?
9. Were there any witnesses to the fall?
If yes, obtain statements from such witnesses.
10. Was the claimant acting strangely prior to the fall?
If yes, obtain statements from anyone witnessing the prior activity.
11. Was claimant taking any prescription drugs?
If yes, specify.
12. Was the claimant using alcohol or illicit drugs?
If yes, specify.
13. Was any facial disfigurement sustained?
If yes, refer to the questions pertaining to "facial disfigurement."
14. Was there noticeable bruising?
If yes, specify.
15. Had claimant sustained any prior head injuries?
If yes, specify.
16. Had claimant had any prior psychiatric treatment?
If yes, specify.
17. Had claimant had prior cognitive functioning disorders?
If yes, specify.
18. Report text:

Approved by:

Rev 12/07

1. Have the claimant describe the details of his usual work.
Does it involve physical exertion?
If so, get details such as weight and frequency of lifting.
Does it involve mental or emotional strain?
2. Have the claimant describe the day of the heart attack.
How did he feel upon awakening?
How many hours of sleep did he have?
Was it normal or restful sleep?
What meals did he have?
Any caffeine or alcohol intake?
How did he feel while eating meals?
What were his other activities?
3. Was claimant at work when the attack occurred?
If so, how long is his commute, and what mode of transportation was used?
How did the commute go that day?
How did he feel upon arrival at the job?
4. Did anything unusual occur at work to precipitate this episode?
If yes, provide details.

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

5. If not at work, where did the attack occur?
What were the claimant's activities?
6. What time did the claimant start work?
Exactly what did he do?
7. When did the claimant first notice any pain or other symptoms?
Have claimant describe the symptoms.
8. Did claimant continue working after onset of symptoms?
Doing what?
For how long?
9. Did claimant complain about the symptoms?
If so, to whom?
What did he tell them?
Has claimant ever experienced these types of symptoms, chest pain or any other heart symptoms before?
10. Before going home, did claimant finish the workday?
How was his commute home?
When did the claimant first seek medical attention?
With whom?
11. If heart attack occurred after the weekend or other period of days off, what were his activities during that period?
Did he engage in any strenuous athletics, do home repairs or lawn work, shovel snow, etc.?
12. In the weeks or months before the problem, was claimant under any unusual stress due to personal concerns, such as marital or family problems, deaths of loved ones or financial difficulties?
13. As with any claim investigation, obtain details of prior medical history including cardiovascular illness and treatment, names of any medication claimant was on and name and address of claimant's family doctor.
14. Does claimant have any known risk factors for heart problems such as smoking, high blood pressure, family history, or high cholesterol?
When did he first become aware of these risk factors?
15. If the claim was filed some time after the alleged accident, determine the reason for the delay.

What made the claimant aware of the possible compensability of his condition?
When did he consult an attorney?

From the employer:

EXHIBIT 6

VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

1. Interview claimant's supervisor, co-workers and witnesses. Verify the claimant's allegations of his usual duties and exactly what he did on the day of his heart attack, or on the last day on the job prior to his attack.
2. Was there anything unusual about the claimant's duties, appearance, or behavior prior to the attack?

Report text:

Approved by:

Rev 12/07

1. Is lifting or stooping a regular part of the claimants duties?
If yes, provide details including amount of time spent on each
2. Is lifting or stooping only an occasional activity?
If yes, provide details including amount of time spent on each
3. Was weight lifting involved in the accident?
If yes, ascertain the approximate size and weight of the object lifted.
Be specific as to the height and weight of the object lifted –from where to where
4. Did the claimant rest after the alleged injury?
5. Was the accident reported to anyone in the company?
If yes, when, where, and to whom did claimant report accident
If no, how did alleged event come to the attention of assured?
6. Were there any witnesses to the accident?
If yes, names and titles
Obtain their statements.
7. Are any previous injuries and/ or back complaints known to the employer or

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acknowledged by the claimant?

If yes, describe fully

8. Did the claimant localize his pain and symptoms to a specific region?
If yes, ascertain the specific region
9. Did the claimant feel pain in the right groin?
10. Did the claimant feel pain in the left groin?
11. Did the claimant feel pain in the abdomen?
12. Did the claimant, if a male, feel pain in the genital area?
13. Report text:

Approved by :

Rev 12/07

1. Is there a wrap up policy covering work performed at the accident site?
2. Is the claimant a skilled craftsman?
Provide details
3. Did the claimant contract to do specific work for another, for a stated sum or its equivalent?
Provide details
4. Is the claimant supervised/controlled by the alleged employer?
Provide details
5. Does the claimant set his/her own work hours?
Provide details
6. Is the claimant subject to discharge?
Provide details
7. Does the claimant supply his/her own materials, tools, or equipment?
Provide details
8. Does the claimant have a substantial investment or capital in the hiring entity or general contractor beyond just ordinary tools, equipment and a personal vehicle?

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9. Are withholding or social security deductions made for the claimant by the alleged employer?

Provide details

10. Does the alleged employer pay unemployment insurance or social security taxes on the claimant's behalf ?

Provide details

11. Can the claimant gain profit or suffer losses beyond their ordinary wages?

12. Does the claimant maintain a business establishment of his/her own?

Provide details

13. Does the claimant perform services under his company name or someone else?

Explain

14. Does the claimant file their own business taxes as an independent business?

15 Does the claimant advertise as an independent entrepreneur?

Provide details

16. Does the claimant secure and pay for any permits or licenses in his company name?

17. Does the claimants' business hire its own employees without contractor approval and pay its employees without reimbursement from the contractor? Does the claimants' business report any of its employee's wages to the Internal Revenue Service?

18. Does the hiring entity or general contractor represent the claimant, or the claimants' employees, as its own?

19. Does the claimant perform similar work for others?

Provide details

20. Does the claimant contribute to his/her own retirement/pension fund?

Provide details

21. Is there a link between the inherent nature of the alleged employer's business and the work that the claimant was engaged to do?

