



New York City Campaign Finance Board

REQUEST FOR PROPOSALS

for Printing, Binding, and Mailing Services
for NYC Voter Guides and other projects, 2019–2021

Release Date: September 5, 2018
RFP #004201900002

Submission Deadline
October 18, 2018 by 5pm EDT

MANDATORY PROPOSERS' CONFERENCE

The CFB will hold a MANDATORY Proposers' Conference for this
Printing, Binding, and Mailing Services RFP

Thursday, September 27, 2018, 2:30 –4:00 pm (EDT)

100 Church Street, 12th Floor

New York, NY 10007

At the conference, we will discuss the Voter Guide project in greater detail, provide printed samples, and answer questions from potential proposers. Vendors **MUST** attend this proposers' conference in order to be considered for the contract.

*Vendors unable to attend in person must contact Elizabeth Upp at eupp@nyccfb.info by **Friday, September 21, 2018** to arrange to attend remotely, i.e., via skype or videoconferencing.*

Printing and Mailing Services for NYC Voter Guides and other projects in 2019 – 2021(RFP #004201900002)

This Request for Proposals (RFP) is intended to result in a three-year contract for printing, binding, and mailing services, with a two-year renewal option.

The New York City Campaign Finance Board (CFB) produces the official New York City Voter Guide (the Voter Guide or Guide) for every regularly scheduled municipal election. The City Charter mandates that a Guide be mailed to every New York City household with an eligible registered voter. The Guide provides general voting information; profiles of candidates for mayor, public advocate, comptroller, borough president, and City Council member; and comprehensive coverage of ballot proposals. Consistent with federal and local law, the CFB produces and distributes English/Spanish bilingual Guides to all voters; it also produces Bengali, Chinese, and Chinese/Korean editions for targeted distribution in Brooklyn, Manhattan, and Queens.

The CFB anticipates producing citywide Voter Guides in 2019 and 2021. Scenarios indicating the approximate quantities and other manufacturing specifications have been provided on the next page. The CFB currently does not anticipate producing printed Guides in 2020, but a scenario for producing a Guide covering an off-year election in one Council District is provided for pricing purposes.

Please note that the CFB is anticipating an unprecedented number of candidates running in the citywide municipal elections in 2021 due to the large number of open seats. The specifications for 2021 call for significantly higher number of primary and general election editions compared to previous contracts for these services, as well as an increase in overall quantity produced and mailed.

The CFB herewith requests proposals for printing and mailing services for Voter Guides covering elections in 2019, 2020, and 2021 and for other projects, such as annual reports, transit advertising, and postcards, through the end of the three-year term. **The contract resulting from this RFP may be renewed at the end of the term for up to an additional two years, upon mutual agreement of the parties, which would include services for citywide Guides in 2023.**

Voter Guide Manufacturing and Mailing Specifications

| | |
|------------|---|
| trim size* | 10 7/8 H x 8 3/8 W |
| stock | lightweight coated 2 sides, minimum 85 bright |
| color | 4-color process with a 4-side bleed |
| finishing | self-cover, saddle-stitched |
| mail prep | approximately 85% self-mail, inkjet addressing, ECR approximately 10% polybag with carrier card (for recipients receiving two editions) (the remaining 5% are delivered bulk; see page 4 for details) |

* The CFB will consider slight variations to the trim size if (a) the variation offers a cost and/or time savings, and (b) the printable area remains substantially the same as under the specification above. Any variation in trim size must be clearly specified in the proposal, including the impact (if any) it will have on the printable area and the reason(s) why it is being proposed. The CFB will presume proposals are for the dimensions stated above and the selected contractor will be required to produce at the specifications indicated above without additional cost unless dimension changes were clearly indicated in the proposal and accepted by the CFB.

Estimated editions, page counts, and quantities per election/year*

Use these scenarios to prepare your pricing schedule (Attachment D). Please note that all figures below are approximate and subject to significant change. See [Editions and Page Counts](#) for more information on how these numbers may vary and when they will be finalized.

| | 2019 Voter Guide | 2020 Voter Guide* | 2021 Voter Guide† |
|------------------|--|--|--|
| Primary Election | 1 English/Spanish edition @ 32 pages; 4.7 million 1 Chinese/Korean edition @ 32 pages; 100,000 1 Chinese edition @ 16 pages; 120,000 1 Bengali edition @ 16 pages; 15,000 | 1 English/Spanish edition @ 32 pages; 75,000 1 Chinese/Korean edition @ 32 pages; 20,000 1 Bengali/English edition @ 32 pages; 5,000 | 45 English/Spanish editions @ 64 pages; 50,000-150,000 each 3 Chinese editions @ 64 pages; 20,000-65,000 each 1 Korean edition @ 64 pages; 40,000 1 Bengali editions @ 64 pages; 15,000 |
| General Election | 1 English/Spanish edition @ 48 pages; 4.7 million 1 Chinese/Korean edition @ 48 pages; 75,000 1 Chinese edition @ 32 pages; 75,000 1 Bengali edition @ 32 pages; 20,000 | 1 English/Spanish edition @ 32 pages; 90,000 1 Chinese/Korean edition @ 32 pages; 25,000 1 Bengali/English edition @ 32 pages; 7,500 | 45 Eng/Span editions @ 64 pages; 65,000-150,000 each; 4.7 million total 3 Chinese editions @ 64 pages; 20,000-60,000 each; 150,000 total 1 Korean editions @ 64 pages; 50,000 1 Bengali editions @ 64 pages; 20,000 |

* There are no elections currently scheduled that would require the CFB to produce Voter Guides in 2020. The scenario provided is for a guide covering an election in a single Council District in Queens.

† While the CFB may ultimately require fewer editions than indicated in the scenarios for 2021, the selected vendor must be capable of producing this number within the required timeframe.

Vendors must refer to copies of previous Voter Guides before preparing their proposals. PDFs of previous Guides are available online at www.nycffb.info/vendor. Print copies are available at the CFB’s office and will be distributed at the mandatory proposers’ conference on September 27, 2018.

In addition to Voter Guides, the chosen contractor shall provide printing and/or mailing services, at the CFB’s sole discretion, for:

- Voter Guide advertising campaigns, such as transit posters
- other voter outreach, such as GOTV postcards)
- other print/mail projects the CFB may require

Proposals submitted in response to this RFP must:

- demonstrate the proposer’s ability to print, bind, mail, and distribute the required volume of Voter Guides on schedule and provide ancillary services as described in the body of this RFP.
- Provide samples of work with similar specifications in this RFP.
- Provide line pricing for required services and an estimate for the total cost based on the scenarios given in this RFP.

The printing, binding and mailing of the Voter Guide must adhere to an extremely strict schedule to ensure that voters receive their Guides well in advance of the primary and/or general elections each year. Final files for the Guides are sent to the printer approximately six weeks before each election and printed Guides must arrive in voters’ mailboxes no less than one week prior to the election.

Overview: Anticipated Production and Election Dates*

| | 2019 | 2020 | 2021 |
|---|---------------------|---------------------|---------------------|
| Voter data for primary mailing to printer | July 1 | July 1 | July 1 |
| Primary election edition(s) to printer | August 9 | August 14 | August 3 |
| Last day for primary election Guides to arrive in voters’ homes/last day for bulk delivery | September 3 | September 8 | September 7 |
| Primary Election Day | September 10 | September 15 | September 14 |
| General election edition(s) to printer | September 13 | September 19 | September 21 |
| Last day for general election Guides to arrive in voters’ homes/last day for bulk delivery | October 29 | October 27 | October 26 |
| General Election Day | November 5 | November 3 | November 2 |

* Vendors who can provide later dates for delivery of files will be preferred by the CFB. Delivery of files in 2019 and 2020 are later due to the low number of editions anticipated. Primary election dates in all three years are subject to change by the state legislature. In 2020, there is no election currently scheduled that would require the CFB to produce and mail printed Voter Guides.

The anticipated timetable for choosing a contractor for this project is as follows:

| | |
|---------------------------------|--|
| Issuance of the RFP | September 5, 2018 |
| Mandatory Proposers’ Conference | September 27, 2018, 2018 at 2:30 pm (EDT) |
| Submission Deadline | October 18, 2018 by 5:00 pm (EDT) |
| Vendor Interviews | October 30–November 9, 2018 by appointment |
| Selection of a Contractor | approximately November 21, 2018 |
| Contract Start Date | approximately April 2, 2019 |

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INTRODUCTION AND BACKGROUND

The Voter Guide is a nonpartisan resource that is mailed to every household with an eligible voter in NYC before each regularly scheduled municipal election. The printed Guide is a colorful, easy-to-read magazine containing:

- information about how and where to vote
- a list of all candidates on the ballot for each race at press time (including candidates who did not submit a profile)
- profiles submitted by candidates for mayor, comptroller, public advocate, borough president, and City Council member, including biographical information and a photo
- information about ballot proposals

The CFB produces printed Voter Guides in English, Spanish, Chinese, Korean, and Bengali; and may produce additional language editions in the future.

MANUFACTURING AND PRODUCTION

Stock

The Guide is printed on coated 2-sides stock with a minimum brightness of 85. Vendors must include several stock options of an appropriate weight to satisfy the following: (a) minimize show-through, (b) substantial enough to meet postal requirements, and (c) minimize the weight of the printed Guide to keep postal costs low. The CFB will prefer less expensive stocks that meet these requirements. Proposals must include labeled samples and pricing per CWT, as well as total cost for each proposed stock under the scenario for each year provided in this RFP. Documentation from the paper mill verifying paper costs may be required from some or all proposers during evaluation and/or prior to contract award.

Please note: under the contract, billing for paper must be substantiated by invoices from the paper mill. In order to protect both the selected contractor and the city from fluctuations in paper prices, a stock price escalation clause is included in the contract to allow for changes in stock costs between the time proposals are submitted and the time stock must be purchased by the selected vendor for each year's Guide. Stock must be billed to the CFB at cost by the selected contractor.

Dimensions

The Guide is a 10 ⁷/₈ H x 8 ³/₈ W magazine. The CFB will consider slight variations to the trim size if (a) the variation offers a cost and/or time savings, and (b) the printable area remains substantially the same. Any variation in trim size must be clearly specified in the proposal, including the impact (if any) it will have on the printable area and the reason(s) why it is being proposed. Indicate any variations to the dimensions and the reason for the variation on [Attachment E](#).

Pre-Press, Printing, and Finishing

The CFB will provide PDF files for each language/edition of the Guide, optimized and delivered in accordance with the printer's specifications. The selected contractor must "marry" the two files for bilingual editions and compose each edition. Bilingual Guides flip over to the second language, so that each language has a cover and text running to the center of the finished Guide. Please examine sample Guides before preparing your proposal.

Guides are 4-color with a 4-side bleed, and are saddle-stitched.

The selected contractor must provide hard-copy color proofs for the CFB to review and approve. The CFB may also require hard-copy text proofs, in addition to electronic proofs, at its sole discretion.

The CFB will also provide files for cardstock inserts for addressing polybagged mailings that contain more than one Guide edition.

Editions, Page Counts, and Quantities

The CFB produces and mails bilingual English/Spanish Guides to voters in all five boroughs. It also produces and mails (polybagged with an English/Spanish edition): bilingual Chinese/Korean and Bengali-only or Bengali/English editions to specific voters in Queens, and Chinese-only editions to specific voters in Brooklyn and Manhattan.

There are 51 Council districts in New York City, and historically, each English/Spanish edition covers candidates on the ballot for voters residing in 1-4 Council districts. **For the 2021 citywide primary and general elections, the CFB estimates over 500 candidates will register to run for covered office, and thus anticipates producing more editions than for previous citywide elections—potentially, one English/Spanish edition for each of the 51 council districts, plus the Asian-language editions described above.**

In 2019, the CFB anticipates producing one citywide English/Spanish Guide for both the primary and general election, as well as at least one edition in Chinese, Korean, and Bengali. There are currently no elections requiring printed Guides anticipated for 2020, although a scenario for a Guide covering a primary and general election in one Council District has been provided for the purpose of obtaining pricing from responding vendors. (See page v for estimated specifications for all three years.)

The number of editions required in each year of the contract will vary based on the number of candidates on the ballot and the number of those candidates who submit a candidate profile for the Voter Guide, and cannot be confirmed until late in the production cycle. General election Guides may require coverage of a ballot proposal, which can impact the total number of editions and/or the final page count for those editions. The print quantity for each edition depends on how many council districts it covers and the number of eligible voters in those districts, and may differ substantially from the estimated print runs in this RFP. The actual number of editions, their page counts, and their total quantity will not be finalized until very late in the production cycle.

The selected contractor must assist the CFB in determining the best approach by providing optimal page counts from a manufacturing and mailing perspective and helping to determine whether it is preferable to increase/decrease page counts or add/subtract editions and total quantities. **You do not need to discuss your preference in your proposal, just provide the cost to increase/decrease pages, editions, and total number of copies per edition in the [Pricing Schedule](#).**

The CFB requires the latest possible dates to confirm the number of editions and their page counts, which cannot be earlier than the ballot petitioning deadline (approximately the third week of July for the September primary election) and the deadline for submission of ballot proposals (the beginning of September for general election editions), neither of which dates is under CFB control. Indicate your last date to make these changes in your proposed production schedule. The CFB will prefer proposers who are best able to be flexible in producing the best possible Guides for the voters at the best possible price for the City.

MAILING

The English/Spanish Guide editions are designed as a self-mailer, with space left on the cover for inkjetting the addresses and the voter's election, assembly, and council district numbers and poll site information. Approximately 90% of voters receive a single bilingual edition. Targeted voters in Brooklyn, Manhattan, and Queens receive a second edition of the Guide in another language based on the voter's surname. For these mailings, the two Guide editions are polybagged together and the address, district, and pollsite information is printed on a card-stock insert.

Guides are prepared as enhanced carrier route (ECR) Standard A flats under the CFB's bulk mailing permit. Properly sorted Guides must be trayed and tagged or assembled in accordance with USPS regulations for this mail category and delivered to the proper SCF facilities in New York City. The USPS regulations can change from year to year, and the selected contractor must be capable of manufacturing and preparing the Guides for mailing in accordance with the USPS regulations at the time of the mailing, e.g., requirements for automated mailing or wafer sealing. The selected contractor must:

- Keep abreast of changes in pricing and specifications for bulk mail and inform the CFB of any changes and the impact these changes will have on the project
- Work with the CFB to determine the best approach to keep mailing costs as low as feasible, including obtaining every possible postal discount
- Establish a CFB permit at the appropriate post office for facilitating verification of the Guides prior to delivery to NYC SCFs, if required
- Provide an estimate of the postage costs for each mailing; the CFB will provide a check in that amount which the vendor must deposit with the permit-holding post office

Historically, the Guides have been "red tagged" (see [Attachment F](#)) to indicate they are political mail that must be delivered before Election Day. The Post Office may no longer recognize this designation. If it is still in use, these tags must be produced and affixed by the selected contractor.

The CFB may hold a meeting at its offices with a New York City Post Office representative to discuss any anticipated problems and work out the logistics of the Guide mailing. Both the printing and mailing representatives of the selected contractor must attend this meeting and be prepared to implement approaches that will maximize efficiency, minimize costs, and avoid potential issues associated with the mailing of the Guide.

For mailing purposes, the CFB provides the selected contractor with the appropriate registered voter data prior to the primary election (generally in early July) either via email, a file-sharing platform, or on DVD with the records divided by borough. The data includes address, district, party, and other information required for sorting and determining which edition(s) to send to each voter. A new set of files will be provided before each mailing.

For each election (unless otherwise indicated):

1. Merge/purge each borough list
2. perform NCOA
3. **Primary only:** Sort by party to identify which voters must receive primary election Guides (only voters registered in a party that is holding a primary receive a primary edition of the Guide; which parties to sort for will be provided by the CFB).
4. Surname analysis: determine whether voter must receive a Bengali, Chinese, or Chinese/Korean edition as well as the English/Spanish edition by sorting against a spreadsheet of surnames provided by the CFB.
5. Sort by council district to determine which edition(s) the voter should receive.
6. At the CFB's discretion: "Household" or "family" sort: When two or more voters receiving the Guide are present in one household, i.e., two or more records have identical surname and address information, collapse them into one "family" or "household" record and address the Guide to, for example, "The Smith Family").
7. Sort to assign a postal carrier route.
8. Walk sequence sort (in areas where this is cost-effective).

Bulk Delivery

The CFB provides bulk quantities of Guides to local organizations such as public libraries, universities, civic groups, churches, and shelters. The CFB will provide a bulk distribution list with all pertinent information prior to printing. These shipments range from a few dozen to several hundred per site, to several hundred sites, to be delivered around the same time the mailed copies are delivered to the Post Office.

Many of the deliveries will be made to recipients (such as the CFB's office) that are not able to accept curbside delivery. Therefore, all bulk deliveries of the Guides, including the CFB's copies, must either be shipped by a commercial delivery service, or arrangements must be made not only to truck the boxes of Guides to the sites, but to unload the boxes and to bring them to a specified location inside the buildings (reception, the mail room, etc.). Please specify in your proposal how you will deliver these Guides and estimate the cost on the Pricing Schedule.

ANCILLARY AND POTENTIAL SERVICES

Posters

The CFB may run an MTA advertising campaign to promote voting and the CFB's voting resources in any year of the contract. The selected contractor or its subcontractor must have the capability to manufacture and deliver subway and bus cards, platform/bus shelter posters, and other types of MTA advertisements.

Ancillary Printing/Mailing

The CFB anticipates requiring additional printing or mailing services from the selected contractor, such as postcards, stickers, and post-election reports. The selected contractor will be provided with specifications and required to provide a price quote for any additional services the CFB may require. The selected contractor is not guaranteed any additional work under this clause, and the CFB may choose to utilize another vendor for other printing or mailing services not specifically outlined in this RFP at its sole discretion. Vendors are encouraged to provide information about the full scope of printing and mailing services they offer as part of their proposals.

PROPOSAL REQUIREMENTS

The CFB is seeking responses to this RFP that meet the requirements stated herein. Any proposal missing any component of this section may be immediately disqualified.