Provide details

22. Report text:

Approved by:

Rev 06/11

1. Does the employer have a written policy concerning drinking on the job?
If yes, provide details, including a copy of the written policy and the penalties for non-compliance
2. Does the employer have a verbal policy concerning drinking on the job?
If yes, provide details, including how that policy is conveyed to employees
3. Did the claimant have a previous history of drinking on the job?
If yes, provide details, including copies of reprimands, counseling memos, and the penalties threatened for subsequent infractions
4. On the date of the accident, did the claimant stagger?
If yes, provide details
5. Did the claimant act, appear, or speak as if he was intoxicated?
If yes, provide details
6. Were there witnesses to the drinking?
If yes, provide details

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

7. Were there witnesses to the presence or use of alcohol?
If yes, provide details
8. Would the accident have occurred if the claimant were sober?
If no, provide details. Explain why not, and those circumstances, if any, that make it likely that his intoxication was the sole cause of the injury
9. Was the claimant brought to the hospital or doctor immediately after the accident?
If yes, provide details, including name and address of the hospital or doctor
10. Were any tests made to determine whether the claimant was intoxicated?
If yes, provide details, including type of test and results, if known
11. If the police were called to the accident scene, did they perform any tests to determine whether the claimant was intoxicated?
If yes, provide details, including the type of test and the results, if known
12. Did the claimant's intoxication result in a criminal prosecution?
If yes, provide details, including charge, i.e. DWI, vehicular assault or homicide; and result, i.e. conviction or plea bargain; and sentence
13. Was the employer sued by a Third Party as a result of the claimant's intoxication?
If yes, provide details
14. Was the claimant terminated as a result of his intoxication?
If yes, provide details, including copies of letter of termination
15. Report text:

Approved by:

Rev 12/07

INVOICE

Vendor Name:

Address:

City:

State:

Zip:

Invoice No.:

Invoice Date:

Tax ID No.:

Surveillance 2 Digit Address Code:

Non-Surveillance 2 Digit Address Code:

NYSIF Case #:

NYSIF Investigation #:

Vendor Inv.#

Claimant:

D/A:

Employer:

Date Assigned:

Date(s) of Service:

, , , , ,

Surveillance:

Number of Operatives:

☐ Preliminary

☐ Final

8 Hours x Days

\$.

4 Hours x Days

\$.

Pro-rated hours (8 hour rate)

\$.

Pro-rated hours (4 hour rate)

\$.

Complex or Routine Non-Surveillance :

Type of Assignment: SELECT ONE

Category: SELECT ONE

Flat Rate: Complete

\$.

Flat Rate: Incomplete

\$.

Flat Rate: Successful Follow-up

\$.

Complex or Routine Non-Surveillance :

Type of Assignment: SELECT ONE

Category: SELECT ONE

Flat Rate: Complete

\$.

Flat Rate: Incomplete

\$.

Flat Rate: Successful Follow-up

\$.

Complex or Routine Non-Surveillance :

Type of Assignment: SELECT ONE

Category: SELECT ONE

EXHIBIT 6

VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

Flat Rate:	Complete	\$.
Flat Rate:	Incomplete	\$.
Flat Rate:	Successful Follow-up	\$.

INVOICE CONTINUED

Complex or Routine Non-Surveillance :

Type of Assignment: SELECT ONE

Category: SELECT ONE

Flat Rate:	Complete	\$.
Flat Rate:	Incomplete	\$.
Flat Rate:	Successful Follow-up	\$.

Complex or Routine Non-Surveillance :

Type of Assignment: SELECT ONE

Category: SELECT ONE

Flat Rate:	Complete	\$.
Flat Rate:	Incomplete	\$.
Flat Rate:	Successful Follow-up	\$.

Complex or Routine Non-Surveillance :

Type of Assignment: SELECT ONE

Category: SELECT ONE

Flat Rate:	Complete	\$.
Flat Rate:	Incomplete	\$.
Flat Rate:	Successful Follow-up	\$.

Reimbursable Expenses: (Non-Surv. Only)

Medical record fees	\$.
Photocopies (out of office)	\$.
Other: Specify	\$.
Other: Specify	\$.
Reason, if no receipt		

<i>Please Pay This Amount</i>	\$.
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Approved by:
Rev 12/07

1. Has the claimant left employment with assured?
If yes, provide details including dates of employment
2. Has the claimant been removed from noise exposure?
If yes, provide details
3. Can claimant provide a complete job description?
If yes, provide details including period, measured in months, exposed to noise
4. Has claimant had prior employment?
If yes, provide names, addresses, dates of employment, job descriptions and whether exposed to noise for each prior employer
5. Has claimant served in military?
If yes, provide details including exposure to noise
6. Did claimant wear hearing protection?
If yes, provide details including what type, when began wearing,

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

and how often worn

7. Has the claimant had any prior hearing problems?
If yes, provide details
8. Has the claimant had any prior head, ear, nose, or throat surgery?
If yes, provide details
9. Does claimant have any noisy hobbies such as hunting, shooting, rock music, etc.?
If yes, provide details
10. Has the claimant ever been exposed to an explosion?
If yes, provide details
11. Has the claimant operated machines at home such as lawn mower, chain saw, etc.?
If yes, provide details including when last operated and whether he/she wears hearing protection when operating machine
12. Does claimant believe he/she has a hearing loss?
If yes, provide date claimant first realized this
13. Does claimant believe his/her hearing loss is due to exposure at work?
If yes, provide date claimant first realized this-when and how
14. Has claimant ever been examined or treated for hearing loss?
If yes, provide name and address of doctor
15. Has claimant been diagnosed with a hearing loss?
If yes, provide details including date of diagnosis
16. Has the claimant worked anywhere since leaving this employer?
If yes, provide details including job duties and whether exposed to noise there

Investigation with employer:

1. Did claimant work for employer?
If yes, provide details including dates of employment
2. Was claimant exposed to harmful noise while employed by assured?
If yes, provide details including last date exposed to noise
3. Did employer give pre-employment physicals to check for loss of hearing?
If yes, obtain copy

EXHIBIT 6
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4. Did employer file a 49EE notice to prior employer?
If yes, obtain copy
5. Has employer had noise level studies done?
If yes, obtain copies
6. Has employer done any audiometric tests during claimant's employment?
If yes, obtain copies
7. Does employer know of any prior hearing problems or ear treatment?
If yes, provide details
8. Did the employer provide hearing protection for claimant?
If yes, provide details including type and whether mandatory
9. Has employer had prior claims for loss of hearing?
If yes, provide details
10. Did claimant report that he/she had a hearing impairment?
If yes, provide details including date
11. Did claimant report that hearing loss was from work?
If yes, provide details including how and when
12. Does employer know if claimant has obtained subsequent employment?
If yes, provide details
13. Has the business been sold during the period claimant worked for employer?
If yes, provide details including date of sale

Report text:

Approved by:

Rev 12/07

1. Did the claimant ever wear eyeglasses or contact lenses prior to the accident?
If yes, provide details

EXHIBIT 6
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2. Did the claimant have his vision tested in pre-employment physical?
If yes, obtain copy
3. Does the claimant belong to a union or employer optical plan?
If yes, provide details
4. Did the claimant have prior employment?
If yes, provide details
5. Has the claimant previously been treated for any illness or injury to the eyes?
If yes, provide details including doctor name and address
7. Report text:

Approved by:
Rev 12/07

Approved by:
Rev12/07

1. Is the claimant a union worker?
If yes, what union local?
2. Did the claimant ever represent in writing to his employer that he ever suffered from the alleged occupational disease prior to his employment?
If yes, provide details and copy of written representation
3. Did the claimant ever verbally represent to his employer that he ever suffered from the alleged occupational disease prior to his employment?
If yes, provide details
4. Obtain a full description of the nature of the claimant's work.
5. Did the claimant ever notify the employer had contracted an occupational that he disease due to his employment?
If yes, provide details, including whom he notified; when; what those complaints were; when he told the employer he believed the complaints were due to the job; how and when the claimant first became aware of the alleged work connection

EXHIBIT 6
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6. Obtain a full description of the employment environment, including the size and location of the room or area in which the claimant worked. In fume and gas poisoning cases, describe the type and the extent of ventilation provided.
7. If chemicals were allegedly involved, was the claimant exposed to those chemicals?
If yes, provide details, including the nature of the exposure, direct or indirect; their names and compositions; the duration of daily or other intervals of exposure. If the chemicals are on the premises, copy the manufacturer's labels and safety data sheets
8. If chemicals were applied by hand, did the claimant use gloves or other protective devices when handling them?
If yes, provide details
9. Did the chemicals produce fumes?
If yes, provide details, including the names and composition of the chemicals; how and where they were stored; from where the fumes emanated; and the nature of the exhaust system
10. If chemicals were used, were masks worn?
11. Was the claimant's occupational disease due to constant repetitive motion, physical activity, or pressure on some part of the body?
If yes, obtain a detailed description of the operation or work procedure
12. Were the premises ever inspected by SIF Safety personnel, the Bureau of Industrial Hygiene, or OSHA Inspectors?
If yes, provide details, including dates of such inspections, the names of the inspectors, and copies if their reports, if available
13. Have other employees made similar claims or manifested similar complaints and conditions?
If yes, provide details
14. Did the claimant's job require him to work at other job sites besides the employer's premises?
If no, go on to question 17.
15. If the answer to 14 is yes, was the claimant exposed to the chemical, fume, or work activity that resulted in his occupational disease claim at that other job site?
If yes, provide details, including the name and location of the last job site at which the claimant was exposed to the alleged chemical, fume, or work activity
16. Was the job site at which the claimant last worked and was exposed to the alleged chemical, fume, or work activity part of a joint venture or wrap around policy?
If yes, provide details, including carrier and policy number
17. Ascertain the exact date of work stoppage and the reason why.
18. Did the claimant ever apply for Disability Benefits while he worked for the employer or after he ceased work?

EXHIBIT 6
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If yes, provide details, and copy DB-450 if available

19. Did the claimant apply for, and collect, unemployment insurance after he stopped work for the employer?

If yes, provide details and copy relevant documentation

20. Did the claimant retire, take a disability retirement, apply for and receive social security disability, or take a retirement incentive?

If yes, provide details and copy relevant documentation

21. Has the claimant filed any Third Party lawsuits concerning his exposure to the chemicals or fumes he alleged caused his occupational disease?

If yes, provide details

22. Has a prospective new employer ever contacted the employer as a possible reference for the claimant?

If yes, provide details

23. Report text:

Approved by:

Rev 12/07

1. If yes, provide description
If no, explain and interview 2 sources not related to or living with the claimant
Height
Weight
Race
Eye color
Hair color
Gender
Distinguishing marks
Does the claimant look the stated age?
2. Was claimant interviewed?
If no, explain (#11) and interview 2 sources not related to or living with the claimant
3. Did claimant present proper photo identification?
If yes, ID type

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Number

If no, state reason

What type of non-photo ID did claimant present?

ID type

Number

If no ID was seen, interview one (1) source not related to or living with the claimant

4. Has address and/or phone number of record changed?

If yes, provide new address and/or new phone #

5. Is claimant employed?

If yes, explain (name and address of employer, salary, and hours, start date)

6. Are checks being received in a timely manner?

If no, explain

7. Is there a Power of Attorney?

If yes, provide details

8. Is the claimant Medicare eligible? If so, give eligibility date

9. Is the claimant over age 65, collecting SSDB benefits for 24 months or more, or in end stage renal disease? Give date this event occurred and explain

10. Is claimant deceased?

If yes, provide details

11. Did informant provide a copy of death certificate?

If no, obtain name, address and phone number where death certificate can be secured

12. Explanation (Why Claimant not seen and/or not interviewed)

Include in source information: Alive? Lives at address? Activities? Working? Etc.

Source 1: Provide name and address (include apt. no.) and what source said. If name refused, state NAME REFUSED and provide description.

Source 2: Provide name and address (include apt. no.) and what source said. If name refused, state NAME REFUSED and provide description.

13. Did you encounter anything suspicious while conducting this investigation?

If yes, explain

14. Date, time and results of phone calls

15. Date and results of letters sent

16. Was photograph of claimant secured?

17. List evidence which is being forwarded to Point Person

Report text: Limit to items not previously addressed in template questions

Approved by:

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

Rev 09/11

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

Reported on behalf of: *New York State Insurance Fund*

Provider Interview

Date of this report:

Claimant: **NYSIF Case#:** **-Unit -** **D/A:**

Agency Name: _____ **Investigation Date:** _____

Person who conducted investigation: _____ **Title:** _____

Agency Investigation No.: NYSIF Investigation No.:

Phone ☐ **Field** ☐ **By Appointment** ☐ **Preliminary report #:** **Final report** ☐

Contact's Name

Contact's Title

Provider's Name

Provider's Tax ID Number

Office Name

Contact's Phone Number

Provider's Address

Specialty

First Visit

Most Recent Visit

Next Scheduled Visit

Have you treated claimant before?

If yes, when and what for

How did injury occur?

Diagnosis

Was claimant seen in the ER?

If yes, date

Was claimant hospitalized?

If yes, when and where

Treatment plan

Is claimant disabled?

If yes, degree of disability

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If partial disability, degree of disablement

Date of first disability

Anticipated RTW date

Would employee be able to return to work if light duty were available?

Have any authorizations been requested?

If yes, please describe

Comments

Approved by:

Rev 12/07

Reported on behalf of: *New York State Insurance Fund*

Remarriage Check

Date of this Report

Claimant: **NYSIF Case#:** **-Unit -** **D/A:**

Agency Name: _____ **Investigation Date:** _____

Person who conducted investigation: _____ **Title:** _____

Agency Investigation No.: _____ **NYSIF Investigation No.:** _____

Phone ☐ **Field** ☐ **By Appointment** ☐ **Preliminary report #:** **Final report** ☐

Note different special instructions such as speak with 2 neighborhood sources and then approach the beneficiary unannounced, make an appointment with the beneficiary to ensure she is seen but speak to 2 neighbors prior to the appointment or interview 3 neighborhood sources and do not contact the beneficiary.