Mandatory Proposers' Conference and Vendor Queries

The CFB will hold a **mandatory Proposers' Conference** at its office on Thursday, September 27, 2018 at 2:30 pm: 100 Church Street, 12th Floor, New York, NY 10007. This 90-minute session will provide additional information about the Voter Guide project, including specifications, scope of services, and the contract process, and provide ample opportunity for questions and answers. Printed Voter Guide samples will be distributed. Vendor queries received prior to the conference will be answered at this session. **Vendors must be represented at the mandatory Proposers' Conference in order to submit a proposal in response to this RFP.** While attendance in person is strongly preferred, the CFB will make reasonable accommodations for vendors who cannot attend the conference in person to participate remotely, e.g., via Skype or video conferencing. You must contact Elizabeth Upp in writing (email is acceptable) by **Friday, September 21, 2018** to make arrangements to attend remotely. Late requests will not be honored. **The CFB will disqualify proposals received from vendors who did not participate in this mandatory conference.**

Inquiries regarding any aspect of this RFP may be asked at the Proposers' Conference or submitted via email to the contract manager, Elizabeth Upp, at eupp@nycctb.info. Although questions may be submitted at any time between the release date and submission deadline, the CFB anticipates answering the majority of questions at the Proposers' Conference and may not distribute written responses prior to that date. Vendors may continue to submit questions in writing after the

conference. All post-conference vendor queries will be answered in writing and distributed to all eligible vendors.

The CFB will obtain contact information from Proposers' Conference attendees for the purpose of distributing vendor queries/CFB responses or any amendments to this RFP. Vendors who attend the conference remotely must provide their contact information, including email address, as part of that request, in order to be added to the list. Vendors must acknowledge receipt of vendor queries/CFB responses or any amendments to this RFP in order to remain eligible to submit a proposal.

Submission of Proposals

The CFB must receive the following by **5:00 pm (EDT) on Thursday, October 18, 2018**:

- One (1) original and seven (7) copies of the proposal, which should be collated and bound. All price quotation pages must be initialed by the respondent.
- One (1) additional "registration copy" (defined below) of the proposal, including all exhibits, reference materials, and attachments.
- One (1) Doing Business Data Form for Contract Proposers (Attachment G)

The proposal package must be placed in a sealed envelope or box that should bear:

- A first label providing the proposer's name and address and: "Proposal submitted in response to RFP PIN # 004201900002: Printing, Binding, and Mailing Services for NYC Voter Guides 2019–2021. Do not open before October 18, 2018".
- A second label addressed to Elizabeth A. Upp, Director of Communications, NYC Campaign Finance Board, 100 Church Street, 12th Floor, New York, NY 10007.

Proposals received after the submission deadline shall not be accepted, regardless of the date of postmark, except as provided under the Procurement Policy Board (PPB) Rules. The CFB advises proposers to express mail or hand deliver their proposals to ensure timely submission.

Registration Copy

The New York City Comptroller's Office employs mechanized scanning devices to process the City's contracts and supporting documents. To comply with the City's requirements for contract registration, one copy of your proposal must conform to the greatest degree possible with the city's guidelines.

The proposal and all appendices, supporting documents, and related materials included as part of the registration copy of your proposal submission should:

- not be bound with glue, spiral combs, tape, staples, or other permanent binding materials (large paper clips are acceptable).
- be restricted to either 8.5" x 11" or 8.5" x 14" page sizes and must not contain materials, including divider tabs, which are larger than or unfold to dimensions larger than these standards (8.5" x 11" paper is strongly preferred).
- incorporate a table of contents.

- make use of both sides of the paper.
- be readily decipherable. Off-center, third- and fourth-generation photocopies, and poorly printed copies are not acceptable.
- avoid the use of colored paper stock and/or fluorescent highlighting.

The registration copy must bear the vendor's certification that it is identical to the presentation copies.

Cover Letter

All proposals must include a cover letter signed by a representative of the respondent. The cover letter should include:

- the proposer's name and address
- the name, address, telephone, email address, and fax number of the person authorized to represent the proposer
- a brief description of the company, the capabilities which make it a good choice for this project, the equipment on which this project is to be printed, provisions for equipment failure and/or for a change in the production schedule, and experience with similar projects.

Financial Information

Proposers must provide their most recent financial statement, and, if available, Dun and Bradstreet or other comparable information. This information is necessary for the CFB's evaluation of the proposer's ability to complete the project and will be kept confidential at the proposer's request to the extent non-disclosure is permitted under applicable law.

Detailed Production Schedule

Proposals must include a detailed production schedule for each year of the Voter Guide project that incorporates the dates outlined in the Project Schedule on page vi and dates for the project milestones described below, as well as any other dates the proposer believes are relevant to the project. Please also refer to the manufacturing and mailing specifications on page v to ensure your schedule appropriately reflects the quantities required/anticipated number of editions. The CFB will prefer production schedules that provide the latest feasible dates for determining the page counts/edition breakout and delivery of files by the CFB.

- Deadline for determining the number of Guide editions/page counts/quantities (as late in schedule as possible).
- The last possible date that files must be received by the printer for the primary and general election Guides. These dates cannot be earlier than the dates in the table on [page 3](#).
- When proofs will be delivered to the CFB and its vendors (e.g., the translators) and when they must be returned.
- Anticipated dates on press, at bindery, and addressing

- Date by which the CFB must confirm locations and quantities for bulk deliveries for the primary and general election Guides.
- Timeframe for delivering primary and the general election Guides to New York City SCFs, which meets the requirement that all Guides must arrive in voters' mailboxes at least one full week prior to the election date.

Attachments

The following attachments must be completed and submitted in your proposal, unless otherwise stated. If a proposal is received by the CFB that lacks any information requested, it may be immediately disqualified.

Attachment A, Project Team

The CFB will evaluate the project team's experience with projects of similar size and time constraints, as well as managerial and technical qualifications. Proposers must complete [Attachment A](#) and attach resumes for the members of the project team listed on this form. **The selected contractor may not change any member of the project team after submission of the proposal without obtaining prior written approval from the Executive Director of the CFB or her designee.**

Vendors must provide the following in their proposal for any subcontractors they plan to use:

- The names, business addresses, and telephone numbers of each proposed subcontractor on Attachment A and Attachment C.
- A notarized letter confirming the commitment of each proposed subcontractor
- A detailed explanation of the services each subcontractor will provide
- Documentation of subcontractors' experience with providing these services on similar projects using Attachment B

The selected contractor must obtain the written approval of the CFB before changing or adding any subcontractors. No work under the contract resulting from this RFP can be delegated without prior written approval by the Executive Director of the CFB or her designee.

Attachment B, Experience Reporting Forms

All proposers must demonstrate experience with providing the services described in this RFP.

Proposals must contain information including, but not limited to, a description of any relevant projects performed within the last five years by the proposer and any subcontractors the proposer intends to use on this project, and at least three references (name, business address, and telephone number) who have knowledge of relevant work performed by the proposer and each proposed subcontractor.

Proposers must complete a separate Attachment B for each reference and/or sample work provided. This form requests a description of the contractual scope of the project completed, contract value, contract dates (i.e., submission, production, and mailing timetable), and professional staff hours

devoted to the project. A sample of the finished product produced for each reference must be submitted with your proposal, if feasible.

Proposers also must list and describe the firm's contractual relationships involving the City of New York, the State of New York, or any government agencies or municipalities within the State or subdivisions thereof in the past five years and provide the names, addresses, and telephone numbers of the contract managers at those entities.

Attachment C, Proposal Submission Form

This form must include information about the contractor and any proposed subcontractors.

Attachment D, Pricing Schedule

All requested pricing information must be supplied and all pages of the Pricing Schedule must be initialed by the proposer.

Attachment E, Questionnaire

The questions on this form must be answered and submitted with the proposal.

Attachment F, Sample Political Mail Tag

This image is for informational purposes only.

Attachment G, Doing Business Data Form for Contract Proposers

Pursuant to Local Law 34 of 2007, amending the City's Campaign Finance Law, the City is required to establish a computerized database containing the names of any "person" that has "business dealings with the city" as such terms are defined in Local Law. In order for the City to obtain necessary information to establish the required database, vendors responding to this solicitation are required to complete the attached Doing Business Data Form and return it with this proposal. (If the responding vendor is a proposed joint venture, the entities that comprise the proposed joint venture must each complete a Data Form.) If the City determines that a vendor has failed to submit a Data Form or has submitted a Data Form that is not complete, the vendor will be notified by the agency and will be given four (4) calendar days from receipt of notification to cure the specified deficiencies and return a complete Data Form to the agency. Failure to do so will result in a determination that the proposal is non-responsive. Receipt of notification is defined as the day notice is e-mailed or faxed (if the vendor has provided an e-mail address or fax number), or no later than five (5) days from the date of mailing or upon delivery, if delivered.

NEW FOR 2018: As of January 2018, the Data Form must report organizations, as well as individuals, that own 10% or more of the entity. A Data Form with such a certification, filed as a full (never filed before) or as a change form, must be submitted before an entity can then file a Data Form that indicates no changes since the previous form. Contact Doing Business Accountability Project at 212-788-8104 or at doingbusiness@mocs.nyc.gov to inquire if it has received such a form.

Attachment G consists of two separate documents: the Doing Business Data Form, which must be completed and submitted with your proposal, and a Frequently Asked Questions (FAQ) about the Doing Business Accountability Project, which is provided to explain why this data is being collected and how it will be used.

Attachment H, Iran Divestment Act Compliance Rider for New York City Contractors

The Iran Divestment Act of 2012, effective April 12, 2012, is codified at State Finance Law (SFL) §165-a and General Municipal Law (GML) §103-g. The Iran Divestment Act, with certain exceptions, prohibits the City from entering into contracts with persons engaged in investment activities in the energy sector of Iran. To implement the law, each bidder or proposer is required to certify at the time it submits its bid or proposal that it is not on a list of entities engaged in investment activities in Iran created by the Commissioner of the NYS Office of General Services pursuant to the SFL. If a bidder or proposer is on the list, an Agency will be able to award a contract to such a vendor only in situations where the vendor is taking steps to cease its investments in Iran or where the vendor is a necessary sole source.

The Bidder's Certification of Compliance with Iran Divestment Act must be completed, signed and notarized, and submitted with your proposal.

Attachment I, Notice to Bidders, Proposers, Contractors, and Renewal Contractors

Attachment I described the Whistleblower Protection Expansion Act ("WPEA"), which will apply to the contract that will result from this RFP. It is provided for informational purposes only.

Attachment J, Affirmation

The Affirmation must be completed, signed and notarized, and submitted with your proposal.

Attachment K, General Provisions Governing City Contracts

Attachment K is provided for information purposes only, as a sample of standard City requirements, including the City's Dispute Resolution Provisions and McBride principles regarding business operations and investment in Northern Ireland.

Amendments to this RFP

Any amendment to this RFP shall be identified as such, and shall be distributed in written form. Each amendment (if any) will reference the portion of the RFP it amends. Proposers must provide written acknowledgment of receipt of any amendment, and respond to the CFB within a specified period if the amendment requests additional information, as a condition for consideration of proposals. Proposals received from vendors who did not acknowledge receipt of amendments that have been sent (if any) may be immediately disqualified. Amendments shall be sent to all prospective proposers who attended the mandatory Proposers' Conference (in person or remotely) on September 27, 2018. Amendments may also be posted on the CFB's website as part of the Notice of RFP at

www.nycctfb.info/vendor. It is the responsibility of the vendors to provide contact information to the CFB in order to ensure they receive amendments and acknowledge receipt if required.

If it is necessary for the CFB to issue an amendment close to the submission deadline for proposals, the CFB at its sole discretion may extend the proposal deadline, and state this in the amendment, or, if necessary, via email, facsimile, or telephone (to be followed by written confirmation).

Oral Interviews and Discussions

Vendors that submit responsive proposals may be required to appear at the CFB's office, 100 Church St., New York NY 10007 for an interview and discussion of their proposal and the project during the period October 30–November 9, 2018, by appointment, or on such other days as the CFB may determine, for purposes which may include:

- (1) promoting understanding of the CFB's requirements and the proposer's capabilities;
- (2) obtaining the best price for the City; and
- (3) arriving at a contract that will be most advantageous to the City.

These oral presentations and/or discussions must be attended by the project director, mailhouse representative, and/or any other individuals deemed appropriate by the CFB and/or by the proposer. Arrangements can be made for project team members to participate via video or phone conference if necessary.; please indicate in your proposal if any members of your proposed project team will be unable to attend oral interviews in person.

Following discussions, the CFB may ask responsive proposers to submit "best and final offers" at a specified date and time.

Prior to entering into a written agreement approved by the Corporation Counsel and registered with the New York City Comptroller, the CFB reserves the right to terminate discussions with tentatively selected proposers without any liability for any reason whatsoever in its sole discretion.

Proposal Package Contents Checklist

Make sure the following items are included in the proposal. One (1) original and seven (7) copies, plus one (1) "registration copy" of the proposal, including all exhibits, reference materials, and attachments, must be submitted. Note: you only need to submit one copy of the Doing Business Data Form.

- Cover Letter
- Completed Project Team Form including resumes ([Attachment A](#))
- Completed Experience Reporting Forms ([Attachment B](#))
- Samples (of the work specified in the Experience Reporting Forms)
- Completed Proposal Submission Form ([Attachment C](#))
- Completed Pricing Schedule ([Attachment D](#))
- Financial Information (most recent audited or unaudited financial statements)
- Completed Questionnaire ([Attachment E](#))
- Doing Business Data Form for Contract Proposers ([Attachment G](#))

- A notarized letter confirming the commitment of each proposed subcontractor
- Completed Bidder's Certification of Compliance with Iran Divestment Act ([Attachment H](#))
- Completed and signed Affirmation (Attachment J)

If any component of the proposal is missing, incomplete, illegible, or deficient in any way, the entire proposal may be rejected.

PRICING SCHEDULE/COST BREAKDOWN

The Pricing Schedule serves as the reporting format for all proposed costs, surcharges, and any other applicable fees relating to the printing, binding, and mailing of Voter Guides in 2019 and 2021, and, if required, 2020, and will be applicable in 2022-2023 if the two-year renewal clause is executed.

Projected prices and fees should be based on the specifications provided in this RFP. You must itemize each fee or cost, provide a total estimated cost for each year, and total estimated cost for the three year term based on the specifications and scenarios provided in this RFP.

Note that the specifications are anticipated to differ significantly in each year of the contract. There will be citywide municipal election in 2021; however, under no circumstances should this RFP be construed to imply that the CFB will require printing, binding, and mailing services from the selected contractor in 2019 or 2020 as well, since it is possible that the CFB will not produce any Guides in either year.

Only one pricing schedule will be accepted for the initial proposal. Once the deadline for submissions has passed, the fees stated in the Pricing Schedule will be binding and no changes to these proposed costs will be accepted unless changes in the proposal are required by the CFB.

The CFB reserves the right to ask proposers to submit "best and final offers" following discussions.

Because the amount of work and scope of services cannot be fully predicted in advance, the selected contractor will be compensated on a pro-rated basis for work requested by the CFB's project manager, completed and documented by the contractor, and accepted by the CFB's project director, at the rates given on page 1 of the Pricing Schedule, regardless of any estimates made on the remainder of the Pricing Schedule.

Stock Price Escalation Clause

To protect both the City and the selected contractor from undue costs in relation to fluctuations in paper prices, a price increase will be allowed on this contract in the case of a documented increase in the price of paper required for the printing the Guides relative to the cost indicated in the initial proposal. The CFB will consider one price increase request prior to each instance in which the selected contractor places an order for paper on behalf of the CFB, as long as it is accompanied by the documentation described in this subsection. The CFB may require quotes on different stocks in the event of a price increase in an effort to reduce costs for the City. Conversely, if the price of stock decreases, these savings must be passed on to the CFB. In all cases, the selected contractor shall only invoice for the actual cost of paper, documented by invoices from the paper mill.

Notification of price changes must be addressed to Elizabeth A. Upp, Director of Communications, New York City Campaign Finance Board, 100 Church Street, 12th Floor, New York, NY 10007.

This contract may be terminated by the City of New York in the event that requested price increases or decreases do not reflect industry documentation.

No price change will become effective unless approved by the Executive Director of the CFB or her designee. Price change requests, if approved, will reflect future orders only. Any purchase order that has already been generated will reflect the then current price.

The documentation related to increases or decreases must substantiate the change in pricing. Acceptable documentation, at a minimum, must include the following:

1. Mill increase notice
2. Vendor's paper invoice
3. *Pulp and Paper Week's* monthly price watch table

The information and factors listed will be used to determine the validity of, and the amount of, any price change request.

Documents to verify vendor's current paper costs must be submitted prior to contract award and/or when requested by the CFB. They will be used by the CFB to establish the original price when considering requests for price changes by the vendor. Failure to provide this information may preclude the vendor from receiving future price changes. Proposers must list the current paper costs in the Pricing Schedule.

EVALUATION OF PROPOSALS AND CONTRACTOR SELECTION

All proposals will be initially reviewed to ensure that all required information has been supplied. This is called the "threshold review." If any component of the proposal is missing, incomplete, illegible, or deficient in any way, the proposal may be immediately rejected.

Evaluation Process

An evaluation committee composed of CFB staff, and/or other employees of the City of New York, and/or other persons with sufficient knowledge, expertise, and experience to evaluate proposals will review and evaluate proposals that pass the threshold review. An oral presentation will be required of proposers ranked highest by this committee.

Evaluation Criteria

The City will make an award to the proposer whose offer conforms to the RFP and is most advantageous to the City, considering cost or price and technical criteria listed below. Each criterion has been weighted to indicate its importance, totaling 100 points.

| | | |
|----------|--|------------------|
| 1 | Equipment and resources the respondent is committing to the Voter Guide project | 20 points |
| 2 | Successful experience with printing & mailing projects of a similar scope as established with samples and references | 20 points |
| 3 | Flexibility and completeness of the respondent's proposed production schedule | 15 points |
| 4 | Cost | 20 points |
| 5 | Project approach as described in the cover letter and vendor questionnaire | 15 points |
| 6 | Financial and technical resources of the proposer | 10 points |

Please note: While proposers' cost bids are an important factor in the evaluation process, they are not the sole determining factor in the selection of a contractor.

Contractor Selection

The CFB will select a contractor based on the committee's evaluation of the proposals and the CFB's background investigation. A contract will be awarded to the responsible proposer(s) whose proposal(s) is/are determined to be the most advantageous to the City, taking into consideration the price and such other factors and criteria as are set forth in this RFP. Contract award shall be subject to the timely completion of contract negotiations between the CFB and the selected proposer.

GENERAL PROPOSAL INFORMATION

Conditions of Proposal Submissions

On or before the submission deadline of October 18, 2018 at 5:00 pm EDT, the proposer must submit a proposal in accordance with the instructions contained in this RFP. This RFP does not commit the City to award a contract nor is the City responsible for any costs incurred in the preparation of a response to this RFP. Submission of a proposal shall be deemed to be permission by the proposer for the CFB to make such inquiries concerning the proposer as the CFB deems necessary. The CFB will require key team members of vendors with the highest rated proposals to participate in an interview to discuss their proposal and the project at the CFB's offices. These interviews are scheduled to take place October 30–November 9, 2018 by appointment.