Remarriage checks are field visits to three (3) properly identified and verifiable adult sources, not of the same household or family. One (1) of these sources may be the beneficiary, AFTER the other 2 sources have been interviewed.

1. Was beneficiary *personally* observed?

If yes, provide description:

Height

Weight

Race

Eye color

Hair color

Gender

Distinguishing marks

Comment on mobility

2. If interviewed, did beneficiary present proper photo identification?

If yes, ID type

Number

If no, what type of non-photo ID did beneficiary present?

ID type

Number

- 3. Has address and/or phone number of record changed?**

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If yes, provide new address and/or new phone #

4. Has the beneficiary remarried or have plans to remarry in the next 6 months? Note: Beneficiary must notify NYSIF immediately if they remarry.
If yes, explain
5. Were surroundings /circumstances consistent to response to #4 above? (photo of possible spouse on wall, etc)
If no, explain
6. Did beneficiary (if remarried) provide a copy of the marriage certificate?
IF NO, OBTAIN NAME, ADDRESS AND PHONE NUMBER WHERE MARRIAGE CERTIFICATE CAN BE SECURED
7. Are there dependent children?
If yes, provide the following information:
Name
SS#
Date of Birth
8. Is dependent attending school?
If yes, provide the following information:
Name, address and phone number of school
9. Is beneficiary currently undergoing medical treatment?
If yes, list names and addresses of medical providers
10. Is there a Power of Attorney?
If yes, provide details
11. Are checks being received in a timely manner?
If no, explain
12. Secure a signed and dated form DP523B or Spousal Questionnaire from the beneficiary
13. Is beneficiary deceased?
If yes, provide details
14. Did informant (if beneficiary deceased) provide a copy of death certificate?
If no, obtain name, address and phone number where death certificate can be secured
15. Were 3 sources interviewed?

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

If yes, complete source 1,2,3 below, provide name and address (include apt. no.). If name refused, provide description. Indicate what each source said about beneficiary's marital status, who beneficiary resides with, existence of significant other and possibility beneficiary will remarry in the future

If no, explain and complete all sources that were interviewed

Source 1

Source 2

Source 3

16. Report text:

Approved by:

12/07

1. At the time of the injury did the claimant work for other employers as well as our assured?
If yes, explain
2. Did the accident occur on a customer's premises?
If yes, explain
3. Did the accident occur en route to a customer's location?
If yes, explain
4. Did the claimant use a company vehicle?
If yes, explain
5. Did the claimant use his personal vehicle?
If yes, explain
6. Did the claimant have a scheduled route or scheduled appointments?
If yes, explain
7. Did the claimant deviate from most direct route?
If yes, explain

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

8. Was the claimant in work status portal to portal?
If yes, explain
9. Did the claimant travel outside New York State as part of his job?
If yes, also see Extraterritorial Jurisdiction
10. Are there any witnesses that can refute or verify claimant's allegations?
If yes, explain
11. Report text:

Approved by:
Rev 12/07

1. Have been any unusual or out of the ordinary incidents or occurrences in the work place?
If yes, explain
2. Was claimant's alleged stress brought on by a specific incident?
If yes, explain.
3. Is claimant in a supervisory capacity?
If yes, how many employees does claimant supervise?
4. Description of claimant's job duties.
5. Names and titles of the chain of command above claimant.
6. Does claimant have any problems with the direct supervisor?
If yes, give a full explanation. Also include any problems with other supervisory staff.
7. Does claimant have any problems with co-workers or subordinates?
If yes, give a full explanation.
8. Does claimant have contact with the public, i.e. clients, customers, vendors, or other accounts?
If yes, explain the type and extent of the contact.

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

9. Does claimant have any deadlines that must be met?
If yes, what are the deadlines?
How often do they occur?
How difficult are they to meet?
What is claimant's normal caseload?
Have there been any changes in the caseload?
If so, why?
Does claimant have any difficulty completing the caseload on a timely basis?
If so, determine if other employees have a similar caseload and if they have difficulty completing it.
10. Had claimant's job duties changed?
If yes, how and when?
11. Has claimant filed any grievances, lawsuits, or human rights actions?
If yes, specify the basis and obtain the documentation.
12. Did claimant place any prior stress claims with Assured or prior employers?
If yes, give details and obtain documentation.
13. Had claimant been counseled or disciplined formally or informally?
If yes, give full details as to when, how, for what, and the results of such. Obtain all documentation.
14. Did claimant have any prior psychiatric conditions and/or treatment?
If yes, detail the conditions and treatment. If interviewing the claimant make sure to secure a psychiatric release for medical.
15. Is there any known family history of psychiatric conditions?
If yes, list as much as is known concerning the condition, family member and treatment.
16. Have there been any noticeable changes in claimant's demeanor, mood, or actions?
If yes, note the changes.
17. Is claimant on any kind of medication?
If yes, list the medications, the reasons for taking them, and duration.
18. Does claimant have any prior or current excessive use of alcohol or illegal drugs?
If yes, detail types, treatment, and duration.
19. Was claimant in the military?
If yes, was claimant in combat situations?
Obtain the military papers.
20. Does claimant have any marital problems?

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

If yes, explain what type.

Is claimant in the process of a separation or divorce?

Is claimant or spouse involved in any extra marital affairs?

21. Have there been any recent deaths or major illnesses in the family?

If yes, explain the details.

22. Does claimant have any financial problems?

If yes, what type of problems, gambling, child support, etc.

23. Has claimant been arrested on any criminal charges?

If yes, list the charges, when, where, and disposition.

24. Does claimant have any legal problems of any nature?

If yes, list what, i.e. property disputes, lawsuits, etc.

25. Does claimant have any concurrent employment and/or attending educational classes in addition to assured's employment?

If yes, state what, when, and where.

26. Are claimant's allegations not covered by any of the preceding questions?

If so, explain.

27. Report text:

Approved by:

Rev 12/07

Claimant: **NYSIF Case#:** **-Unit -** **D/A:**

Agency Name: _____ **Investigation Date:** _____

Person who conducted investigation: _____ **Title:** _____

Agency Investigation No.: _____ **NYSIF Investigation No.:** _____

Phone ☐ Field ☐ By Appointment ☐ Preliminary report #: Final report ☐

Person interviewed:
Of (name of business):
Address visited:
Telephone number:

1. Does the claimant receive a free or reduced rent apartment, free utilities or other benefits?
If yes, explain
See also - question 17 on “Living on Employer's Premises”
2. Is there a question of joint hire where a spouse or other family members performed work in the building?
If yes, explain
3. Did the claimant or spouse (if joint hire) have other employment?
If yes, explain
4. Has the claimant hired a substitute?
If yes, explain
5. Did the claimant have a helper (other than family members) prior to the injury?
If yes, explain
6. Report text:

Approved by:
Rev 12/07

EXHIBIT 6
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Surveillance

Date of this report:

Claimant: **NYSIF Case#:** **-Unit -** **D/A:**

Agency Name:

Person who conducted investigation: **Title:**

Investigation Date(s) & Times: , , , , ,

Company Investigation No.: **NYSIF Investigation No.:**

Date Assigned: **Date Due:** **Preliminary Report #:** **Final Report** ☐

1. Was claimant observed?

If yes, provide description:

Height

Weight

Race

Eye color

Hair color

Gender

Distinguishing marks

2. Was any attempt made to positively identify the claimant?

If yes, explain how and when

If no, why wasn't an attempt made?

3. Address where claimant resides

4. Is this the address of record?

5. Was claimant spoken to? **Language spoken?**

6. Is claimant working?

If yes, name of company and address (If known)

7. Describe claimant's work activity

8. Is claimant's non-work activity inconsistent with disability?

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If yes, explain

9. Were photographs obtained?

If yes, briefly, what do they show?

10. Was video obtained?

If yes, briefly, what does it show?

11. Was audio obtained? (Only obtain if specifically requested on assignment)

If yes, briefly, what was recorded?

12. Summary of DMV and other database findings:

13. List evidence which is being forwarded to Point Person

14. Report text:

Approved by:

Rev 12/07

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

Date of this report:

Claimant: **NYSIF Case#:** **-Unit -** **D/A:**

Agency Name: _____ **Investigation Date:** _____

Person who conducted investigation: _____ **Title:** _____

Agency Investigation No.: NYSIF Investigation No.:

Phone ☐ **Field** ☐ **By Appointment** ☐ **Preliminary report #:** **Final report** ☐

Person interviewed:
Of (name of business):
Address visited:
Telephone number:

Motor vehicle accidents:

1. Was claimant the driver?
If yes, explain
2. Was assured the owner of the vehicle?
If yes, explain
3. Was there another vehicle involved?
If yes, explain
4. Were there passengers in either vehicle?
If yes, explain
5. Were both vehicles insured?
If yes, explain
6. Were there any additional witnesses?
If yes, explain
7. Were police /emergency personnel called?
If yes, explain

EXHIBIT 6
VARIOUS TEMPLATES AND SAMPLE INVESTIGATION REPORTS

Part II

Machinery / tools

1. Was the machine / tool in good working order?
If yes, explain
2. Is make and model # available, OSHA inspection tags?
If yes, explain
3. Were all safety features in place at the time of the alleged accident?
If yes, explain
4. Was the claimant the operator of the machine / tool?
If yes, explain
5. Was the machine / tool being operated properly?
If yes, explain
6. Did the claimant have to produce a quota?
If yes, explain
7. Was the claimant required to wear or use safety equipment?
If yes, explain

Part III

Location

1. Was the alleged accident on the employer's premises?
If yes, explain
2. Is the name and address of the property owner available?
If yes, explain
3. Is the name and address of the property owner's liability insurance carrier available?
If yes, explain
4. Is there any other pertinent information available?
If yes, explain

5. Report text:

Approved by:

Rev 12/07

Invoicing Guidelines – Non Surveillance

Complex:

Activity Checks

Remarriage Checks

Statements

Interviews

Database Template (see Exhibit 6)

Routine:

Permanent Disability Field Reviews

Beneficiary Field Reviews

Medical Records

Forms (excluding statements)

Miscellaneous

Each template assigned and uploaded as final is invoiced either as a complete, incomplete or successful follow-up. A complete is invoiced when the requested Investigation assignment was successfully completed. An incomplete is invoiced when the Investigation assignment could not be completed after a valid and documented attempt is made to complete the investigation assignment. A successful follow-up is invoiced when subsequent to the upload of an incomplete Investigation assignment, the information which was unobtainable, is now secured.

1st example: An Investigation is assigned to visit the Employer to secure the following, which are ALL successfully completed.

1. Long Employer Interview template = 1 Complex Complete Fee
2. Forms template- C-201A (signed statement) = 1 Complex Complete Fee
3. Forms template- Forms* C-11, C-63 and C240. = 1 Routine Complete Fee
4. Pick up written job description, etc from employer when meeting with them = no additional fee

*All forms at same location, one fee.

2nd example: An Investigation is assigned to visit the Employer to secure the following, two of which (#1 and #2) are successfully completed and one (#3) which is not.

1. Long Employer Interview template = 1 Complex Complete Fee
2. Forms template- C-201A (signed statement) = 1 Complex Complete Fee
3. Forms template- Forms* C-11, C-63 and C240. = 1 Routine Incomplete Fee

*All forms at same location, one fee.

3rd example: The forms C-11, C-63 and C240 which were not secured (valid and documented attempt was made) in example #2, are subsequently obtained from the Employer.

1. Forms template- Forms* C-11, C-63 and C240. = 1 Routine Successful Follow-up Fee

*All forms at same location, one fee.

4th example: An Investigation is assigned to visit the Claimant to secure the following, which are ALL successfully completed.

1. Claimant Interview template = 1 Complex Complete Fee
2. Forms template- C-201A (signed statement)* = 1 Complex Complete Fee
3. Pick up W2, etc from claimant while meeting with them = no additional fee

*All releases and Work Activity Reports (WA1) secured at same location are part of Claimant investigations, no additional fee

EXHIBIT 7

5th example: An Investigation is assigned to visit the Claimant to secure the following, which are ALL unsuccessful.

- | | |
|---|--|
| 1.Claimant Interview template | = 1 Complex Incomplete Fee Only |
| 2.Forms template- C-201A (signed statement)* | |
| 3. Pick up W2, etc from claimant | |

When sources must be seen on Permanent Disability Field Reviews, Beneficiary Field Reviews, Field Activity Checks and Remarriage Checks they must be identified as requested on the templates and provide pertinent information in order for the assignment to be considered complete.

EXHIBIT 8

MUTUAL NONDISCLOSURE AGREEMENT BETWEEN NEW YORK STATE INSURANCE FUND and _____ for EXCHANGE OF CONFIDENTIAL INFORMATION

THIS NONDISCLOSURE AGREEMENT (the “Agreement”), is made by and between _____, having a principal place of business at _____ (“CONTRACTOR”) and the NEW YORK STATE INSURANCE FUND, an agency of the State of New York, with offices at 199 Church St, New York, New York 10007 (“AGENCY”).