Proposals that are not complete or are not in conformance with this RFP may be immediately eliminated from consideration.

The City reserves the right to:

1. Reject any proposal received in response to this RFP.
2. Contract for all or selected parts of the proposal without affecting the itemized pricing.
3. Use any ideas contained in submitted proposals.
4. Extend the submission deadline upon notice to all prospective proposers.
5. Consider proposals or modifications received at any time before the award is made, if such is in the best interests of the City.
6. Correct, waive, or modify any irregularities in the proposals received after notifying the proposer.
7. Negotiate separately with any proposer in any manner necessary to serve the best interests of the City.
8. Accept a proposal from other than the lowest cost proposer.
9. Conduct discussions with any or all proposers, or award the contract without any discussion.
10. Terminate negotiations with a tentatively selected contractor or take any other appropriate action, without any liability, for any reason whatsoever in its sole discretion.
11. Award a contract for all services described in this RFP to one contractor, or to award contracts to more than one contractor, as it sees fit.
12. Postpone or cancel this RFP, in whole or in part, and to reject all proposals.

This RFP does not create any obligation or represent any agreement whatsoever on the part of the City. Such obligation may only be incurred or entered into by written agreement approved by the Corporation Counsel and registered with the New York City Comptroller. Selection of a proposal will not create any rights on the proposer's part, including, without limitation, rights of enforcement, equity, or reimbursement, until after approval by the New York City Corporation Counsel and registration with the New York City Comptroller. This RFP and any agreement or other documents resulting therefrom are subject to all applicable laws, rules, and regulations promulgated by any federal, state, or municipal authority having jurisdiction over the subject matter thereof, as the same may be amended from time to time. Any oral agreements, quotations, or estimates are non-binding.

Confidential Portions of the Proposal

Proposers should give specific attention to identifying those portions of their proposals that they deem to be confidential, proprietary information, or trade secrets, and provide any justification why such materials, upon request, should not be disclosed by the City. Such information must be easily separable from the non-confidential sections of the proposal. Notwithstanding respondents' identification of material deemed confidential, proposals may be disclosed in their entirety by the CFB or other agencies in accordance with their obligations under the Freedom of Information Law, Article 6 of the Public Officers Law of the State of New York, or other applicable law. The proposal submitted by the selected contractor becomes a part of the executed contract, which may be disclosed in accordance with applicable law by City agencies charged with the review and registration of contracts.

Subcontracting

Except in the case of subcontractors indicated in the selected contractor's proposal, the selected contractor shall not subcontract the whole or any part of the contract(s) resulting from this RFP without prior written approval of the Executive Director of the CFB or her designee.

Incurred Costs

The City is not liable for any cost incurred by proposers in the preparation of proposals or for any work performed prior to the commencement date of an executed contract duly registered with the Comptroller of the City of New York.

Modification or Withdrawal of Proposals

Prior to the established due date for proposals, proposals may be modified or withdrawn only by written request to the CFB. Proposals, including pricing; may not be withdrawn or modified after the due date for proposals except by a written request to the CFB prior to contract award but after the expiration of 180 days after the opening of proposals. This shall not limit the discretion of the CFB to request proposers to revise proposed prices through the submission of best and final offers and/or the conduct of negotiations.

Comptroller's Audit

The New York City Comptroller is charged with the audit of contracts in New York City. Any vendor who believes that there has been unfairness, favoritism, or impropriety in the proposal process should contact: New York City Comptroller, Office of Contract Administration, 1 Centre Street, New York, NY 10007 or call (212) 669-3916.

Proposers' Appeal Rights

Pursuant to the Procurement Policy Board Rules, proposers have the right to appeal an agency determination of non-responsiveness or non-responsibility and to protest an agency's determination regarding the solicitation or award of a contract.

Applicable Laws

This RFP and the resulting contract award(s), if any, unless otherwise stated, are subject to all applicable provisions of New York State Law, the New York City Administrative Code, the New York City Charter, and the New York City Procurement Policy Board (PPB) Rules. A copy of the PPB Rules is available at www.nyc.gov/mocs.

Contractual Requirements

Contract award is subject to applicable provisions of federal, New York State, and New York City laws and executive orders requiring affirmative action and equal employment opportunity. The selected contractor will be required to sign the City's standard contract. (See Attachment K for

provisions that are included in all City contracts.) All subcontractors are also subject to the City's contracting requirements. By submitting a proposal, the proposer understands that these standard contract provisions will become part of the final contract. They include, but are not limited to:

1. Poor Performance Provision: Pursuant to Local Law 94 of 1985 (Section 6-116 of the New York City Administrative Code), a contractor whose performance is improper, dilatory, or otherwise not in strict compliance with the contract, may, after notice and hearing, be classified as a poor performer. Such a determination may result in the contractor being declared a non-responsible bidder for up to three years.
2. MacBride Principles: Section 6-115.1 of the New York City Administrative Code provides for certain restrictions on City contracts to express the opposition of the people of the City of New York to employment discrimination practices in Northern Ireland and to encourage companies doing business in Northern Ireland to promote freedom of workplace opportunity.

Termination of Contract

The Executive Director of the CFB or her designee may at any time, with or without cause, terminate a contract by written notice to the selected contractor specifying the termination date, which shall not be less than ten (10) days from the date of such notice. In the event of such termination, the selected contractor shall be paid such amount as shall compensate for the portion of the work satisfactorily performed, and costs reasonably and necessarily incurred prior to the termination date in anticipation of additional work to be performed. Such amount shall be determined by the Executive Director of the CFB or her designee after consultation with the contractor. Termination of the contract by the CFB shall not give rise to any claim against the Executive Director of the CFB, any designee of the Executive Director, the CFB, or the City of New York for damages or compensation other than that provided herein.

Contract Negotiations

The contents of the RFP, its attachments, and the selected proposal will be incorporated into and made part of the final contract. The City reserves the right to terminate negotiations, without any liability, for any reason whatsoever in its sole discretion and to begin negotiations with another proposer. Upon completion of contract negotiations, the contract will be submitted to the New York City Corporation Counsel for approval and to the New York City Comptroller for registration. The contract is not binding unless and until it is approved by the Corporation Counsel, signed by both the contractor and the Executive Director of the CFB, and registered by the New York City Comptroller.

Payment

Prompt Payment Policy

It is the policy of the City of New York to process contract payments efficiently and expeditiously so as to assure payment in a timely manner to firms and organizations that do business with the City. (See City of New York Procurement Policy Board Rule 4-06(a).)

Invoice Received or Acceptance Date

For purposes of determining a payment due date for goods/services and the date on which interest will begin to accrue, and for no other purpose, an invoice received or acceptance date is defined by Rule 4-06(b) of the City of New York Procurement Policy Board Rules as the later of:

- (a) The date a proper invoice is actually received by the designated billing office if the agency annotates the invoice with the date of receipt at the time of receipt; or
- (b) The seventh day after either the date on which the goods are actually delivered or the services are actually performed, unless:
 - i. the agency has actually accepted and approved the goods or the services before the seventh day (in which case the acceptance date shall substitute for the seventh day after the delivery or performance date); or
 - ii. a longer acceptance period is required by law or is specified in the solicitation and included in the contract to afford the agency a practicable opportunity to inspect, test, and accept the goods or evaluate the services (in which case the date of actual acceptance or the date on which such longer acceptance period ends shall substitute for the seventh day after the delivery or performance date).

Proper Invoice

A proper invoice means a written request for a contract payment that is submitted by a contractor in good faith, setting forth the description, price, and quantity of goods or services delivered or rendered, in such form and supported by such documentation as the CFB may require, and any other documents required by contract.

Standards for Prompt Payment

The period available to make a timely payment of an invoice without incurring an interest penalty is generally 30 days except as otherwise provided in the City of New York PPB Rule 4-06.

Payment Time Period

The maximum amount of the contract shall be fixed in the executed contract. Payments will be made on the basis of work completed (deliverables) during the course of the project. Ten percent of total billing may be withheld pending completion of the project in each calendar year. Payment will be tied to deliverables in the following manner:

- The CFB will process payment once each month (for both primary, if applicable, and general election Guides) when the following criteria have been met:
 - (a) deliverables have been received by the CFB and the CFB's Voter Guide Project Director has confirmed receipt of said deliverables, and
 - (b) a proper invoice itemizing costs related only to deliverables confirmed as received by the Voter Guide Project Director has been submitted by the selected contractor, and
 - (c) the deliverables and invoicing meet the specifications set forth herein.

No allowances for other expenses incurred by the contractor will be made other than those the contractor has listed in the [Pricing Schedule](#). No expenses for work that is pending will be processed by the CFB.

Multi-Year Contracts

Multi-year contracts are subject to modification or cancellation if adequate funds are not appropriated to the agency to support continuation of performance in any City fiscal year succeeding the first fiscal year and/or if the contractor's performance is not satisfactory. The agency will notify the contractor as soon as is practicable that the funds are, or are not, available for the continuation of the multi-year contract for each succeeding City fiscal year. In the event of cancellation, the contractor will be reimbursed for those costs, if any, which are so provided for in the contract.

Certification Pursuant to Section 312 of the New York City Charter

The CFB has determined that the contract(s) to be awarded through this RFP will not directly result in the displacement of any New York City employee.

Procurement and Sourcing Solutions Portal (PASSPort) Disclosure Filing (formerly known as Vendor Information Exchange System (VENDEX) Forms or Certificate of No Change)

All organizations intending to do business with the City of New York should complete an online disclosure process to be considered for a contract. This disclosure process was formerly completed using Vendor Information Exchange System (VENDEX) paper-based forms. In anticipation of awards, proposers to *Request for Proposals for Printing, Binding, and Mailing Services for NYC Voter Guides and Other Projects* must create online accounts in the new Procurement and Sourcing Solutions Portal (PASSPort) and file all disclosure information. Paper submissions, including certifications of no changes to existing VENDEX packages will not be accepted in lieu of complete online filings.

For more information about PASSPort, please visit nyc.gov/passport.

Multi-Term Provisions

Pursuant to Rule 3-03(a)(4)(iii) of the PPB Rules, any contract(s) resulting from this RFP will be subject to modification or termination if adequate funds are not appropriated to the CFB to support the continuation of the contract for each fiscal year succeeding the first. The CFB shall notify the respondent as soon as is practicable in the event that the funds are not available for the continuation of the contract for the succeeding fiscal year.

Right to Appeal

As set forth in Rules 2-07 and 2-08 of the PPB Rules, respondents have the right to appeal a determination of non-responsiveness or non-responsibility.

ATTACHMENT A: PROJECT TEAM FORM

Please attach resumes or descriptions of past relevant experience for each Project Team member.

1. Respondent

Name: _____

Company: _____

Address: _____

Email: _____

Telephone: _____ Fax: _____

2. Contact Person

Name: _____

Company: _____

(if different from respondent)

Address: _____

Email: _____

Telephone: _____ Fax: _____

3. Printer Representative

Name: _____

Company: _____

(if different from respondent)

Address: _____

Email: _____

Telephone: _____ Fax: _____

4. Mailing Representative

Name: _____

Company: _____

(if different from respondent)

Address: _____

Email: _____

Telephone: _____ Fax: _____

ATTACHMENT A: PROJECT TEAM (continued)

5. Subcontractor (if applicable)

Name: _____

Company: _____
(if different from respondent)

Address: _____

Email: _____

Telephone: _____ Fax: _____

6. Additional Subcontractor (if applicable)

Name: _____

Company: _____
(if different from respondent)

Address: _____

Email: _____

Telephone: _____ Fax: _____

7. Attorney (if applicable)

Name: _____

Company: _____
(if different from respondent)

Address: _____

Email: _____

Telephone: _____ Fax: _____

ATTACHMENT B: EXPERIENCE REPORTING FORM

Name of Respondent: _____

Project Team Member: _____

Role in Project: _____

Please report related experience on this attachment. A separate form must be completed for each reference.

Business or agency name: _____

Business or agency address: _____

Business or agency telephone: _____

Contract manager: _____

Scope of Services for Project: _____

Contract Value: _____

Contract Dates

Submission by Client: _____

Proof Production Time: _____

Production Time: _____

Distribution/Mailing Time: _____

Total Production Time: _____

Was this a New York City or New York State contract? Yes No

ATTACHMENT C

PROPOSAL SUBMISSION FORM

Printing, Binding, and Mailing Services for NYC Voter Guides, 2019–2021 004201900002
(RFP Title) *(Pin Number)*

PROPOSER IDENTIFYING INFORMATION

Name _____

Employer Identification Number (EIN) # _____
 (If no EIN, provide Social Security Number)*

Social Security Number (SSN) # _____

Address _____

Contact Person _____

Telephone _____

SUB-CONTRACTOR(S) IDENTIFYING INFORMATION (IF APPLICABLE)

| | |
|------------|--|
| Name _____ | EIN # _____ (If no EIN, provide SSN)* |
|------------|--|

| | |
|---------------|-------------|
| Address _____ | SSN # _____ |
|---------------|-------------|

| | |
|------------|--|
| Name _____ | EIN # _____ (If no EIN, provide SSN)* |
|------------|--|

| | |
|---------------|-------------|
| Address _____ | SSN # _____ |
|---------------|-------------|

I have read the attached proposal and am familiar with all information provided herein.

Signature

Date

Print Name

Title

* Under the federal privacy act, the furnishing of Social Security Numbers is voluntary. Failure to provide a Social Security Number will not disqualify a proposer or sub-contractor from being awarded a contract.

ATTACHMENT D: PRICING SCHEDULE

Complete and initial all pages of the Pricing Schedule. Provide your rates below for all three years of the project. **These rates will be binding for the term of the contract**, and all invoicing under this contract must be based on these rates multiplied by the actual number of hours worked, actual amount of materials provided, or other satisfactory quantitative unit.

Please note: Charges must be listed on Pricing Schedule to be considered for payment under the contract resulting from this proposal process. Please make certain that all potential charges are listed, and that all mandatory charges are included in the Total Project Cost (see [Voter Guide Specifications](#) on page iv). Any additional or ancillary services required under this contract not specified in this Pricing Schedule will require a separate quote prior to project commencement.

| <u>RATES</u> | <u>2019</u> | <u>2020</u> | <u>2021</u> |
|--|-------------|-------------|-------------|
| <p>Paper: provide a description, weight, brightness (minimum 85 bright), and CWT pricing for a coated two-side text stock, as described in the RFP, then provide the same information for two additional stocks you recommend (e.g., a different weight and/or brightness and/or finish). Use the first stock for determining total project cost in all three years (please note the price escalation clause, p.18, which protects both the selected contractor and the city from fluctuations in paper costs.) You must provide printed and blank samples of each stock listed below in your proposal package and provide documentation of the cost.</p> | | | |
| Stock (a) _____ weight _____ brightness _____ CWT _____ | \$ _____ | \$ _____ | \$ _____ |
| Stock (b) _____ weight _____ brightness _____ CWT _____ | \$ _____ | \$ _____ | \$ _____ |
| Stock (c) _____ weight _____ brightness _____ CWT _____ | \$ _____ | \$ _____ | \$ _____ |
| Color proofs (one hard copy set for each edition): | \$ _____ | \$ _____ | \$ _____ |
| Text proofs (one hard copy set per edition): | \$ _____ | \$ _____ | \$ _____ |
| Printing (including ink, make-ready time, and any other related costs) for all required editions | \$ _____ | \$ _____ | \$ _____ |
| Saddle-stitching all editions | \$ _____ | \$ _____ | \$ _____ |

ATTACHMENT D: PRICING SCHEDULE (continued)

| <u>RATES</u> | <u>2019</u> | <u>2020</u> | <u>2021</u> |
|---|-------------|-------------|-------------|
| Voter registration data preparation (give price per thousand records and total cost per step based on specifications in the RFP) to determine quantity for each edition and prepare for addressing. | | | |
| National Change of Address: \$ _____/1,000 | \$ _____ | \$ _____ | \$ _____ |
| Merge/Purge (if required): \$ _____/1,000 | \$ _____ | \$ _____ | \$ _____ |
| Sort by City Council district and party to determine which edition(s) to send to each voter: \$ _____/1,000 | \$ _____ | \$ _____ | \$ _____ |
| Surname analysis to determine which Guide recipients also receive Chinese or Chinese/Korean Guides: \$ _____/1,000 | \$ _____ | \$ _____ | \$ _____ |
| Household or "Family" Sort: \$ _____/1,000 | \$ _____ | \$ _____ | \$ _____ |
| Assign postal carrier route: \$ _____/1,000 | \$ _____ | \$ _____ | \$ _____ |
| "walk sequence" sort: \$ _____/1,000 | \$ _____ | \$ _____ | \$ _____ |
| Addressing the Guides (ink-jetting or please describe your process on Attachment D). | \$ _____ | \$ _____ | \$ _____ |
| Mail preparation (for ECR maximum discounts, and including political mail tags): | | | |
| self-mailed single editions | \$ _____ | \$ _____ | \$ _____ |
| polybagging (including printing card stock insert) | \$ _____ | \$ _____ | \$ _____ |
| Freight charges (trucking) to SCF locations. | \$ _____ | \$ _____ | \$ _____ |
| Delivery to 250 bulk delivery sites: | | | |
| packaging | \$ _____ | \$ _____ | \$ _____ |
| shipping/delivery | \$ _____ | \$ _____ | \$ _____ |
| 2021 only: Transit posters: | | | |
| Bus cards (5,000) | | | \$ _____ |
| Subway cards (5,000) | | | \$ _____ |
| Subway platform one-sheets (1,800) | | | \$ _____ |

ATTACHMENT D: PRICING SCHEDULE (continued)

RATES

2019

2020

2021

Based on the information provided in this RFP, the proposers' conference, and review of previous Voter Guides, itemize any additional costs or fees applicable to this project and include them in the total cost:

\$ _____ \$ _____ \$ _____

\$ _____ \$ _____ \$ _____

\$ _____ \$ _____ \$ _____

\$ _____ \$ _____ \$ _____

Yearly Totals: \$ _____ \$ _____ \$ _____

TOTAL PROJECT COST \$ _____

Adjusted Costs: Provide pricing for adjustments to the specifications provided on which you have based your pricing above:

Total cost (savings) to add (remove) a 16-page signature to (from) any edition, e.g., to change from 64 pages to 48 or 80: \$ _____ \$ _____ \$ _____

Total cost (savings) to add (remove) a 32-page signature to (from) any edition, e.g., to change from 64 pages to 32 or 96: \$ _____ \$ _____ \$ _____

Total cost (savings) to increase (decrease) the number of editions, e.g., 52 (50) English/Spanish primary election editions in 2021 instead of 51 at slightly higher (lower) quantities per edition: \$ _____ \$ _____ \$ _____

Other charges and/or savings, e.g., costs or savings associated with alternate approaches you have proposed for this project(please specify):

_____ \$ _____ \$ _____ \$ _____

_____ \$ _____ \$ _____ \$ _____

_____ \$ _____ \$ _____ \$ _____

ATTACHMENT E: QUESTIONNAIRE

Briefly respond to the following questions on this form, and return it in your submitted proposal. If you are subcontracting any part of this project, please note that in the appropriate areas; the subcontractor(s) should fill out a copy of this questionnaire also, responding to questions pertaining to the work they will perform.