1. DEFINITIONS

“*AGENCY Data*” means all non-public data and information whether in written, verbal or electronic form, submitted or given access to CONTRACTOR by AGENCY, including without limitation information relating to AGENCY or AGENCY's customers', policy holders, claimants, underwriting rules or information, process and methods, customer data, Confidential Personal Information (CPI), financial data, suppliers, employees and employee information, technology, operations, facilities, consumer markets, products, capacities, systems, procedures, security practices, research, development, business affairs and finances, ideas, concepts, innovations, inventions, designs, business methodologies, improvements, trade secrets, copyrightable subject matter and other proprietary information.

“*Privacy Laws*” means all Federal and State laws and regulations regarding the privacy of information pertaining to individuals.

2. AGENCY CONFIDENTIAL INFORMATION

CONTRACTOR acknowledges and agrees that it may receive AGENCY Confidential Information (as defined below) for the purpose of providing Claims Investigative Services as defined in the Request for Proposals (2017-135-CL) and contractual obligations with NYSIF (collectively, the “*Purpose*”).

- (a) For purposes of this Agreement, the term “*Confidential Information*,” or “*Agency Confidential Information*” shall include all non-public information of AGENCY which CONTRACTOR has had access to (including prior to effective date), will have access to, or will create or prepare, whether in verbal, written, visual, graphic or machine-readable form, that includes, incorporates, makes reference to or utilizes in any way, without limitation, the AGENCY Data and all other proprietary information related to AGENCY's business. AGENCY Confidential Information shall also include all information of a third party to which AGENCY has access and to which CONTRACTOR has had (including prior to effective date), or will have access. AGENCY Confidential Information shall not include aggregated statistical data derived from AGENCY Data, provided such (i) aggregated statistical data cannot be identified with either AGENCY or any AGENCY employee, customer, claimant or policy holder and (ii) AGENCY Data does not make up over thirty-three (33%) of such aggregated statistical data. Disclosure of the AGENCY Confidential Information shall not be deemed to grant any license or other right to use such AGENCY Confidential Information, except as set out in this Agreement or as set out in a separate written agreement executed by both parties.
- (b) Notwithstanding anything to the contrary in this Agreement, including without limitation the exceptions in Section 3 hereof, AGENCY Confidential Information includes “*Confidential Personal Information* (‘CPI’)”. CPI shall include, but not be limited to: (i) the meaning ascribed to “*Nonpublic Personal Information* (‘NPI’)” in Title V of the Gramm-Leach-

Bliley Act of 1999 or any successor federal statute, and the rules and regulations thereunder, all as may be amended or supplemented from time to time (“GLBA”), as it relates to AGENCY’s consumers, (ii) “*Protected Health Information* (‘PHI’)” as such term is defined in the Health Insurance Portability and Accountability Act of 1996, or any successor federal statute, and the rules and regulations thereunder, all as may be amended or supplemented from time to time (“HIPAA”) and (iii) any personally identifiable information protected under any other applicable state or federal statute, rule or regulation. The provisions of Section 3 shall not be applicable to CPI, which in all cases will be considered Confidential Information

- (c) CONTRACTOR shall, and shall cause its and its affiliates’ and subsidiaries’ employees, agents, advisors, subcontractors, and all Receiving Party Personnel (collectively, “Contractors”) to keep CPI confidential and use and disclose CPI only as necessary to carry out the Purpose, GLBA, HIPAA and any other applicable law, rule or regulation of any jurisdiction relating to disclosure or use of personal information. CONTRACTOR shall, and shall cause its Contractors to, implement and maintain an appropriate security program for CPI to (1) ensure the security and confidentiality of CPI, (2) protect against any threats or hazards to the security or integrity of CPI, and (3) prevent unauthorized access to or use of CPI. CONTRACTOR shall cause each of their Contractors having access to AGENCY Confidential Information or CPI to execute a written non-disclosure agreement covering their access, such agreement to contain restrictions in substantial conformity to the provisions of this Agreement. CONTRACTOR shall also cause each of its employees to execute appropriate non-disclosure agreements prohibiting the disclosure of CPI and AGENCY Confidential Information to other affiliates of CONTRACTOR. CONTRACTOR shall cause all such non-disclosure agreements with employees and Contractors to be maintained during the term of this Agreement. CONTRACTOR shall take appropriate measures to assure that AGENCY’s Confidential Information is NOT transmitted outside of the United States (provided such prohibition against transmission shall not apply to satellite transmission or other similar digital communication methods used by CONTRACTOR or its Contractors in the ordinary course of business and in conformance with this Agreement).
- (d) Without limitation of CONTRACTOR’s obligation to comply with the requirements of all applicable Privacy Laws, CONTRACTOR shall immediately notify AGENCY: (A) of any disclosure or use of any CPI by CONTRACTOR or its Contractors in breach of this Agreement and (B) of any disclosure of any CPI to CONTRACTOR or its Contractors where the purpose of such disclosure is not known to CONTRACTOR. AGENCY reserves the right to review CONTRACTOR’s and their Contractors’ (as applicable) policies and procedures used to maintain the security and confidentiality of CPI. At AGENCY’s direction and in AGENCY’s sole discretion at any time, CONTRACTOR shall immediately return to AGENCY or destroy and certify such destruction of any or all CPI (including such CPI as may have been rightfully distributed to CONTRACTOR’s Contractors or any other third parties). Upon termination of this Agreement, CONTRACTOR shall immediately return to AGENCY any and all CPI which it has received under this Agreement and shall destroy all records of such CPI (including such CPI as may have been rightfully distributed to CONTRACTOR’s Contractors and any other third parties). If the GLBA or any other applicable state or federal law or regulation, now or hereafter in effect, imposes a higher standard of confidentiality or security with respect to CPI, such standard shall prevail over the provisions of this Agreement. This provision shall independently survive any expiration, termination, if any, of this Agreement and any agreement with AGENCY concerning CPI.

3. EXCEPTIONS

Confidential Information shall not include information that: (a) is in the public domain at the time of its use or disclosure through no fault of the CONTRACTOR, or its Contractors; (b) was lawfully in the possession of or demonstrably known by the Contractor prior to its receipt from the Agency; (c) is independently developed by Contractor without use of or reference to the Agency's Confidential Information; or (d) becomes known by the Contractor from a third party and, to Contractor's knowledge, is not subject to an obligation of confidentiality to the Agency.