1. Provide a general description of your firm, including any areas of specialization (i.e., business, government, legal, etc.).

2. How long has your firm been in the business of providing printing and mailing services?
Include information for any subcontractors.

3. Describe why your firm is qualified to perform the work described in the RFP.

ATTACHMENT F: SAMPLE POLITICAL MAIL TAG

* * * * *

POLITICAL MAIL

**NEWYORK CITY
CAMPAIGN FINANCE BOARD**

POSTMASTER:TIMING IS CRITICAL
deliver in homes no later than
SEPTEMBER 7, 2021

CALL <vendor name>
AT (xxx) xxx-xxxx
if you have any questions
about this mailing

* * * * *

ATTACHMENT G: DOING BUSINESS DATA FORM FOR CONTRACT PROPOSERS

DOING BUSINESS ACCOUNTABILITY PROJECT QUESTIONS AND ANSWERS ABOUT THE DOING BUSINESS DATA FORM

What is the purpose of this *Data Form*?

To collect accurate, up-to-date identification information about organizations that have business dealings with the City of New York in order to comply with Local Law 34 of 2007 (LL 34), the recently passed campaign finance reform law. LL 34 limits municipal campaign contributions from principal officers, owners and senior managers of entities doing business with the City and mandates the creation of a *Doing Business Database* to allow the City to enforce the law. The information requested in this *Data Form* must be provided, regardless of whether the organization or the people associated with it make or intend to make campaign contributions. No sensitive personal information collected will be disclosed to the public.

Why have I received this *Data Form*?

The contract, franchise, concession, grant or economic development agreement you are proposing on, applying for or have already been awarded is considered a business dealing with the City under LL 34. No proposal or application will be considered and no award will be made unless this *Data Form* is completed. Most transactions valued at more than \$5,000 are considered business dealings and require completion of the *Data Form*. Exceptions include transactions awarded on an emergency basis or by publicly advertised, non-pre-qualified, competitive sealed bid. Other types of transactions that are considered business dealings include real property and land use actions with the City.

What individuals will be included in the Doing Business Database?

The principal officers, owners and certain senior managers of organizations listed in the *Doing Business Database* are themselves considered to be doing business with the City and will also be included in the *Database*.

- **Principal Officers** are the Chief Executive Officer (CEO), Chief Financial Officer (CFO) and Chief Operating Officer (COO), or their functional equivalents. See the Data Form for examples of titles that apply.
- **Principal Owners** are individuals who own or control 10% or more of the organization. This includes stockholders, partners and anyone else with an ownership or controlling interest in the entity.
- **Senior Managers** include anyone who, either by job title or actual duties, has substantial discretion and high-level oversight regarding the solicitation, letting or administration of any contract, concession, franchise, grant or economic development agreement with the City. At least one Senior Manager must be listed or the Data Form will be considered incomplete.

I have already completed a *Doing Business Data Form*; do I have to submit another one?

Yes. An organization is required to submit a *Doing Business Data Form* each time it enters into a transaction considered a business dealing with the City, including contract, concession and franchise proposals. However, the *Data Form* has both a Change option, which requires only information that has changed since the last *Data Form* was filed, and a No Change option. No organization should have to fill out the entire *Data Form* more than once.

If you have already submitted a *Data Form* for one transaction type (such as a contract), and this is the first time you are completing a *Data Form* for a different transaction type (such as a grant), please select the Change option and complete Section 4 (Senior Managers) for the new transaction type.

Will the personal information on this *Data Form* be available to the public?

No. The names and titles of the officers, owners and senior managers reported on the *Data Form* will be made available to the public, as will information about the organization itself. However, personal identifying information, such as home address, home phone and date of birth, will not be disclosed to the public, and home address and phone number information will not be used for communication purposes.

I provided some of this information on the VENDEX Questionnaire; do I have to provide it again?

Yes. Although the *Doing Business Data Form* and the VENDEX Questionnaire request some of the same information, they serve entirely different purposes. In addition, the *Data Form* requests information concerning senior managers, which is not part of the VENDEX Questionnaire.

What organizations will be included in the *Doing Business Database*?

Organizations that hold \$100,000 or more in grants, contracts for goods or services, franchises or concessions (\$500,000 for construction contracts), or that hold any economic development agreement or pension fund investment contract, are considered to be doing business with the City for the purposes of LL 34. Because all of the business that an organization does or proposes to do with the City will be added together, the *Data Form* must be completed for all transactions valued at more than \$5,000 even if the organization doesn't currently do enough business with the City to be listed in the *Database*.

No one in my organization plans to contribute to a candidate; do I have to fill out this *Data Form*?

Yes. All organizations are required to return this *Data Form* with complete and accurate information, regardless of the history or intention of the entity or its officers, owners or senior managers to make campaign contributions. The *Doing Business Database* must be complete so that the Campaign Finance Board can verify whether future contributions are in compliance with the law.

My organization is proposing on a contract with another firm as a Joint Venture that does not exist yet; how should the *Data Form* be completed?

A joint venture that does not yet exist must submit a *Data Form* for each of its component firms. If the joint venture receives the award, it must then complete a form in the name of the joint venture.

How long will an organization and its officers, owners and senior managers remain listed on the *Doing Business Database*?

- **Contract, Concession and Economic Development Agreement holders:** generally for the term of the transaction, plus one year.
- **Franchise and Grant holders:** from the commencement or renewal of the transaction, plus one year.
- **Pension investment contracts:** from the time of presentation on an investment opportunity or the submission of a proposal, whichever is earlier, until the end of the contract, plus one year.
- **Line item and discretionary appropriations:** from the date of budget adoption until the end of the contract, plus one year.
- **Contract proposers:** for one year from the proposal date or date of public advertisement of the solicitation, whichever is later.
- **Franchise and Concession proposers:** for one year from the proposal submission date.

For information on other transaction types, contact the Doing Business Accountability Project.

How does a person remove him/herself from the *Doing Business Database*?

When an organization stops doing business with the City, the people associated with it are removed from the *Database* automatically. However, any person who believes that s/he should not be listed may apply for removal. Reasons that a person would be removed include his/her no longer being the principal officer, owner or senior manager of the organization. Organizations may also update their database information by submitting an update form. Removal Request and Update forms are available online at www.nyc.gov/mocs (once there, click MOCS Programs) or by calling 212-788-8104.

What are the new campaign contribution limits for people doing business with the City?

Contributions to City Council candidates are limited to \$250 per election cycle; \$320 to Borough President candidates; and \$400 to candidates for citywide office. Please contact the NYC Campaign Finance Board for more information at www.nycfb.info, or 212-306-7100.

The Data Form is to be returned to the City office that issued it.

If you have any questions about the Data Form please contact the Doing Business Accountability Project at 212-788-8104 or DoingBusiness@cityhall.nyc.gov.

To be completed by the City agency prior to distribution Agency _____ Transaction ID _____

Check One

Transaction Type (check one)

- Proposal Award Concession Economic Development Agreement Franchise Grant Pension Investment Contract Contract

Any entity receiving, applying for or proposing on an award or agreement must complete a Doing Business Data Form (see Q&A sheet for more information). Please either type responses directly into this fillable form or print answers by hand in black ink, and be sure to fill out the certification box on the last page. **Submission of a complete and accurate form is required for a proposal to be considered responsive or for any entity to receive an award or enter into an agreement.**

This Data Form requires information to be provided on principal officers, owners and senior managers. The name, employer and title of each person identified on the Data Form will be included in a public database of people who do business with the City of New York, as will the organizations that own 10% or more of the entity. No other information reported on this form will be disclosed to the public. **This Data Form is not related to the City's PASSPort registration or VENDEX requirements.**

Please return the completed Data Form to the City office that supplied it. Please contact the Doing Business Accountability Project at DoingBusiness@mocs.nyc.gov or 212-788-8104 with any questions regarding this Data Form. Thank you for your cooperation.

Entity Information

If you are completing this form by hand, please print clearly.

Entity EIN/TIN _____ Entity Name _____

Filing Status

(Select One)

NEW: Data Forms submitted now must include the listing of **organizations**, as well as individuals, with 10% or more ownership of the entity. Until such certification of ownership is submitted through a change, new or update form, a no change form will not be accepted.

- Entity has never completed a Doing Business Data Form. Fill out the entire form.
 Change from previous Data Form dated _____. Fill out only those sections that have changed, and indicate the name of the persons who no longer hold positions with the entity.
 No Change from previous Data Form dated _____. Skip to the bottom of the last page.

Entity is a Non-Profit Yes No

Entity Type Corporation (any type) Joint Venture LLC Partnership (any type) Sole Proprietor Other (specify) _____

Address _____

City _____ State _____ Zip _____

Phone _____ E-mail _____

Provide your e-mail address in order to receive notices regarding this form by e-mail.

Principal Officers

Please fill in the required identification information for each officer listed below. If the entity has no such officer or its equivalent, please check "This position does not exist." If the entity is filing a Change Form and the person listed is replacing someone who was previously disclosed, please check "This person replaced..." and fill in the name of the person being replaced so his/her name can be removed from the *Doing Business Database*, and indicate the date that the change became effective.

Chief Executive Officer (CEO) or equivalent officer

This position does not exist

The highest ranking officer or manager, such as the President, Executive Director, Sole Proprietor or Chairperson of the Board.

First Name _____ MI _____ Last _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

This person replaced former CEO _____ on date _____

Chief Financial Officer (CFO) or equivalent officer

This position does not exist

The highest ranking financial officer, such as the Treasurer, Comptroller, Financial Director or VP for Finance.

First Name _____ MI _____ Last _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

This person replaced former CFO _____ on date _____

Chief Operating Officer (COO) or equivalent officer

This position does not exist

The highest ranking operational officer, such as the Chief Planning Officer, Director of Operations or VP for Operations.

First Name _____ MI _____ Last _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

This person replaced former COO _____ on date _____

Principal Owners

Please fill in the required identification information for all individuals or organizations that, through stock shares, partnership agreements or other means, **own or control 10% or more of the entity**. If no individual or organization owners exist, please check the appropriate box to indicate why and skip to the **Senior Managers** section. If the entity is owned by other companies that control 10% or more of the entity, those companies must be listed. If an owner was identified on the previous page, fill in his/her name and write "See above." If the entity is filing a Change Form, list any individuals or organizations that are no longer owners at the bottom of this section. If more space is needed, attach additional pages labeled "Additional Owners."

There are no owners listed because (select one):

- The entity is not-for-profit
- The entity is an individual
- No individual or organization owns 10% or more of the entity

Other (explain) _____

Individual Owners (who own or control 10% or more of the entity)

First Name _____ MI ____ Last _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

First Name _____ MI ____ Last _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

Organization Owners (that own or control 10% or more of the entity)

Organization Name _____

Organization Name _____

Organization Name _____

Remove the following previously-reported Principal Owners

Name _____ Removal Date _____

Name _____ Removal Date _____

Name _____ Removal Date _____

Senior Managers

Please fill in the required identification information for all senior managers who oversee any of the entity's relevant transactions with the City (e.g., contract managers if this form is for a contract award/proposal, grant managers if for a grant, etc.). Senior managers include anyone who, either by title or duties, has substantial discretion and high-level oversight regarding the solicitation, letting or administration of any transaction with the City. At least one senior manager must be listed, or the Data Form will be considered incomplete. If a senior manager has been identified on a previous page, fill in his/her name and write "See above." If the entity is filing a Change Form, list individuals who are no longer senior managers at the bottom of this section. If more space is needed, attach additional pages labeled "Additional Senior Managers."

Senior Managers

First Name _____ MI ____ Last _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

First Name _____ MI ____ Last _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

First Name _____ MI ____ Last _____ Birth Date (mm/dd/yy) _____

Office Title _____ Employer (if not employed by entity) _____

Home Address _____

Remove the following previously-reported Senior Managers

Name _____ removal date _____

Name _____ removal date _____

Certification

I certify that the information submitted on these two pages and _____ additional pages is accurate and complete. I understand that willful or fraudulent submission of a materially false statement may result in the entity being found non-responsible and therefore denied future City awards.

Name _____ Title _____

Entity Name _____ Work Phone # _____

Signature _____ Date _____

ATTACHMENT : : IRAN DIVESTMENT ACT COMPLIANCE RIDER FOR NEW YORK CITY CONTRACTORS

The Iran Divestment Act of 2012, effective as of April 12, 2012, is codified at State Finance Law (“SFL”) §165-a and General Municipal Law (“GML”) §103-g. The Iran Divestment Act, with certain exceptions, prohibits municipalities, including the City, from entering into contracts with persons engaged in investment activities in the energy sector of Iran. Pursuant to the terms set forth in SFL §165-a and GML §103-g, a person engages in investment activities in the energy sector of Iran if:

- (a) the person provides goods or services of twenty million dollars or more in the energy sector of Iran, including a person that provides oil or liquefied natural gas tankers, or products used to construct or maintain pipelines used to transport oil or liquefied natural gas, for the energy sector of Iran; or
- (b) The person is a financial institution that extends twenty million dollars or more in credit to another person, for forty-five days or more, if that person will use the credit to provide goods or services in the energy sector in Iran and is identified on a list created pursuant to paragraph (b) of subdivision three of Section 165-a of the State Finance Law and maintained by the Commissioner of the Office of General Services.

A bid or proposal shall not be considered for award nor shall any award be made where the bidder or proposer fails to submit a signed and verified bidder’s certification.

Each bidder or proposer must certify that it is not on the list of entities engaged in investment activities in Iran created pursuant to paragraph (b) of subdivision 3 of Section 165-a of the State Finance Law. In any case where the bidder or proposer cannot certify that they are not on such list, the bidder or proposer shall so state and shall furnish with the bid or proposal a signed statement which sets forth in detail the reasons why such statement cannot be made. The City of New York may award a bid to a bidder who cannot make the certification on a case by case basis if:

- (1) The investment activities in Iran were made before the effective date of this section (i.e., April 12, 2012), the investment activities in Iran have not been expanded or renewed after the effective date of this section and the person has adopted, publicized and is implementing a formal plan to cease the investment activities in Iran and to refrain from engaging in any new investments in Iran: or
- (2) The City makes a determination that the goods or services are necessary for the City to perform its functions and that, absent such an exemption, the City would be unable to obtain the goods or services for which the contract is offered. Such determination shall be made in writing and shall be a public document.

BIDDER’S CERTIFICATION OF COMPLIANCE WITH IRAN DIVESTMENT ACT

Pursuant to General Municipal Law §103-g, which generally prohibits the City from entering into contracts with persons engaged in investment activities in the energy sector of Iran, the bidder/proposer submits the following certification:

[Please Check One]

- By submission of this bid or proposal, each bidder/proposer and each person signing on behalf of any bidder/proposer certifies, and in the case of a joint bid each party thereto certifies as to its own organization, under penalty of perjury, that to the best of its knowledge and belief, that each bidder/proposer is not on the list created pursuant to paragraph (b) of subdivision 3 of Section 165-a of the State Finance Law.
- I am unable to certify that my name and the name of the bidder/proposer does not appear on the list created pursuant to paragraph (b) of subdivision 3 of Section 165-a of the State Finance Law. I have attached a signed statement setting forth in detail why I cannot so certify.

Dated: _____, New York
_____, 20 ____

SIGNATURE

PRINTED NAME

TITLE

Sworn to before me this
_____ day of _____, 20 ____

NOTARY PUBLIC

Dated:

ATTACHMENT I: NOTICE TO BIDDERS, PROPOSERS, CONTRACTORS, AND RENEWAL CONTRACTORS

This contract includes a provision concerning the protection of employees for whistleblowing activity, pursuant to New York City Local Law Nos. 30-2012 and 33-2012, effective October 18, 2012 and September 18, 2012, respectively. The provisions apply to contracts with a value in excess of \$100,000.

Local Law No. 33-2012, the Whistleblower Protection Expansion Act (“WPEA”), prohibits a contractor or its subcontractor from taking an adverse personnel action against an employee or officer for whistleblower activity in connection with a City contract; requires that certain City contracts include a provision to that effect; and provides that a contractor or subcontractor may be subject to penalties and injunctive relief if a court finds that it retaliated in violation of the WPEA. The WPEA is codified at Section 12-113 of the New York City Administrative Code.

Local Law No. 30-2012 requires a contractor to prominently post information explaining how its employees can report allegations of fraud, false claims, criminality, or corruption in connection with a City contract to City officials and the rights and remedies afforded to employees for whistleblowing activity. Local Law No. 30-2012 is codified at Section 6-132 of the New York City Administrative Code.

WHISTLEBLOWER PROTECTION EXPANSION ACT RIDER

1. In accordance with Local Law Nos. 30-2012 and 33-2012, codified at sections 6-132 and 12-113 of the New York City Administrative Code, respectively,
 - (a) Contractor shall not take an adverse personnel action with respect to an officer or employee in retaliation for such officer or employee making a report of information concerning conduct which such officer or employee knows or reasonably believes to involve corruption, criminal activity, conflict of interest, gross mismanagement or abuse of authority by any officer or employee relating to this Contract to (i) the Commissioner of the Department of Investigation, (ii) a member of the New York City Council, the Public Advocate, or the Comptroller, or (iii) the City Chief Procurement Officer, ACCO, Agency head, or Commissioner.
 - (b) If any of Contractor’s officers or employees believes that he or she has been the subject of an adverse personnel action in violation of subparagraph (a) of paragraph 1 of this rider, he or she shall be entitled to bring a cause of action against Contractor to recover all relief necessary to make him or her whole. Such relief may include but is not limited to: (i) an injunction to restrain continued retaliation, (ii) reinstatement to the position such employee would have had but for the retaliation or to an equivalent position, (iii) reinstatement of full fringe benefits and seniority rights, (iv) payment of two times back pay, plus interest, and (v) compensation for any special damages sustained as a result of the retaliation, including litigation costs and reasonable attorney’s fees.
 - (c) Contractor shall post a notice provided by the City in a prominent and accessible place on any site where work pursuant to the Contract is performed that contains information about:
 - (i) how its employees can report to the New York City Department of Investigation allegations of fraud, false claims, criminality or corruption arising out of or in connection with the Contract; and

-
- (ii) the rights and remedies afforded to its employees under New York City Administrative Code sections 7-805 (the New York City False Claims Act) and 12-113 (the Whistleblower Protection Expansion Act) for lawful acts taken in connection with the reporting of allegations of fraud, false claims, criminality or corruption in connection with the Contract.
 - (d) For the purposes of this rider, “adverse personnel action” includes dismissal, demotion, suspension, disciplinary action, negative performance evaluation, any action resulting in loss of staff, office space, equipment or other benefit, failure to appoint, failure to promote, or any transfer or assignment or failure to transfer or assign against the wishes of the affected officer or employee.
 - (e) This rider is applicable to all of Contractor’s subcontractors having subcontracts with a value in excess of \$100,000; accordingly, Contractor shall include this rider in all subcontracts with a value a value in excess of \$100,000.
2. Paragraph 1 is not applicable to this Contract if it is valued at \$100,000 or less. Subparagraphs (a), (b), (d), and (e) of paragraph 1 are not applicable to this Contract if it was solicited pursuant to a finding of an emergency. Subparagraph (c) of paragraph 1 is neither applicable to this Contract if it was solicited prior to October 18, 2012 nor if it is a renewal of a contract executed prior to October 18, 2012.

AFFIRMATION

The undersigned proposer or bidder affirms and declares that said proposer or bidder is not in arrears to the City of New York upon debt, contract or taxes and is not a defaulter, as surety or otherwise, upon obligation to the City of New York, and has not been declared not responsible, or disqualified, by any agency of the City of New York, nor is there any proceeding pending relating to the responsibility or qualification of the proposer or bidder to receive public contract except _____.

Full name of Proposer or Bidder *[below]*

Address _____

City _____ State _____ Zip Code _____

CHECK ONE BOX AND INCLUDE APPROPRIATE NUMBER:

A – Individual or Sole Proprietorships

SOCIAL SECURITY NUMBER _____

B – Partnership, Joint Venture or other unincorporated organization

EMPLOYER IDENTIFICATION NUMBER _____

C – Corporation

EMPLOYER IDENTIFICATION NUMBER _____

By _____

Signature

If corporation, place seal here:

Title

Must be signed by an officer or duly authorized representative.

* Under the Federal Privacy Act, the furnishing of Social Security numbers by bidders or proposers on City contracts is voluntary. Failure to provide a Social Security number will not result in a bidder's/proposer's disqualification. Social Security numbers will be used to identify bidders, proposers or vendors to ensure their compliance with laws, to assist the City in enforcement of laws, as well as to provide the City a means of identifying businesses seeking City contracts.

ATTACHMENT K: GENERAL PROVISIONS GOVERNING CITY CONTRACTS

NOTICE TO VENDORS

Please be advised that in July 2010 the City of New York began using a revised Appendix A (General Provisions Governing Contracts For Consultants, Professional, Technical, Human And Client Services) for use by City agencies. The revised Appendix A contains a significant restructuring and changes to the text of many provisions throughout the document as well as the addition of many new provisions. It is important to review the revised Appendix A before executing your contract.

APPENDIX A

GENERAL PROVISIONS GOVERNING CONTRACTS FOR CONSULTANTS, PROFESSIONAL, TECHNICAL, HUMAN AND CLIENT SERVICES

ARTICLE 1. DEFINITIONS

Section 1.01 Definitions

The following words and expressions, or pronouns used in their stead, shall, wherever they appear in this Agreement, be construed as follows, unless a different meaning is clear from the context:

- A. “Agency Chief Contracting Officer” or “ACCO” shall mean the position delegated authority by the Agency Head to organize and supervise the procurement activity of subordinate Agency staff in conjunction with the City Chief Procurement Officer.
- B. “Agreement” shall mean the various documents, including this Appendix A, that constitute the contract between the Contractor and the City.
- C. “City” shall mean The City of New York.
- D. “City Chief Procurement Officer” or “CCPO” shall mean the position delegated authority by the Mayor to coordinate and oversee the procurement activity of Mayoral agency staff, including the ACCOs.
- E. “Commissioner” or “Agency Head” shall mean the head of the Department or his or her duly authorized representative. The term “duly authorized representative” shall include any person or persons acting within the limits of his or her authority.
- F. “Comptroller” shall mean the Comptroller of the City of New York.
- G. “Contractor” shall mean the entity entering into this Agreement with the Department.
- H. “Days” shall mean calendar days unless otherwise specifically noted to mean business days.
- I. “Department” or “Agency” shall mean the City agency that has entered into this Agreement.
- J. “Law” or “Laws” shall mean the New York City Charter (“Charter”), the New York City Administrative Code (“Admin. Code”), a local rule of the City of New York, the Constitutions of the United States and the State of New York, a statute of the United States or of the State of New York and any ordinance, rule or regulation having the force of law and adopted pursuant thereto, as amended, and common law.
- K. “Procurement Policy Board” or “PPB” shall mean the board established pursuant to Charter § 311 whose function is to establish comprehensive and consistent procurement policies and rules which have broad application throughout the City.

-
- L. “PPB Rules” shall mean the rules of the Procurement Policy Board as set forth in Title 9 of the Rules of the City of New York (“RCNY”), § 1-01 et seq.
 - M. “State” shall mean the State of New York.

ARTICLE 2. REPRESENTATIONS AND WARRANTIES

Section 2.01 Procurement of Agreement

- A. The Contractor represents and warrants that no person or entity (other than an officer, partner, or employee working solely for the Contractor) has been employed or retained to solicit or secure this Agreement upon any agreement or understanding for a commission, percentage, brokerage fee, contingent fee or any other direct or indirect compensation. Notwithstanding the preceding sentence, the Contractor may retain consultants to draft proposals, negotiate contracts, and perform other similar services. The Contractor further represents and warrants that no payment, gift, or thing of value has been made, given, or promised to obtain this or any other agreement between the parties. The Contractor makes such representations and warranties to induce the City to enter into this Agreement and the City relies upon such representations and warranties in the execution of this Agreement.
- B. For any breach or violation of the representations and warranties set forth in Paragraph A above, the Commissioner shall have the right to annul this Agreement without liability, entitling the City to recover all monies paid to the Contractor; and the Contractor shall not make claim for, or be entitled to recover, any sum or sums due under this Agreement. The rights and remedies of the City provided in this Section are not exclusive and are in addition to all other rights and remedies allowed by Law or under this Agreement.

Section 2.02 Conflicts of Interest

- A. The Contractor represents and warrants that neither it nor any of its directors, officers, members, partners or employees, has any interest nor shall they acquire any interest, directly or indirectly, which conflicts in any manner or degree with the performance of this Agreement. The Contractor further represents and warrants that no person having such interest or possible interest shall be employed by or connected with the Contractor in the performance of this Agreement.
- B. Consistent with Charter § 2604 and other related provisions of the Charter, the Admin. Code and the New York State Penal Law, no elected official or other officer or employee of the City, nor any person whose salary is payable, in whole or in part, from the City Treasury, shall participate in any decision relating to this Agreement which affects his or her personal interest or the interest of any corporation, partnership or other entity in which he or she is, directly or indirectly, interested; nor shall any such official, officer, employee, or person have any interest in, or in the proceeds of, this Agreement. This Paragraph B shall not prevent directors, officers, members, partners, or employees of the Contractor from participating in decisions relating to this Agreement where their sole personal interest is in the Contractor.
- C. The Contractor shall not employ a person or permit a person to serve as a member of the Board of Directors or as an officer of the Contractor if such employment or service would violate Chapter 68 of the Charter.

[PARAGRAPHS D-H ARE APPLICABLE ONLY TO HUMAN OR CLIENT SERVICE ONTRACTS.]

- D. Except as provided in Paragraph E below, the Contractor's employees and members of their immediate families, as defined in Paragraph F below, may not serve on the Board of Directors of the Contractor ("Board"), or any committee with authority to order personnel actions affecting his or her job, or which, either by rule or by practice, regularly nominates, recommends or screens candidates for employment in the program to be operated pursuant to this Agreement.
- E. If the Board has more than five (5) members, then Contractor's employees may serve on the Board, or any committee with authority to order personnel actions affecting his or her job, or which, either by rule or by practice, regularly nominates, recommends or screens candidates for employment in the program to be operated pursuant to this Agreement, provided that (i) Contractor's employees are prohibited from voting on any such personnel matters, including but not limited to any matters directly affecting their own salary or other compensation, and shall fully disclose all conflicts and potential conflicts to the Board, and (ii) Contractor's employees may not serve in the capacity either of Chairperson or Treasurer of the Board (or equivalent titles), nor constitute more than one-third of either the Board or any such committee.
- F. Without the prior written consent of the Commissioner, no person may hold a job or position with the Contractor over which a member of his or her immediate family exercises any supervisory, managerial or other authority whatsoever whether such authority is reflected in a job title or otherwise, unless such job or position is wholly voluntary and unpaid. A member of an immediate family includes: husband, wife, domestic partner, father, father-in-law, mother, mother-in-law, brother, brother-in-law, sister, sister-in-law, son, son-in-law, daughter, daughter-in-law, niece, nephew, aunt, uncle, first cousin, and separated spouse. Where a member of an immediate family has that status because of that person's relationship to a spouse (e.g., father-in-law), that status shall also apply to a relative of a domestic partner. For purposes of this Section, a member of the Board is deemed to exercise authority over all employees of the Contractor.
- G. If the Contractor has contracts with the City that in the aggregate during any twelve-month period have a value of more than One Million Dollars (\$1,000,000) and such amount constitutes more than fifty percent (50%) of the Contractor's total revenues, then the Contractor must have a minimum of five (5) persons on its Board.
- H. Paragraphs D-H of this Section 2.02 apply only if Contractor is a not-for-profit corporation.

Section 2.03 Fair Practices

- A. The Contractor and each person signing on its behalf certifies, under penalties of perjury, that to the best of its, his or her knowledge and belief:
1. The prices and other material terms set forth in this Agreement have been arrived at independently, without collusion, consultation, communication, or agreement with any other bidder or proposer or with any competitor as to any matter relating to such prices or terms for the purpose of restricting competition;
 2. Unless otherwise required by Law or where a schedule of rates or prices is uniformly established by a government agency through regulation, policy or directive, the prices and other material terms set forth in this Agreement which have been quoted in this Agreement and on the bid or proposal submitted by the Contractor have not been knowingly disclosed by the Contractor, directly or indirectly, to any other bidder or proposer or to any competitor prior to the bid or proposal opening; and

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3. No attempt has been made or will be made by the Contractor to induce any other person or entity to submit or not to submit a bid or proposal for the purpose of restricting competition.
- B. The fact that the Contractor (i) has published price lists, rates, or tariffs covering items being procured, (ii) has informed prospective customers of proposed or pending publication of new or revised price lists for such items, or (iii) has sold the same items to other customers at the same prices and/or terms being bid or proposed, does not constitute, without more, a disclosure within the meaning of this Section.

Section 2.04 VENDEX

The Contractor represents and warrants that it and its principals have duly executed and filed all required VENDEX Questionnaires and, if applicable, Certificates of No Change, pursuant to PPB Rule § 2-08 and in accordance with the policies and procedures of the Mayor's Office of Contract Services. The Contractor understands that the Department's reliance upon the completeness and veracity of the information stated therein is a material condition to the execution of this Agreement, and represents and warrants that the information it and its principals have provided is accurate and complete.

Section 2.05 Political Activity

The Contractor's provision of services under this Agreement shall not include any partisan political activity or any activity to further the election or defeat of any candidate for Appendix A July 2010 Final Page 5 of 46 public, political, or party office, nor shall any of the funds provided under this Agreement be used for such purposes. Section 2.06 Religious Activity There shall be no religious worship, instruction or proselytizing as part of or in connection with the Contractor's provision of services under this Agreement, nor shall any of the funds provided under this Agreement be used for such purposes.

Section 2.07 Unlawful Discriminatory Practices: Admin. Code § 6-123

As required by Admin. Code § 6-123, the Contractor will not engage in any unlawful discriminatory practice as defined in and pursuant to the terms of Title 8 of the City Administrative Code. The Contractor shall include a provision in any agreement with a firstlevel subcontractor performing services under this Agreement for an amount in excess of Fifty Thousand Dollars (\$50,000) that such subcontractor shall not engage in any such unlawful discriminatory practice.

Section 2.08 Bankruptcy and Reorganization

In the event that the Contractor files for bankruptcy or reorganization under Chapter Seven or Chapter Eleven of the United States Bankruptcy Code, the Contractor shall disclose such action to the Department within seven (7) days of filing.

ARTICLE 3. ASSIGNMENT AND SUBCONTRACTING

Section 3.01 Assignment

- A. The Contractor shall not assign, transfer, convey or otherwise dispose of this Agreement, or the right to execute it, or the right, title or interest in or to it or any part of it, or assign, by power of attorney or otherwise, any of the monies due or to become due under this Agreement, without the prior written consent of the Commissioner. The giving of any such consent to a particular assignment shall not dispense with the necessity of such consent to any further or other assignments. Any such assignment, transfer, conveyance or other disposition without such written consent shall be void.
- B. Before entering into any such assignment, transfer, conveyance or other disposal of this Agreement, the Contractor shall submit a written request for approval to the Department giving the name and address

of the proposed assignee. The proposed assignee's VENDEX questionnaire must be submitted within thirty (30) Days after the ACCO has granted preliminary written approval of the proposed assignee, if required. Upon the request of the Department, the Contractor shall provide any other information demonstrating that the proposed assignee has the necessary facilities, skill, integrity, past experience and financial resources to perform the specified services in accordance with the terms and conditions of this Agreement. The Agency shall make a final determination in writing approving or disapproving the assignee after receiving all requested information.

- C. Failure to obtain the prior written consent to such an assignment, transfer, conveyance, or other disposition may result in the revocation and annulment of this Agreement, at the option of the Commissioner. The City shall thereupon be relieved and discharged from any further liability and obligation to the Contractor, its assignees, or transferees, who shall forfeit all monies earned under this Agreement, except so much as may be necessary to pay the Contractor's employees.
- D. The provisions of this Section shall not hinder, prevent, or affect an assignment by the Contractor for the benefit of its creditors made pursuant to the Laws of the State.
- E. This Agreement may be assigned, in whole or in part, by the City to any corporation, agency, or instrumentality having authority to accept such assignment. The City shall provide the Contractor with written notice of any such assignment.

Section 3.02 Subcontracting

- A. The Contractor shall not enter into any subcontract for the performance of its obligations, in whole or in part, under this Agreement without the prior approval by the Department of the subcontractor. All subcontracts must be in writing.
- B. Prior to entering into any subcontract for an amount greater than Five Thousand Dollars (\$5,000), the Contractor shall submit a written request for the approval of the proposed subcontractor to the Department giving the name and address of the proposed subcontractor and the portion of the services that it is to perform and furnish. At the request of the Department, a copy of the proposed subcontract shall be submitted to the Department. The proposed subcontractor's VENDEX Questionnaire must be submitted, if required, within thirty (30) Days after the ACCO has granted preliminary approval of the proposed subcontractor. Upon the request of the Department, the Contractor shall provide any other information demonstrating that the proposed subcontractor has the necessary facilities, skill, integrity, past experience and financial resources to perform the specified services in accordance with the terms and conditions of this Agreement. The Agency shall make a final determination in writing approving or disapproving the subcontractor after receiving all requested information. For proposed subcontracts that do not exceed Twenty-five Thousand Dollars (\$25,000), the Department's approval shall be deemed granted if the Department does not issue a written approval or disapproval within forty-five (45) Days of the Department's receipt of the written request for approval or, if applicable, within forty-five (45) Days of the Department's acknowledged receipt of fully completed VENDEX Questionnaires for the subcontractor.
- C. All subcontracts shall contain provisions specifying that:
 - 1. The work performed by the subcontractor must be in accordance with the terms of the agreement between the City and the Contractor;
 - 2. Nothing contained in the agreement between the Contractor and the subcontractor shall impair the rights of the City;

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3. Nothing contained in the agreement between the Contractor and the subcontractor, or under the agreement between the City and the Contractor, shall create any contractual relation between the subcontractor and the City; and
 4. The subcontractor specifically agrees to be bound by Section 4.07 and Article 5 of this Appendix A and specifically agrees that the City may enforce such provisions directly against the subcontractor as if the City were a party to the subcontract.
- D. The Contractor agrees that it is as fully responsible to the Department for the acts and omissions of its subcontractors and of persons either directly or indirectly employed by such subcontractors as it is for the acts and omissions of any person directly employed by it.
 - E. For determining the value of a subcontract, all subcontracts with the same subcontractor shall be aggregated.
 - F. The Department may revoke the approval of a subcontractor granted or deemed granted pursuant to Paragraphs (A) and (B) of this section if revocation is deemed to be in the interest of the City in writing on no less than ten (10) Days notice unless a shorter period is warranted by considerations of health, safety, integrity issues or other similar factors. Upon the effective date of such revocation, the Contractor shall cause the subcontractor to cease all work under the Agreement. The City shall not incur any further obligation for services performed by such subcontractor pursuant to this Agreement beyond the effective date of the revocation. The City shall pay for services provided by the subcontractor in accordance with this Agreement prior to the effective date of revocation.
 - G. The Department's approval of a subcontractor shall not relieve the Contractor of any of its responsibilities, duties and liabilities under this Agreement. At the request of the Department, the Contractor shall provide the Department a copy of any subcontract.
 - H. Individual employer-employee contracts are not subcontracts subject to the requirements of this Section.

ARTICLE 4 - LABOR PROVISIONS

Section 4.01 Independent Contractor Status

The Contractor and the Department agree that the Contractor is an independent contractor and not an employee of the Department or the City. Accordingly, neither the Contractor nor its employees or agents will hold themselves out as, or claim to be, officers or employees of the City, or of any department, agency or unit of the City, by reason of this Agreement, and they will not, by reason of this Agreement, make any claim, demand or application to or for any right or benefit applicable to an officer or employee of the City, including, but not limited to, Workers' Compensation coverage, Disability Benefits coverage, Unemployment Insurance benefits, Social Security coverage or employee retirement membership or credit.

Section 4.02 Employees

All persons who are employed by the Contractor and all consultants or independent contractors who are retained by the Contractor to perform services under this Agreement are neither employees of the City nor under contract with the City. The Contractor, and not the City, is responsible for their work, direction, compensation, and personal conduct while engaged under this Agreement. Nothing in the Agreement shall impose any liability or duty on the City for the acts, omissions, liabilities or obligations of the Contractor, or any officer, employee, or agent of the Contractor, or for taxes of any nature, or for any right or benefit applicable to an officer or employee of the City, including, but not limited to, Workers' Compensation coverage, Disability Benefits coverage, Unemployment Insurance benefits, Social Security coverage or employee

retirement membership or credit. Except as specifically stated in this Agreement, nothing in this Agreement shall impose any liability or duty on the City to any person or entity.