4. NON-DISCLOSURE; NON-USE OF CONFIDENTIAL INFORMATION

- (a) The Contractor will maintain the confidentiality of the Agency's Confidential Information using procedures no less rigorous than those used to protect and preserve the confidentiality of its own similar proprietary information. In no event shall the Contractor use less than a reasonable degree of care to protect and preserve the Agency's Confidential Information, including its obligation to not, without the Agency's prior written permission: (i) transfer or disclose any of the Agency's Confidential Information to any third party; (ii) use any of the Agency's Confidential Information for any purpose other than for the Purpose; or (iii) take any other action with respect to the Agency's Confidential Information inconsistent with the confidential and proprietary nature of such information. Notwithstanding clause (i) of this Section 4(a), the Contractor may disclose the Agency's Confidential Information to the officers, directors, employees, consultants, attorneys, accountants, agents or other representatives of the Contractor ("Contractor Personnel") who have a need to know such Confidential Information solely in connection with the Purpose. The Contractor shall: (1) cause the Contractor Personnel to comply with this Agreement; and (2) assume full responsibility for any breach of this Agreement caused by any of the Contractor Personnel.
- (b) If the Contractor is requested or required to disclose any of the Agency's Confidential Information pursuant to a subpoena, court order, statute, law, rule, regulation or other similar requirement (a "*Legal Requirement*"), the Contractor shall, to the extent permitted by law, provide prompt notice of such Legal Requirement to the Agency so the Agency may seek an appropriate protective order or other appropriate remedy or waive compliance with the provisions of this Agreement. If the Agency is not successful in obtaining a protective order or other appropriate remedy and the Contractor is, in the opinion of its counsel, compelled to disclose such Confidential Information under pain of liability for contempt of court or other censure or liability, or if the Agency waives compliance with the provisions of this Agreement in writing, the Contractor may disclose, without liability hereunder, such Confidential Information in accordance with, but solely to the extent necessary, in the opinion of its counsel, to comply with, the Legal Requirement. Information that would otherwise be considered AGENCY Confidential Information within the meaning of this Agreement, shall nevertheless be considered AGENCY Confidential Information and shall not be deemed otherwise because such information may be available to third parties from AGENCY pursuant to New York State Freedom of Information Law (FOIL). In the event that an independent third-party has or shall actually obtain from AGENCY, during or prior to the pendency of this Agreement, information pursuant to FOIL that would otherwise be considered AGENCY Confidential Information, and has publicly disclosed such information, then such information shall no longer be considered Confidential Information but shall instead be considered public information from the time of such disclosure.
- (c) Each party agrees and shall assure that each and every Contractor understands and agrees that Confidential Information is valuable to the Agency, is deemed to be a trade secret or

other proprietary right of the Agency, notwithstanding any public disclosure thereof by any source, and will be protected by civil and criminal law, and, where appropriate, by the law of copyright.

- (d) The parties' confidentiality obligations under this Agreement shall be perpetual except as expressly superseded by a definitive written agreement executed by the parties.
- (e) AGENCY and CONTRACTOR acknowledge that CONTRACTOR is in the business of providing services to, and receiving information from other entities (collectively "CONTRACTOR customers"). CONTRACTOR shall not disclose any AGENCY Confidential Information to any CONTRACTOR Customers.
- (f) In connection with CONTRACTOR's and its Contractors' obligations under this Agreement, CONTRACTOR agrees and shall require each Contractor to use the standard of care that is consistent with the highest industry standards in continuously controlling the use and disclosure of AGENCY Confidential Information in a manner that fully protects AGENCY's rights therein.

5. RIGHT TO AUDIT

- (a) CONTRACTOR shall maintain commercially reasonable Disaster Recovery and Business Continuity Plans. If CONTRACTOR utilizes a Statement on Audit Standards No. 70 (SAS 70), or a Statement on Standards for Attestation Engagements (SSAE) No. 16, as developed by the American Institute of Certified Public Accountants (AICPA), within the past twenty-four months prior to the Agreement, CONTRACTOR shall provide NYSIF with a copy of CONTRACTOR's Service Auditor's Report(s) for either Type I or Type II (Reports), or Service Organization Control (SOC) Report types 1, 2, or 3, on an annual basis. Such Report(s) shall be used for information purposes only. NYSIF reserves the right to request a copy of the Report(s) during the Agreement duration (including option periods). Production of CONTRACTOR SAS 70 Report(s), or SOC Reports shall not take the place of NYSIF's right under the Agreement to independently audit CONTRACTOR.
- (b) CONTRACTOR shall maintain accurate records and accounts of services performed and money expended under this Agreement and shall furnish or make available such supplemental accounts, records or other information as are required in the event of a security breach and/or to substantiate any expenditure or report to AGENCY, or as may be necessary for auditing purposes or to verify that expenditures were made and/or proper non-disclosure procedures were implemented as instructed by this Agreement. Such records, accounts and all supportive documentation shall be kept for at least six (6) years subsequent to the termination date of this Agreement.

6. INFORMATION SECURITY BREACH

In the event of a Breach of Security as defined in NY CLS Gen Bus §899-aa and NY CLS State Technology Law §208, or otherwise, involving AGENCY supplied Personal Information or Private Information from systems owned, operated, sub-contracted or otherwise routed through Contractors systems or networks, CONTRACTOR shall notify AGENCY immediately, without unreasonable delay. "Breach of Security" shall mean the unauthorized acquisition or acquisition without valid authorization of computerized data that compromises the security, confidentiality, or integrity of personal information maintained by a business. "Personal Information" shall mean any information concerning a person which, because of name, number, mark or other identifier, can be used to identify such person. "Private Information" shall mean personal information in combination with any one or more of the following data elements, when either the personal information or the data information or the data element is not encrypted or encrypted with an

encryption key that has also been acquired: (i) social security number; (ii) driver's license number or non-driver identification cards number; or (iii) account number, credit or debit card number, in combination with any required security code, access code, or password which would permit access to an individual's financial account. CONTRACTOR additionally undertakes to, solely at its own cost and expense, provide any requisite notices that either CONTRACTOR or AGENCY would have to provide pursuant to NY CLS Gen Bus §899-aa and NY CLS State Technology Law §208, or any other applicable statute, both on behalf of CONTRACTOR and on behalf of AGENCY. CONTRACTOR's notification shall include but not be limited to a description of the categories of information that were, or are reasonably believed, to have been acquired by a person without valid authorization, including specification of which of the elements of personal information and private information were, or are reasonably believed to have been, so acquired, or as otherwise provided for by applicable law.

7. RETURN OF CONFIDENTIAL INFORMATION

Notwithstanding Section 2(d) above, following a request of the Agency or upon the termination of this Agreement, the Contractor shall promptly, but in no event more than five (5) business days following such request or the termination of this Agreement, return to the Agency all or any portion of the Agency's Confidential Information or, at the Agency's election, destroy all or any part of the Agency's Confidential Information, and upon request by the Agency, provide certification thereof; provided that in lieu of returning Confidential Information that has been included in the Contractor's notes, analyses, and studies, the Contractor may destroy such Confidential Information and provide certification thereof.