Section 4.03 Removal of Individuals Performing Work

The Contractor shall not have anyone perform work under this Agreement who is not competent, faithful and skilled in the work for which he or she shall be employed. Whenever the Commissioner shall inform the Contractor, in writing, that any individual is, in his or her opinion, incompetent, unfaithful, or unskilled, such individual shall no longer perform work under this Agreement. Prior to making a determination to direct a Contractor that an individual shall no longer perform work under this Agreement, the Commissioner shall provide the Contractor an opportunity to be heard on no less than five (5) Days' written notice. The Commissioner may direct the Contractor not to allow the individual from performing work under the Agreement pending the opportunity to be heard and the Commissioner's determination.

Section 4.04 Minimum Wage

Except for those employees whose minimum wage is required to be fixed pursuant to Sections 220 or 230 of the New York State Labor Law or by City Administrative Code § 6-109, all persons employed by the Contractor in the performance of this Agreement shall be paid, without subsequent deduction or rebate, unless expressly authorized by Law, not less than the minimum wage as prescribed by Law. Any breach of this Section shall be deemed a material breach of this Agreement.

Section 4.05 Non-Discrimination: New York State Labor Law § 220-e

- A. If this Agreement is 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, the Contractor agrees, as required by New York State Labor Law § 220-e, that:
1. In the hiring of employees for the performance of work under this Agreement or any subcontract hereunder, neither the Contractor, subcontractor, nor any person acting on behalf of such Contractor or subcontractor, shall by reason of race, creed, color, disability, sex or national origin discriminate against any citizen of the State of New York who is qualified and available to perform the work to which the employment relates;
 2. Neither the Contractor, subcontractor, nor any person on his or her behalf shall, in any manner, discriminate against or intimidate any employee hired for the performance of work under this Agreement on account of race, creed, color, disability, sex or national origin;
 3. There may be deducted from the amount payable to the Contractor by the City under this Agreement a penalty of Fifty Dollars (\$50) for each person for each calendar day during which such person was discriminated against or intimidated in violation of the provisions of this Agreement; and
 4. This Agreement may be terminated by the City, and all monies due or to become due hereunder may be forfeited, for a second or any subsequent violation of the terms or conditions of this Section.
- B. The provisions of this Section shall be limited to operations performed within the territorial limits of the State of New York.

Section 4.06 Non-Discrimination: Admin. Code § 6-108

If this Agreement is for the construction, alteration or repair of buildings or the construction or repair of streets or highways, or for the manufacture, sale, or distribution of materials, equipment or supplies, the Contractor agrees, as required by New York City Administrative Code § 6-108, that:

- A. It shall be unlawful for any person engaged in the construction, alteration or repair of buildings or engaged in the construction or repair of streets or highways pursuant to a contract with the City or engaged in the manufacture, sale or distribution of materials, equipment or supplies pursuant to a contract with the City to refuse to employ or to refuse to continue in any employment any person on account of the race, color or creed of such person.
- B. It shall be unlawful for any person or any servant, agent or employee of any person, described in Paragraph A above, to ask, indicate or transmit, orally or in writing, directly or indirectly, the race, color, creed or religious affiliation of any person employed or seeking employment from such person, firm or corporation.
- C. Breach of the foregoing provisions shall be deemed a breach of a material provision of this Agreement.
- D. Any person, or the employee, manager or owner of or officer of such firm or corporation who shall violate any of the provisions of this Section shall, upon conviction thereof, be punished by a fine of not more than One Hundred Dollars (\$100) or by imprisonment for not more than thirty (30) Days, or both.

Section 4.07 Non-Discrimination: E.O. 50 — Equal Employment Opportunity

- A. This Agreement is subject to the requirements of City Executive Order No. 50 (1980) (“E.O. 50”), as revised, and the rules set forth at 66 RCNY § 10-01 et seq. No agreement will be awarded unless and until these requirements have been complied with in their entirety. The Contractor agrees that it:
 - 1. Will not discriminate unlawfully against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability, marital status, sexual orientation or citizenship status with respect to all employment decisions including, but not limited to, recruitment, hiring, upgrading, demotion, downgrading, transfer, training, rates of pay or other forms of compensation, layoff, termination, and all other terms and conditions of employment;
 - 2. Will not discriminate unlawfully in the selection of subcontractors on the basis of the owners’, partners’ or shareholders’ race, color, creed, national origin, sex, age, disability, marital status, sexual orientation, or citizenship status;
 - 3. Will state in all solicitations or advertisements for employees placed by or on behalf of the Contractor that all qualified applicants will receive consideration for employment without unlawful discrimination based on race, color, creed, national origin, sex, age, disability, marital status, sexual orientation or citizenship status, and that it is an equal employment opportunity employer;
 - 4. Will send to each labor organization or representative of workers with which it has a collective bargaining agreement or other contract or memorandum of understanding, written notification of its equal employment opportunity commitments under E.O. 50 and the rules and regulations promulgated thereunder;
 - 5. Will furnish before this Agreement is awarded all information and reports including an Employment Report which are required by E.O. 50, the rules and regulations promulgated thereunder, and orders of the City Department of Small Business Services, Division of Labor Services (“DLS”); and
 - 6. Will permit DLS to have access to all relevant books, records, and accounts for the purposes of investigation to ascertain compliance with such rules, regulations, and orders.

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- B. The Contractor understands that in the event of its noncompliance with the nondiscrimination clauses of this Agreement or with any of such rules, regulations, or orders, such noncompliance shall constitute a material breach of this Agreement and noncompliance with E.O. 50 and the rules and regulations promulgated thereunder. After a hearing held pursuant to the rules of DLS, the Director of DLS may direct the Commissioner to impose any or all of the following sanctions:
1. Disapproval of the Contractor; and/or
 2. Suspension or termination of the Agreement; and/or
 3. Declaring the Contractor in default; and/or
 4. In lieu of any of the foregoing sanctions, imposition of an employment program.
- C. Failure to comply with E.O. 50 and the rules and regulations promulgated thereunder in one or more instances may result in the Department declaring the Contractor to be non-responsible.
- D. The Contractor agrees to include the provisions of the foregoing Paragraphs in every subcontract or purchase order in excess of One Hundred Thousand Dollars (\$100,000) to which it becomes a party unless exempted by E.O. 50 and the rules and regulations promulgated thereunder, so that such provisions will be binding upon each subcontractor or vendor. The Contractor will take such action with respect to any subcontract or purchase order as may be directed by the Director of DLS as a means of enforcing such provisions including sanctions for noncompliance. A supplier of unfinished products to the Contractor needed to produce the item contracted for shall not be considered a subcontractor or vendor for purposes of this Paragraph.
- E. The Contractor further agrees that it will refrain from entering into any subcontract or modification thereof subject to E.O. 50 and the rules and regulations promulgated thereunder with a subcontractor who is not in compliance with the requirements of E.O. 50 and the rules and regulations promulgated thereunder. A supplier of unfinished products to the Contractor needed to produce the item contracted for shall not be considered a subcontractor for purposes of this Paragraph.
- F. Nothing contained in this Section shall be construed to bar any religious or denominational institution or organization, or any organization operated for charitable or educational purposes, that is operated, supervised or controlled by or in connection with a religious organization, from lawfully limiting employment or lawfully giving preference to persons of the same religion or denomination or from lawfully making such selection as is calculated by such organization to promote the religious principles for which it is established or maintained.

ARTICLE 5. RECORDS, AUDITS, REPORTS, AND INVESTIGATIONS

Section 5.01 Books and Records

The Contractor agrees to maintain separate and accurate books, records, documents and other evidence, and to utilize appropriate accounting procedures and practices, which sufficiently and properly reflect all direct and indirect costs of any nature expended in the performance of this Agreement.

Section 5.02 Retention of Records

The Contractor agrees to retain all books, records, and other documents relevant to this Agreement, including those required pursuant to Section 5.01, for six years after the final payment or expiration or termination of this Agreement, or for a period otherwise prescribed by Law, whichever is later. In addition, if any litigation, claim, or audit concerning this Agreement has commenced before the expiration of the six-year period, the

records must be retained until the completion of such litigation, claim, or audit. Any books, records and other documents that are created in an electronic format in the regular course of business may be retained in an electronic format. Any books, records, and other documents that are created in the regular course of business as a paper copy may be retained in an electronic format provided that the records satisfy the requirements of New York Civil Practice Law and Rules (“CPLR”) 4539(b), including the requirement that the reproduction is created in a manner “which does not permit additions, deletions, or changes without leaving a record of such additions, deletions, or changes.” Furthermore, the Contractor agrees to waive any objection to the admissibility of any such books, records or other documents on the grounds that such documents do not satisfy CPLR 4539(b).

Section 5.03 Inspection

- A. At any time during the Agreement or during the record retention period set forth in section 5.02, the City, including the Department and the Department’s Office of the Inspector General, as well as City, State and federal auditors and any other persons duly authorized by the City shall, upon reasonable notice, have full access to and the right to examine and copy all books, records, and other documents maintained or retained by or on behalf of the Contractor pursuant to this Article. Notwithstanding any provision herein regarding notice of inspection, all books, records and other documents of the Contractor kept pursuant to this Agreement shall be subject to immediate inspection, review, and copying by the Department’s Office of the Inspector General and/or the Comptroller without prior notice and at no additional cost to the City. The Contractor shall make such books, records and other documents available for inspection in the City of New York or shall reimburse the City for expenses associated with the out-of-City inspection.
- B. The Department shall have the right to have representatives of the Department or of the City, State or federal government present to observe the services being performed.
- C. The Contractor shall not be entitled to final payment until the Contractor has complied with any request for inspection or access given under this Section.

Section 5.04 Audit

- A. This Agreement and all books, records, documents, and other evidence required to be maintained or retained pursuant to this Agreement, including all vouchers or invoices presented for payment and the books, records, and other documents upon which such vouchers or invoices are based (e.g., reports, cancelled checks, accounts, and all other similar material), are subject to audit by (i) the City, including the Comptroller, the Department, and the Department’s Office of the Inspector General, (ii) the State, (iii) the federal government, and (iv) other persons duly authorized by the City. Such audits may include examination and review of the source and application of all funds whether from the City, the State, the federal government, private sources or otherwise.
- B. Audits by the City, including the Comptroller, the Department, and the Department’s Office of the Inspector General, are performed pursuant to the powers and responsibilities conferred by the Charter and the Admin. Code, as well as all orders, rules, and regulations promulgated pursuant to the Charter and Admin. Code.
- C. The Contractor shall submit any and all documentation and justification in support of expenditures or fees under this Agreement as may be required by the Department and by the Comptroller in the exercise of his/her powers under Law.
- D. The Contractor shall not be entitled to final payment until the Contractor has complied with the requirements of this Section.

Section 5.05 No Removal of Records from Premises

Where performance of this Agreement involves use by the Contractor of any City books, records, documents, or data (in hard copy, or electronic or other format now known or developed in the future) at City facilities or offices, the Contractor shall not remove any such data (in the format in which it originally existed, or in any other converted or derived format) from such facility or office without the prior written approval of the Department's designated official. Upon the request by the Department at any time during the Agreement or after the Agreement has expired or terminated, the Contractor shall return to the Department any City books, records, documents, or data that has been removed from City premises.

Section 5.06 Electronic Records

As used in this Appendix A, the terms books, records, documents, and other data refer to electronic versions as well as hard copy versions.

Section 5.07 Investigations Clause

A. The Contractor agrees to cooperate fully and faithfully with any investigation, audit or inquiry conducted by a State or City agency or authority that is empowered directly or by designation to compel the attendance of witnesses and to examine witnesses under oath, or conducted by the Inspector General of a governmental agency that is a party in interest to the transaction, submitted bid, submitted proposal, contract, lease, permit, or license that is the subject of the investigation, audit or inquiry.

B.

1. If any person who has been advised that his or her statement, and any information from such statement, will not be used against him or her in any subsequent criminal proceeding refuses to testify before a grand jury or other governmental agency or authority empowered directly or by designation to compel the attendance of witnesses and to examine witnesses under oath concerning the award of or performance under any transaction, agreement, lease, permit, contract, or license entered into with the City, or State, or any political subdivision or public authority thereof, or the Port Authority of New York and New Jersey, or any local development corporation within the City, or any public benefit corporation organized under the Laws of the State, or;
2. If any person refuses to testify for a reason other than the assertion of his or her privilege against self-incrimination in an investigation, audit or inquiry conducted by a City or State governmental agency or authority empowered directly or by designation to compel the attendance of witnesses and to take testimony under oath, or by the Inspector General of the governmental agency that is a party in interest in, and is seeking testimony concerning the award of, or performance under, any transaction, agreement, lease, permit, contract, or license entered into with the City, the State, or any political subdivision thereof or any local development corporation within the City, then;

C.

1. The Commissioner or Agency Head whose agency is a party in interest to the transaction, submitted bid, submitted proposal, contract, lease, permit, or license shall convene a hearing, upon not less than five (5) Days written notice to the parties involved to determine if any penalties should attach for the failure of a person to testify.
2. If any non-governmental party to the hearing requests an adjournment, the Commissioner or Agency Head who convened the hearing may, upon granting the adjournment, suspend any contract, lease, permit, or license pending the final determination pursuant to Paragraph E below

without the City incurring any penalty or damages for delay or otherwise.

D. The penalties that may attach after a final determination by the Commissioner or Agency Head may include but shall not exceed:

1. The disqualification for a period not to exceed five (5) years from the date of an adverse determination for any person, or any entity of which such person was a member at the time the testimony was sought, from submitting bids for, or transacting business with, or entering into or obtaining any contract, lease, permit or license with or from the City; and/or
2. The cancellation or termination of any and all such existing City contracts, leases, permits or licenses that the refusal to testify concerns and that have not been assigned as permitted under this Agreement, nor the proceeds of which pledged, to an unaffiliated and unrelated institutional lender for fair value prior to the issuance of the notice scheduling the hearing, without the City incurring any penalty or damages on account of such cancellation or termination; monies lawfully due for goods delivered, work done, rentals, or fees accrued prior to the cancellation or termination shall be paid by the City.

E. The Commissioner or Agency Head shall consider and address in reaching his or her determination and in assessing an appropriate penalty the factors in Paragraphs (1) and (2) below. He or she may also consider, if relevant and appropriate, the criteria established in Paragraphs (3) and (4) below, in addition to any other information that may be relevant and appropriate:

1. The party's good faith endeavors or lack thereof to cooperate fully and faithfully with any governmental investigation or audit, including but not limited to the discipline, discharge, or disassociation of any person failing to testify, the production of accurate and complete books and records, and the forthcoming testimony of all other members, agents, assignees or fiduciaries whose testimony is sought.
2. The relationship of the person who refused to testify to any entity that is a party to the hearing, including, but not limited to, whether the person whose testimony is sought has an ownership interest in the entity and/or the degree of authority and responsibility the person has within the entity.
3. The nexus of the testimony sought to the subject entity and its contracts, leases, permits or licenses with the City.
4. The effect a penalty may have on an unaffiliated and unrelated party or entity that has a significant interest in an entity subject to penalties under Paragraph D above, provided that the party or entity has given actual notice to the Commissioner or Agency Head upon the acquisition of the interest, or at the hearing called for in Paragraph (C)(1) above gives notice and proves that such interest was previously acquired. Under either circumstance, the party or entity must present evidence at the hearing demonstrating the potential adverse impact a penalty will have on such person or entity.

F. Definitions

1. The term "license" or "permit" as used in this Section shall be defined as a license, permit, franchise, or concession not granted as a matter of right.
2. The term "person" as used in this Section shall be defined as any natural person doing business alone or associated with another person or entity as a partner, director, officer, principal or employee.

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3. The term “entity” as used in this Section shall be defined as any firm, partnership, corporation, association, or person that receives monies, benefits, licenses, leases, or permits from or through the City, or otherwise transacts business with the City.
 4. The term “member” as used in this Section shall be defined as any person associated with another person or entity as a partner, director, officer, principal, or employee.
- G. In addition to and notwithstanding any other provision of this Agreement, the Commissioner or Agency Head may in his or her sole discretion terminate this Agreement upon not less than three (3) Days written notice in the event the Contractor fails to promptly report in writing to the City Commissioner of Investigation any solicitation of money, goods, requests for future employment or other benefits or thing of value, by or on behalf of any employee of the City or other person or entity for any purpose that may be related to the procurement or obtaining of this Agreement by the Contractor, or affecting the performance of this Agreement.

Section 5.08 Confidentiality

- A. The Contractor agrees to hold confidential, both during and after the completion or termination of this Agreement, all of the reports, information, or data, furnished to, or prepared, assembled or used by, the Contractor under this Agreement. The Contractor agrees that such reports, information, or data shall not be made available to any person or entity without the prior written approval of the Department. The Contractor agrees to maintain the confidentiality of such reports, information, or data by using a reasonable degree of care, and using at least the same degree of care that the Contractor uses to preserve the confidentiality of its own confidential information. In the event that the data contains social security numbers or other Personal Identifying Information, as such term is defined in Paragraph B of this Section, the Contractor shall utilize best practice methods (e.g., encryption of electronic records) to protect the confidentiality of such data. The obligation under this Section to hold reports, information or data confidential shall not apply where the City would be required to disclose such reports, information or data pursuant to the State Freedom of Information Law (“FOIL”), provided that the Contractor provides advance notice to the City, in writing or by e-mail, that it intends to disclose such reports, information or data and the City does not inform the contractor, in writing or by e-mail, that such reports, information, or data are not subject to disclosure under FOIL.
- B. The Contractor shall provide notice to the Department within three (3) days of the discovery by the Contractor of any breach of security, as defined in Admin. Code § 10-501(b), of any data, encrypted or otherwise, in use by the Contractor that contains social security numbers or other personal identifying information as defined in Admin. Code § 10-501 (“Personal Identifying Information”), where such breach of security arises out of the acts or omissions of the Contractor or its employees, subcontractors, or agents. Upon the discovery of such security breach, the Contractor shall take reasonable steps to remediate the cause or causes of such breach, and shall provide notice to the Department of such steps. In the event of such breach of security, without limiting any other right of the City, the City shall have the right to withhold further payments under this Agreement for the purpose of set-off in sufficient sums to cover the costs of notifications and/or other actions mandated by any Law, or administrative or judicial order, to address the breach, and including any fines or disallowances imposed by the State or federal government as a result of the disclosure. The City shall also have the right to withhold further payments hereunder for the purpose of set-off in sufficient sums to cover the costs of credit monitoring services for the victims of such a breach of security by a national credit reporting agency, and/or any other commercially reasonable preventive measure. The Department shall provide the Contractor with written

notice and an opportunity to comment on such measures prior to implementation. Alternatively, at the City's discretion, or if monies remaining to be earned or paid under this Agreement are insufficient to cover the costs detailed above, the Contractor shall pay directly for the costs, detailed above, if any.