8. THE AGENCY POLICIES

CONTRACTOR shall use its best efforts to comply with all of AGENCY's rules, regulations, policies and procedures that might affect CONTRACTOR's delivery of services or products in effect (the "*Policies & Procedures*"), including but not limited to AGENCY's security procedures, procurement policies and privacy policies, provided that such Policies & Procedures are generally applicable to all similarly situated vendors to AGENCY. CONTRACTOR will advise all of CONTRACTOR'S Contractors involved in the performance of services or the delivery of products of their obligation to comply with the Policies & Procedures.

9. CONTRACTOR TRADE SECRETS

The AGENCY acknowledges that the business methods and investigative techniques and pricing structure of CONTRACTOR, other than payment amounts by NYSIF, are confidential proprietary business assets of the CONTRACTOR and AGENCY agrees to use reasonable means to protect the same to the extent practicable and permitted by law. In the event such information is demanded by subpoena, request pursuant to the New York Freedom of Information law or other legal process, the AGENCY will give CONTRACTOR notice within three (3) business days for the purpose of affording it the opportunity to interpose objections to its disclosure. AGENCY acknowledges that CONTRACTOR considers the above described information to be trade secrets within the meaning of NY Public Officers Law §87(2)(d). AGENCY will also give notice to CONTRACTOR in the event of unintentional disclosure within three (3) business days upon discovery. In the event of termination of the relationship between CONTRACTOR and AGENCY for any reason, AGENCY agrees not to disclose any of the aforementioned information to any successor contractor performing the same or similar services.

10. TERM

This Agreement shall continue in effect until terminated by written notice to the other party. The confidentiality obligations of the parties shall survive termination of this Agreement in accordance with Section 4(d).

11. NOTICE

Any notice, demand or other communication required or permitted to be given under this Agreement shall be in writing and shall be deemed delivered to a party (i) when delivered by hand or courier, or (ii) six (6) days after the date of mailing if mailed by United States certified mail, return receipt requested, postage prepaid, in each case to the address of such party set forth below (or at such other address as the party may from time to time specify by notice delivered in the foregoing manner):

AGENCY: New York State Insurance Fund
199 Church Street
New York, New York 10007

CONTRACTOR: _____

12. NO ASSIGNMENT

This Agreement and the parties' respective rights, duties and obligations under this Agreement are not transferable or assignable by either party. Any attempt to transfer or assign this Agreement or any of its rights, duties or obligations under this Agreement is void. For purposes of this section 12, a transfer of more than fifty percent (50%) ownership interest in CONTRACTOR or a consolidation or merger of CONTRACTOR into another entity, including an affiliate of CONTRACTOR, shall be considered an assignment of this Agreement and shall be prohibited unless (i) consented to in writing by AGENCY and (ii) the transferee or resultant surviving entity explicitly agrees to the terms of this Agreement.

13. MODIFICATIONS

This Agreement can only be modified by a written agreement duly signed by hand by the persons authorized to sign agreements on behalf of CONTRACTOR and AGENCY, and variance from the term or conditions of this Agreement will be of no effect. Without limiting the foregoing, terms and conditions which are displayed or conveyed electronically or are associated with, or are responded to by the operation of a mouse or other pointing device, typing on a keyboard, "virtual" actions, an automated computer program, the removal of shrink-wrap, the opening of a package, the loading or use of software or other goods or services, or any other action other than a handwritten signature as set forth above, will not be effective and will not amend or modify this Agreement.

14. SEVERABILITY

If any provision or provisions of this Agreement shall be held to be invalid, illegal or unenforceable, the validity, legality and enforceability of the remaining provisions shall not in any way be affected or be impaired thereby.

15. GOVERNING LAW; VENUE

All questions concerning the validity, interpretation and performance of this Agreement shall be

governed by and decided in accordance with the Laws of the State of New York, without regard to any conflicts of laws and principles thereof.

16. COMPLETE AGREEMENT

This Agreement is the complete and exclusive statement of the agreement between the parties as to the subject matter hereof and supersedes all communications between the parties related to the subject matter of this Agreement. Each party represents and warrants to the other that it has full power and authority to enter into and perform this Agreement.

17. NO WAIVER

A waiver of a breach or default under this Agreement shall not be a waiver of any other or subsequent breach or default. The failure or delay in enforcing compliance with any term or condition of this Agreement shall not constitute a waiver of such term or condition unless such term or condition is expressly waived in writing.

18. INJUNCTIVE RELIEF

Each party acknowledges that a breach of its obligations under this Agreement may, as determined by a court of competent jurisdiction, result in irreparable and continuing damage to the other party for which monetary damages will not be sufficient. Each party further agrees that in the event of a breach or threatened breach by the Contractor of any of the provisions of this Agreement, the Agency shall be entitled to seek, in addition to its other rights and remedies hereunder or at law, injunctive or other equitable relief, and such further relief as may be proper from a court of competent jurisdiction.

19. CONSTRUCTION

The Parties are sophisticated and have been represented by counsel during the negotiation of this Agreement. As a result, the Parties believe the presumption of any laws or rules relating to the interpretation of contracts against the drafter thereof should not apply, and hereby waive any such presumption.

20. COUNTERPARTS

This Agreement may be executed in one or more counterparts, each of which shall be deemed an original but all of which taken together shall constitute one and the same instrument. Both Parties agree that signature pages may be detached from separate counterparts and attached to a separate counterpart so that all signature pages are physically attached to the same document. Transmission by facsimile of an executed counterpart to this Agreement will be deemed due and sufficient delivery of such counterpart, and a photocopy of an executed counterpart sent by facsimile transmission may be treated by the parties as a duplicate original.

21. STANDARD CLAUSES FOR AGENCY CONTRACTS

The parties agree that the Standard Clauses attached as Exhibit A to this Agreement shall be incorporated by reference into this Agreement and that in the event of a conflict between any term or condition in the text of this Agreement and Exhibit A, that the terms of Exhibit A shall govern and control.

22. BINDING AGREEMENT

This Agreement shall be binding upon the parties hereto and inure to the benefit of the parties hereto, their respective successors and permitted assigns.

IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be effective as of the Effective Date below.

NEW YORK STATE INSURANCE FUND

By _____
Name _____
Title _____
Date _____

By _____
Name _____
Title _____
Date _____

ACKNOWLEDGEMENT BY CORPORATION

STATE OF _____)
)
COUNTY OF _____)

SS.: _____

On this _____ day of _____, 20____, before me personally came _____, to me known and known to me to be the person who executed the above instrument, who, being duly sworn by me, did for himself depose and say that he is a member of the firm of _____, and that he executed the foregoing instrument in the firm name of _____, and that he had authority to sign same, and he did duly acknowledge to me that he executed the same as the act and deed of said firm of _____, for the uses and purposes mentioned therein.

Notary Public