- C. The Contractor shall restrict access to confidential information to persons who have a legitimate work related purpose to access such information. The Contractor agrees that it will instruct its officers, employees, and agents to maintain the confidentiality of any and all information required to be kept confidential by this Agreement.
- D. The Contractor, and its officers, employees, and agents shall notify the Department, at any time either during or after completion or termination of this Agreement, of any intended statement to the press or any intended issuing of any material for publication in any media of communication (print, news, television, radio, Internet, etc.) regarding the services provided or the data collected pursuant to this Agreement at least twenty-four (24) hours prior to any statement to the press or at least five (5) business Days prior to the submission of the material for publication, or such shorter periods as are reasonable under the circumstances. The Contractor may not issue any statement or submit any material for publication that includes confidential information as prohibited by this Section 5.08.
- E. At the request of the Department, the Contractor shall return to the Department any and all confidential information in the possession of the Contractor or its subcontractors. If the Contractor or its subcontractors are legally required to retain any confidential information, the Contractor shall notify the Department in writing and set forth the confidential information that it intends to retain and the reasons why it is legally required to retain such information. The Contractor shall confer with the Department, in good faith, regarding any issues that arise from the Contractor retaining such confidential information. If the Department does not request such information, or the Law does not require otherwise, such information shall be maintained in accordance with the requirements set forth in Section 5.02.
- F. A breach of this Section shall constitute a material breach of this Agreement for which the Department may terminate this Agreement pursuant to Article 10. The Department reserves any and all other rights and remedies in the event of unauthorized disclosure.

ARTICLE 6. COPYRIGHTS, PATENTS, INVENTIONS, AND ANTITRUST

Section 6.01 Copyrights

- A. Any reports, documents, data, photographs, deliverables, and/or other materials produced pursuant to this Agreement, and any and all drafts and/or other preliminary materials in any format related to such items produced pursuant to this Agreement, shall upon their creation become the exclusive property of the City.
- B. Any reports, documents, data, photographs, deliverables, and/or other materials provided pursuant to this Agreement ("Copyrightable Materials") shall be considered "workmade-for-hire" within the meaning and purview of Section 101 of the United States Copyright Act, 17 U.S.C. § 101, and the City shall be the copyright owner thereof and of all aspects, elements and components thereof in which copyright protection might exist. To the extent that the Copyrightable Materials do not qualify as "work-made-for-hire," the Contractor hereby irrevocably transfers, assigns and conveys exclusive copyright ownership in and to the Copyrightable Materials to the City, free and clear of any liens, claims, or other encumbrances. The Contractor shall retain no copyright or intellectual property interest in the Copyrightable Materials. The Copyrightable Materials shall be used by the Contractor for no purpose other than in the performance of this Agreement without the prior written permission of the City. The Department may grant the

Contractor a license to use the Copyrightable Materials on such terms as determined by the Department and set forth in the license.

- C. The Contractor acknowledges that the City may, in its sole discretion, register copyright in the Copyrightable Materials with the United States Copyright Office or any other government agency authorized to grant copyright registrations. The Contractor shall fully cooperate in this effort, and agrees to provide any and all documentation necessary to accomplish this.
- D. The Contractor represents and warrants that the Copyrightable Materials: (i) are wholly original material not published elsewhere (except for material that is in the public domain); (ii) do not violate any copyright Law; (iii) do not constitute defamation or invasion of the right of privacy or publicity; and (iv) are not an infringement, of any kind, of the rights of any third party. To the extent that the Copyrightable Materials incorporate any non-original material, the Contractor has obtained all necessary permissions and clearances, in writing, for the use of such non-original material under this Agreement, copies of which shall be provided to the City upon execution of this Agreement.
- E. If the services under this Agreement are supported by a federal grant of funds, the federal and State government reserves a royalty-free, non-exclusive irrevocable license to reproduce, publish, or otherwise use and to authorize others to use, for federal or State government purposes, the copyright in any Copyrightable Materials developed under this Agreement.
- F. If the Contractor publishes a work dealing with any aspect of performance under this Agreement, or with the results of such performance, the City shall have a royalty-free, nonexclusive irrevocable license to reproduce, publish, or otherwise use such work for City governmental purposes.

Section 6.02 Patents and Inventions

The Contractor shall promptly and fully report to the Department any discovery or invention arising out of or developed in the course of performance of this Agreement. If the services under this Agreement are supported by a federal grant of funds, the Contractor shall promptly and fully report to the federal government for the federal government to make a determination as to whether patent protection on such invention shall be sought and how the rights in the invention or discovery, including rights under any patent issued thereon, shall be disposed of and administered in order to protect the public interest.

Section 6.03 Pre-existing Rights

In no case shall Sections 6.01 and 6.02 apply to, or prevent the Contractor from asserting or protecting its rights in any discovery, invention, report, document, data, photograph, deliverable, or other material in connection with or produced pursuant to this Agreement that existed prior to or was developed or discovered independently from the activities directly related to this Agreement.

Section 6.04 Antitrust

The Contractor hereby assigns, sells, and transfers to the City all right, title and interest in and to any claims and causes of action arising under the antitrust laws of the State or of the United States relating to the particular goods or services procured by the City under this Agreement.

ARTICLE 7. INSURANCE

Section 7.01 Agreement to Insure

The Contractor shall not commence performing services under this Agreement unless and until all insurance required by this Article is in effect, and shall ensure continuous insurance coverage in the manner, form, and limits required by this Article throughout the term of the Agreement.

Section 7.02 Commercial General Liability Insurance

- A. The Contractor shall maintain Commercial General Liability Insurance covering the Contractor as Named Insured and the City as an Additional Insured in the amount of at least One Million Dollars (\$1,000,000) per occurrence. Such insurance shall protect the City and the Contractor from claims for property damage and/or bodily injury, including death that may arise from any of the operations under this Agreement. Coverage under this insurance shall be at least as broad as that provided by the most recently issued Insurance Services Office (“ISO”) Form CG 0001, shall contain no exclusions other than as required by law or as approved by the Department, and shall be “occurrence” based rather than “claims-made.”
- B. Such Commercial General Liability Insurance shall name the City, together with its officials and employees, as an Additional Insured with coverage at least as broad as the most recently issued ISO Form CG 20 10.
- C. The Contractor shall ensure that each subcontractor adds the City, together with its officials and employees, as an Additional Insured under all Commercial General Liability Insurance policies obtained by a subcontractor covering work performed by such subcontractor under this Agreement with coverage at least as broad as the most recently issued ISO Form CG 20 26.

Section 7.03 Professional Liability Insurance

- A. At the Department’s direction, if professional services are provided pursuant to this Agreement, the Contractor shall maintain and submit evidence of Professional Liability Insurance appropriate to the type(s) of such services to be provided under this Agreement in the amount of at least Five Million Dollars (\$5,000,000) per claim. The policy or policies shall include an endorsement to cover the liability assumed by the Contractor under this Agreement arising out of the negligent performance of professional services or caused by an error, omission or negligent act of the Contractor or anyone employed by the Contractor.
- B. All subcontractors of the Contractor providing professional services under this Agreement for which Professional Liability Insurance is reasonably commercially available shall also maintain such insurance in the amount of at least Five Million Dollars (\$5,000,000) per claim, and the Contractor shall provide to the Department, at the time of the request for subcontractor approval, evidence of such Professional Liability Insurance on forms acceptable to the Department.
- C. Claims-made policies will be accepted for Professional Liability Insurance. All such policies shall have an extended reporting period option or automatic coverage of not less than two (2) years. If available as an option, the Contractor shall purchase extended reporting period coverage effective on cancellation or termination of such insurance unless a new policy is secured with a retroactive date, including at least the last policy year.

Section 7.04 Workers’ Compensation, Disability Benefits, and Employer’s Liability Insurance

The Contractor shall maintain, and ensure that each subcontractor maintains, Workers’ Compensation Insurance, Disability Benefits Insurance, and Employer’s Liability Insurance in accordance with the Laws of the State on behalf of, or with regard to, all employees providing services under this Agreement.

Section 7.05 Unemployment Insurance

To the extent required by Law, the Contractor shall provide Unemployment Insurance for its employees.

Section 7.06 Business Automobile Liability Insurance

- A. If vehicles are used in the provision of services under this Agreement, then the Contractor shall maintain Business Automobile Liability insurance in the amount of at least One Million Dollars (\$1,000,000) each accident combined single limit for liability arising out of ownership, maintenance or use of any owned, non-owned, or hired vehicles to be used in connection with this Agreement. Coverage shall be at least as broad as ISO Form CA0001, ed. 10/01.
- B. If vehicles are used for transporting hazardous materials, the Business Automobile Liability Insurance shall be endorsed to provide pollution liability broadened coverage for covered vehicles (endorsement CA 99 48) as well as proof of MCS-90.

Section 7.07 General Requirements for Insurance Coverage and Policies

- A. All required insurance policies shall be maintained with companies that may lawfully issue the required policy and have an A.M. Best rating of at least A- / "VII" or a Standard and Poor's rating of at least A, unless prior written approval is obtained from the City Law Department.
- B. All insurance policies shall be primary (and non-contributing) to any insurance or self-insurance maintained by the City.
- C. The Contractor shall be solely responsible for the payment of all premiums for all required insurance policies and all deductibles or self-insured retentions to which such policies are subject, whether or not the City is an insured under the policy.
- D. There shall be no self-insurance program with regard to any insurance required under this Article unless approved in writing by the Commissioner. Any such self-insurance program shall provide the City with all rights that would be provided by traditional insurance required under this Article, including but not limited to the defense obligations that insurers are required to undertake in liability policies.
- E. The City's limits of coverage for all types of insurance required under this Article shall be the greater of (i) the minimum limits set forth in this Article or (ii) the limits provided to the Contractor as Named Insured under all primary, excess, and umbrella policies of that type of coverage.
- F. All insurance policies required pursuant to Sections 7.02 and 7.03 shall contain the following endorsement: "This policy may not be cancelled, terminated, modified or changed for any reason other than non-payment unless thirty (30) Days prior written notice is sent by the Insurance Company to the Named Insured, the Commissioner [insert Agency], and to the New York City Comptroller, Attn: Office of Contract Administration, Municipal Building, One Centre Street, Room 1005, New York, New York 10007. For non-payment, at least ten (10) Days written notice must be provided."

Section 7.08 Proof of Insurance

- A. For Workers' Compensation Insurance, Disability Benefits Insurance, and Employer's Liability Insurance, the Contractor shall file one of the following within ten (10) Days of award of this Agreement. ACORD forms are not acceptable proof of workers' compensation coverage.
 - 1. C-105.2 Certificate of Workers' Compensation Insurance;
 - 2. U-26.3 -- State Insurance Fund Certificate of Workers' Compensation Insurance;
 - 3. Request for WC/DB Exemption (Form CE-200);

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4. Equivalent or successor forms used by the New York State Workers' Compensation Board; or
 5. Other proof of insurance in a form acceptable to the City.
- B. For each policy required under this Agreement, except for Workers' Compensation Insurance, Disability Benefits Insurance, Employer's Liability Insurance, and Unemployment Insurance, the Contractor shall file a Certificate of Insurance with the Department within ten (10) Days of award of this Agreement. All Certificates of Insurance shall be (a) in a form acceptable to the City and certify the issuance and effectiveness of such policies of insurance, each with the specified minimum limits; and (b) accompanied by the endorsement in the Contractor's general liability policy by which the City has been made an additional insured pursuant to Section 7.02(B). All Certificate(s) of Insurance shall be accompanied by either a duly executed "Certification by Broker" in the form attached to this Appendix A or copies of all policies referenced in the Certificate of Insurance. If complete policies have not yet been issued, binders are acceptable, until such time as the complete policies have been issued, at which time such policies shall be submitted.
 - C. Certificates of Insurance confirming renewals of insurance shall be submitted to the Commissioner prior to the expiration date of coverage of policies required under this Article. Such Certificates of Insurance shall comply with the requirements of Section 7.08 (A) and Section 7.08(B), as applicable.
 - D. The Contractor shall provide the City with a copy of any policy required under this Article upon the demand for such policy by the Commissioner or the New York City Law Department.
 - E. Acceptance by the Commissioner of a certificate or a policy does not excuse the Contractor from maintaining policies consistent with all provisions of this Article (and ensuring that subcontractors maintain such policies) or from any liability arising from its failure to do so.

Section 7.09 Miscellaneous

- A. Where notice of loss, damage, occurrence, accident, claim or suit is required under a policy maintained in accordance with this Article, the Contractor shall notify in writing all insurance carriers that issued potentially responsive policies of any such event relating to any operations under this Agreement (including notice to Commercial General Liability Insurance carriers for events relating to the Contractor's own employees) no later than twenty (20) Days after such event. Such notice shall expressly specify that "this notice is being given on behalf of the City of New York as Additional Insured as well as the Named Insured." Such notice shall also contain the following information: the number of the insurance policy, the name of the named insured, the date and location of the damage, occurrence, or accident, and the identity of the persons or things injured, damaged, or lost. The Contractor shall simultaneously send a copy of such notice to the City of New York c/o Insurance Claims Specialist, Affirmative Litigation Division, New York City Law Department, 100 Church Street, New York, New York 10007.
- B. The Contractor's failure to maintain any of the insurance required by this Article shall constitute a material breach of this Agreement. Such breach shall not be waived or otherwise excused by any action or inaction by the City at any time.
- C. Insurance coverage in the minimum amounts required in this Article shall not relieve the Contractor or its subcontractors of any liability under this Agreement, nor shall it preclude the City from exercising any rights or taking such other actions as are available to it under any other provisions of this Agreement or Law.
- D. The Contractor waives all rights against the City, including its officials and employees for any damages or losses that are covered under any insurance required under this Article (whether or not such insurance

is actually procured or claims are paid thereunder) or any other insurance applicable to the operations of the Contractor and/or its subcontractors in the performance of this Agreement.

ARTICLE 8. PROTECTION OF PERSONS AND PROPERTY AND INDEMNIFICATION

Section 8.01 Reasonable Precautions

The Contractor shall take all reasonable precautions to protect all persons and the property of the City and of others from damage, loss or injury resulting from the Contractor's and/or its subcontractors' operations under this Agreement.

Section 8.02 Protection of City Property

The Contractor assumes the risk of, and shall be responsible for, any loss or damage to City property, including property and equipment leased by the City, used in the performance of this Agreement, where such loss or damage is caused by any tortious act, or failure to comply with the provisions of this Agreement or of Law by the Contractor, its officers, employees, agents or subcontractors.

Section 8.03 Indemnification

The Contractor shall defend, indemnify and hold the City, its officers and employees harmless from any and all claims (even if the allegations of the lawsuit are without merit) or judgments for damages on account of any injuries or death to any person or damage to any property and from costs and expenses to which the City, its officers and employees may be subjected or which it may suffer or incur allegedly arising out of or in connection with any operations of the Contractor and/or its subcontractors to the extent resulting from any negligent act of commission or omission, any intentional tortious act, or failure to comply with the provisions of this Agreement or of the Laws. Insofar as the facts or Law relating to any claim would preclude the City from being completely indemnified by the Contractor, the City shall be partially indemnified by the Contractor to the fullest extent permitted by Law.

Section 8.04 Infringement Indemnification

The Contractor shall defend, indemnify and hold the City harmless from any and all claims (even if the allegations of the lawsuit are without merit) or judgments for damages and from costs and expenses to which the City may be subject to or which it may suffer or incur allegedly arising out of or in connection with any infringement by the Contractor of any copyright, trade secrets, trademark or patent rights or any other property or personal right of any third party by the Contractor and/or its subcontractors in the performance of this Agreement. The Contractor shall defend, indemnify, and hold the City harmless regardless of whether or not the alleged infringement arises out of compliance with the Agreement's scope of services/scope of work. Insofar as the facts or Law relating to any claim would preclude the City from being completely indemnified by the Contractor, the City shall be partially indemnified by the Contractor to the fullest extent permitted by Law.

Section 8.05 Indemnification Obligations Not Limited By Insurance Obligation

The indemnification provisions set forth in this Article shall not be limited in any way by the Contractor's obligations to obtain and maintain insurance as provided in this Agreement.

Section 8.06 Actions By or Against Third Parties

- A. In the event any claim is made or any action brought in any way relating to Agreement, other than an action between the City and the Contractor, the Contractor shall diligently render to the City without additional compensation all assistance which the City may reasonably require of the Contractor.
- B. The Contractor shall report to the Department in writing within five (5) business Days of the initiation by or against the Contractor of any legal action or proceeding in connection with or relating to this Agreement.

Section 8.07 Withholding of Payments

- A. In the event that any claim is made or any action is brought against the City for which the Contractor may be required to indemnify the City pursuant to this Agreement, the City shall have the right to withhold further payments under this Agreement for the purpose of set-off in sufficient sums to cover the said claim or action.
- B. In the event that any City property is lost or damaged as set forth in Section 8.02, except for normal wear and tear, the City shall have the right to withhold further payments under this Agreement for the purpose of set-off in sufficient sums to cover such loss or damage.
- C. The City shall not, however, impose a setoff in the event that an insurance company that provided liability insurance pursuant to Article 7 above has accepted the City's tender of the claim or action without a reservation of rights.
- D. The Department may, at its option, withhold for purposes of set-off any monies due to the Contractor under this Agreement up to the amount of any disallowances or questioned costs resulting from any audits of the Contractor or to the amount of any overpayment to the Contractor with regard to this Agreement.
- E. The rights and remedies of the City provided for in this Section shall not be exclusive and are in addition to any other rights and remedies provided by Law or this Agreement.

Section 8.08 No Third Party Rights

The provisions of this Agreement shall not be deemed to create any right of action in favor of third parties against the Contractor or the City or their respective officers and employees.

ARTICLE 9. CONTRACT CHANGES

Section 9.01 Contract Changes

Changes to this Agreement may be made only as duly authorized by the ACCO or his or her designee and in accordance with the PPB Rules. Any amendment or change to this Agreement shall not be valid unless made in writing and signed by authorized representatives of both parties. Contractors deviating from the requirements of this Agreement without a duly approved and executed change order document, or written contract modification or amendment, do so at their own risk.

Section 9.02 Changes Through Fault of Contractor

In the event that any change is required in the data, documents, deliverables, or other services to be provided under this Agreement because of negligence or error of the Contractor, no additional compensation shall be paid to the Contractor for making such change, and the Contractor is obligated to make such change without additional compensation.

ARTICLE 10. TERMINATION, DEFAULT, AND REDUCTIONS IN FUNDING

Section 10.01 Termination by the City Without Cause

- A. The City shall have the right to terminate this Agreement, in whole or in part, without cause, in accordance with the provisions of Section 10.05.
- B. If the City terminates this Agreement pursuant to this Section, the following provisions apply. The City shall not incur or pay any further obligation pursuant to this Agreement beyond the termination date set by the City pursuant to Section 10.05. The City shall pay for services provided in accordance with this Agreement prior to the termination date. In addition, any obligation necessarily incurred by the Contractor on account of this Agreement prior to receipt of notice of termination and falling due after the termination date shall be paid by the City in accordance with the terms of this Agreement. In no event shall such obligation be construed as including any lease or other occupancy agreement, oral or written, entered into between the Contractor and its landlord.

Section 10.02 Reductions in Federal, State and/or City Funding

- A. This Agreement is funded in whole or in part by funds secured from the federal, State and/or City governments. Should there be a reduction or discontinuance of such funds by action of the federal, State and/or City governments, the City shall have, in its sole discretion, the right to terminate this Agreement in whole or in part, or to reduce the funding and/or level of services of this Agreement caused by such action by the federal, State and/or City governments, including, in the case of the reduction option, but not limited to, the reduction or elimination of programs, services or service components; the reduction or elimination of contract-reimbursable staff or staff-hours, and corresponding reductions in the budget of this Agreement and in the total amount payable under this Agreement. Any reduction in funds pursuant to this Section shall be accompanied by an appropriate reduction in the services performed under this Agreement.
- B. In the case of the reduction option referred to in Paragraph A, above, any such reduction shall be effective as of the date set forth in a written notice thereof to the Contractor, which shall be not less than thirty (30) Days from the date of such notice. Prior to sending such notice of reduction, the Department shall advise the Contractor that such option is being exercised and afford the Contractor an opportunity to make within seven (7) Days any suggestion(s) it may have as to which program(s), service(s), service component(s), staff or staffhours might be reduced or eliminated, provided, however, that the Department shall not be bound to utilize any of the Contractor's suggestions and that the Department shall have sole discretion as to how to effectuate the reductions.
- C. If the City reduces funding pursuant to this Section, the following provisions apply. The City shall pay for services provided in accordance with this Agreement prior to the reduction date. In addition, any obligation necessarily incurred by the Contractor on account of this Agreement prior to receipt of notice of reduction and falling due after the reduction date shall be paid by the City in accordance with the terms of this Agreement. In no event shall such obligation be construed as including any lease or other occupancy agreement, oral or written, entered into between the Contractor and its landlord.
- D. To the extent that the reduction in public funds is a result of the State determining that the Contractor may receive medical assistance funds pursuant to title eleven of article five of the Social Services Law to fund the services contained within the scope of a program under this Agreement, then the notice and effective date provisions of this section shall not apply, and the Department may reduce such public funds authorized under this Agreement by informing the Contractor of the amount of the reduction and

revising attachments to this agreement as appropriate.

Section 10.03 Contractor Default

A. The City shall have the right to declare the Contractor in default:

1. Upon a breach by the Contractor of a material term or condition of this Agreement, including unsatisfactory performance of the services;
2. Upon insolvency or the commencement of any proceeding by or against the Contractor, either voluntarily or involuntarily, under the Bankruptcy Code or relating to the insolvency, receivership, liquidation, or composition of the Contractor for the benefit of creditors;
3. If the Contractor refuses or fails to proceed with the services under the Agreement when and as directed by the Commissioner;
4. If the Contractor or any of its officers, directors, partners, five percent (5%) or greater shareholders, principals, or other employee or person substantially involved in its activities are indicted or convicted after execution of the Agreement under any state or federal law of any of the following:
 - a. a criminal offense incident to obtaining or attempting to obtain or performing a public or private contract;
 - b. fraud, embezzlement, theft, bribery, forgery, falsification, or destruction of records, or receiving stolen property;
 - c. a criminal violation of any state or federal antitrust law;
 - d. violation of the Racketeer Influence and Corrupt Organization Act, 18 U.S.C. § 1961 et seq., or the Mail Fraud Act, 18 U.S.C. § 1341 et seq., for acts in connection with the submission of bids or proposals for a public or private contract;
 - e. conspiracy to commit any act or omission that would constitute grounds for conviction or liability under any statute described in subparagraph (d) above; or
 - f. an offense indicating a lack of business integrity that seriously and directly affects responsibility as a City vendor.
5. If the Contractor or any of its officers, directors, partners, five percent (5%) or greater shareholders, principals, or other employee or person substantially involved in its activities are subject to a judgment of civil liability under any state or federal antitrust law for acts or omissions in connection with the submission of bids or proposals for a public or private contract; or
6. If the Contractor or any of its officers, directors, partners, five percent (5%) or greater shareholders, principals, or other employee or person substantially involved in its activities makes or causes to be made any false, deceptive, or fraudulent material statement, or fail to make a required material statement in any bid, proposal, or application for City or other government work.

B. The right to declare the Contractor in default shall be exercised by sending the Contractor a written notice of the conditions of default, signed by the Commissioner, setting forth the ground or grounds upon which such default is declared (“Notice to Cure”). The Contractor shall have ten (10) Days from receipt of the Notice to Cure or any longer period that is set forth in the Notice to Cure to cure the default. The Commissioner may temporarily suspend services under the Agreement pending the outcome of the default proceedings pursuant to this Section.

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- C. If the conditions set forth in the Notice to Cure are not cured within the period set forth in the Notice to Cure, the Commissioner may declare the Contractor in default pursuant to this Section. Before the Commissioner may exercise his or her right to declare the Contractor in default, the Commissioner shall give the Contractor an opportunity to be heard upon not less than five (5) business days notice. The Commissioner may, in his or her discretion, provide for such opportunity to be in writing or in person. Such opportunity to be heard shall not occur prior to the end of the cure period but notice of such opportunity to be heard may be given prior to the end of the cure period and may be given contemporaneously with the Notice to Cure.
 - D. After the opportunity to be heard, the Commissioner may terminate the Agreement, in whole or in part, upon finding the Contractor in default pursuant to this Section, in accordance with the provisions of Section 10.05.
 - E. The Commissioner, after declaring the Contractor in default, may have the services under the Agreement completed by such means and in such manner, by contract with or without public letting, or otherwise, as he or she may deem advisable in accordance with applicable PPB Rules. After such completion, the Commissioner shall certify the expense incurred in such completion, which shall include the cost of re-letting. Should the expense of such completion, as certified by the Commissioner, exceed the total sum which would have been payable under the Agreement if it had been completed by the Contractor, any excess shall be promptly paid by the Contractor upon demand by the City. The excess expense of such completion, including any and all related and incidental costs, as so certified by the Commissioner, and any liquidated damages assessed against the Contractor, may be charged against and deducted out of monies earned by the Contractor.

Section 10.04 Force Majeure

- A. For purposes of this Agreement, a force majeure event is an act or event beyond the control and without any fault or negligence of the Contractor (“Force Majeure Event”). Such events may include, but are not limited to, fire, flood, earthquake, storm or other natural disaster, civil commotion, war, terrorism, riot, and labor disputes not brought about by any act or omission of the Contractor.
- B. In the event the Contractor cannot comply with the terms of the Agreement (including any failure by the Contractor to make progress in the performance of the services) because of a Force Majeure Event, then the Contractor may ask the Commissioner to excuse the nonperformance and/or terminate the Agreement. If the Commissioner, in his or her reasonable discretion, determines that the Contractor cannot comply with the terms of the Agreement because of a Force Majeure Event, then the Commissioner shall excuse the nonperformance and may terminate the Agreement. Such a termination shall be deemed to be without cause.
- C. If the City terminates the Agreement pursuant to this Section, the following provisions apply. The City shall not incur or pay any further obligation pursuant to this Agreement beyond the termination date. The City shall pay for services provided in accordance with this Agreement prior to the termination date. Any obligation necessarily incurred by the Contractor on account of this Agreement prior to receipt of notice of termination and falling due after the termination date shall be paid by the City in accordance with the terms of this Agreement. In no event shall such obligation be construed as including any lease or other occupancy agreement, oral or written, entered into between the Contractor and its landlord.

Section 10.05 Procedures for Termination

- A. The Department and/or the City shall give the Contractor written notice of any termination of this Agreement. Such notice shall specify the applicable provision(s) under which the Agreement is terminated and the effective date of the termination. Except as otherwise provided in this Agreement, the notice shall comply with the provisions of this Section. For termination without cause, the effective date of the termination shall not be less than ten (10) Days from the date the notice is personally delivered, or fifteen (15) Days from the date the notice is either sent by certified mail, return receipt requested, or sent by fax and deposited in a post office box regularly maintained by the United States Postal Service in a postage pre-paid envelope. In the case of termination for default, the effective date of the termination shall be as set forth above for a termination without cause or such earlier date as the Commissioner may determine. If the City terminates the Agreement in part, the Contractor shall continue the performance of the Agreement to the extent not terminated.
- B. Upon termination or expiration of this Agreement, the Contractor shall comply with the City close-out procedures, including but not limited to:
 - 1. Accounting for and refunding to the Department, within forty-five (45) Days, any unexpended funds which have been advanced to the Contractor pursuant to this Agreement;
 - 2. Furnishing within forty-five (45) Days an inventory to the Department of all equipment, appurtenances and property purchased through or provided under this Agreement and carrying out any Department or City directive concerning the disposition of such equipment, appurtenances and property;
 - 3. Turning over to the Department or its designees all books, records, documents and material specifically relating to this Agreement that the Department has requested be turned over;
 - 4. Submitting to the Department, within ninety (90) Days, a final statement and report relating to the Agreement. The report shall be made by a certified public accountant or a licensed public accountant; and
 - 5. Providing reasonable assistance to the Department in the transition, if any, to a new contractor.

Section 10.06 Miscellaneous Provisions

- A. The Commissioner, in addition to any other powers set forth in this Agreement or by operation of Law, may suspend, in whole or in part, any part of the services to be provided under this Agreement whenever in his or her judgment such suspension is required in the best interest of the City. If the Commissioner suspends this Agreement pursuant to this Section, the City shall not incur or pay any further obligation pursuant to this Agreement beyond the suspension date until such suspension is lifted. The City shall pay for services provided in accordance with this Agreement prior to the suspension date. In addition, any obligation necessarily incurred by the Contractor on account of this Agreement prior to receipt of notice of suspension and falling due during the suspension period shall be paid by the City in accordance with the terms of this Agreement.
- B. Notwithstanding any other provisions of this Agreement, the Contractor shall not be relieved of liability to the City for damages sustained by the City by virtue of the Contractor's breach of the Agreement, and the City may withhold payments to the Contractor for the purpose of set-off in the amount of damages due to the City from the Contractor.
- C. The rights and remedies of the City provided in this Article shall not be exclusive and are in addition to

all other rights and remedies provided by Law or under this Agreement.

ARTICLE 11. PROMPT PAYMENT AND ELECTRONIC FUNDS TRANSFER

Section 11.01 Prompt Payment

- A. The prompt payment provisions of PPB Rule § 4-06 are applicable to payments made under this Agreement. The provisions generally require the payment to the Contractor of interest on payments made after the required payment date, as set forth in the PPB Rules.
- B. The Contractor shall submit a proper invoice to receive payment, except where the Agreement provides that the Contractor will be paid at predetermined intervals without having to submit an invoice for each scheduled payment.
- C. Determination of interest due will be made in accordance with the PPB Rules and the applicable rate of interest shall be the rate in effect at the time of payment.

Section 11.02 Electronic Funds Transfer

- A. In accordance with Admin. Code § 6-107.1, the Contractor agrees to accept payments under this Agreement from the City by electronic funds transfer. An electronic funds transfer is any transfer of funds, other than a transaction originated by check, draft, or similar paper instrument, which is initiated through an electronic terminal, telephonic instrument or computer or magnetic tape so as to order, instruct, or authorize a financial institution to debit or credit an account. Prior to the first payment made under this Agreement, the Contractor shall designate one financial institution or other authorized payment agent and shall complete the “EFT Vendor Payment Enrollment Form” available from the Agency or at <http://www.nyc.gov/dof> in order to provide the commissioner of the Department of Finance with information necessary for the Contractor to receive electronic funds transfer payments through the designated financial institution or authorized payment agent. The crediting of the amount of a payment to the appropriate account on the books of a financial institution or other authorized payment agent designated by the Contractor shall constitute full satisfaction by the City for the amount of the payment under this Agreement. The account information supplied by the Contractor to facilitate the electronic funds transfer shall remain confidential to the fullest extent provided by Law.
- B. The Agency Head may waive the application of the requirements of this Section to payments on contracts entered into pursuant to Charter § 315. In addition, the commissioner of the Department of Finance and the Comptroller may jointly issue standards pursuant to which the Agency may waive the requirements of this Section for payments in the following circumstances: (i) for individuals or classes of individuals for whom compliance imposes a hardship; (ii) for classifications or types of checks; or (iii) in other circumstances as may be necessary in the best interest of the City.
- C. This Section is applicable to contracts valued at Twenty-Five Thousand Dollars (\$25,000) and above.

ARTICLE 12. CLAIMS

Section 12.01 Choice of Law

This Agreement shall be deemed to be executed in the City and State of New York, regardless of the domicile of the Contractor, and shall be governed by and construed in accordance with the Laws of the State of New York (notwithstanding New York choice of law or conflict of law principles) and the Laws of the United States, where applicable.

Section 12.02 Jurisdiction and Venue

The parties agree that any and all claims asserted by or against the City arising under or related to this Agreement shall solely be heard and determined either in the courts of the United States located in the City or in the courts of the State located in the City and County of New York. The parties shall consent to the dismissal and/or transfer of any claims asserted in any other venue or forum to the proper venue or forum. If the Contractor initiates any action in breach of this Section, the Contractor shall be responsible for and shall promptly reimburse the City for any attorneys' fees incurred by the City in removing the action to a proper court consistent with this Section.

Section 12.03 Resolution of Disputes

- A. Except as provided in Subparagraphs (A)(1) and (A)(2) below, all disputes between the City and the Contractor that arise under, or by virtue of, this Agreement shall be finally resolved in accordance with the provisions of this Section and PPB Rule § 4-09. This procedure shall be the exclusive means of resolving any such disputes.
1. This Section shall not apply to disputes concerning matters dealt with in other sections of the PPB Rules or to disputes involving patents, copyrights, trademarks, or trade secrets (as interpreted by the courts of New York State) relating to proprietary rights in computer software, or to termination other than for cause.
 2. For construction and construction-related services this Section shall apply only to disputes about the scope of work delineated by the Agreement, the interpretation of Agreement documents, the amount to be paid for extra work or disputed work performed in connection with the Agreement, the conformity of the Contractor's work to the Agreement, and the acceptability and quality of the Contractor's work; such disputes arise when the City Engineer, City Resident Engineer, City Engineering Audit Officer, or other designee of the Agency Head makes a determination with which the Contractor disagrees. For construction, this Section shall not apply to termination of the Agreement for cause or other than for cause.
- B. All determinations required by this Section shall be clearly stated, with a reasoned explanation for the determination based on the information and evidence presented to the party making the determination. Failure to make such determination within the time required by this Section shall be deemed a non-determination without prejudice that will allow application to the next level.
- C. During such time as any dispute is being presented, heard, and considered pursuant to this Section, the Agreement terms shall remain in full force and effect and, unless otherwise directed by the ACCO or Engineer, the Contractor shall continue to perform work in accordance with the Agreement and as directed by the ACCO or City Engineer, City Resident Engineer, City Engineering Audit Officer, or other designee of the Agency Head. Failure of the Contractor to continue the work as directed shall constitute a waiver by the Contractor of any and all claims being presented pursuant to this Section and a material breach of contract.
- D. Presentation of Dispute to Agency Head.
1. Notice of Dispute and Agency Response. The Contractor shall present its dispute in writing ("Notice of Dispute") to the Agency Head within the time specified herein, or, if no time is specified, within thirty (30) Days of receiving written notice of the determination or action that is the subject of the dispute. This notice requirement shall not be read to replace any other notice requirements contained in the Agreement. The Notice of Dispute shall include all the facts, evidence, documents, or other

basis upon which the Contractor relies in support of its position, as well as a detailed computation demonstrating how any amount of money claimed by the Contractor in the dispute was arrived at. Within thirty (30) Days after receipt of the complete Notice of Dispute, the ACCO or, in the case of construction or construction-related services, the City Engineer, City Resident Engineer, City Engineering Audit Officer, or other designee of the Agency Head, shall submit to the Agency Head all materials he or she deems pertinent to the dispute. Following initial submissions to the Agency Head, either party may demand of the other the production of any document or other material the demanding party believes may be relevant to the dispute. The requested party shall produce all relevant materials that are not otherwise protected by a legal privilege recognized by the courts of New York State. Any question of relevancy shall be determined by the Agency Head whose decision shall be final. Willful failure of the Contractor to produce any requested material whose relevancy the Contractor has not disputed, or whose relevancy has been affirmatively determined, shall constitute a waiver by the Contractor of its claim.

2. **Agency Head Inquiry.** The Agency Head shall examine the material and may, in his or her discretion, convene an informal conference with the Contractor and the ACCO and, in the case of construction or construction-related services, the City Engineer, City Resident Engineer, City Engineering Audit Officer, or other designee of the Agency Head, to resolve the issue by mutual consent prior to reaching a determination. The Agency Head may seek such technical or other expertise as he or she shall deem appropriate, including the use of neutral mediators, and require any such additional material from either or both parties as he or she deems fit. The Agency Head's ability to render, and the effect of, a decision hereunder shall not be impaired by any negotiations in connection with the dispute presented, whether or not the Agency Head participated therein. The Agency Head may or, at the request of any party to the dispute, shall compel the participation of any other contractor with a contract related to the work of this Agreement and that contractor shall be bound by the decision of the Agency Head. Any contractor thus brought into the dispute resolution proceeding shall have the same rights and obligations under this Section as the Contractor initiating the dispute.
 3. **Agency Head Determination.** Within thirty (30) Days after the receipt of all materials and information, or such longer time as may be agreed to by the parties, the Agency Head shall make his or her determination and shall deliver or send a copy of such determination to the Contractor and ACCO and, in the case of construction or construction-related services, the City Engineer, City Resident Engineer, City Engineering Audit Officer, or other designee of the Agency Head, together with a statement concerning how the decision may be appealed.
 4. **Finality of Agency Head Decision.** The Agency Head's decision shall be final and binding on all parties, unless presented to the Contract Dispute Resolution Board ("CDRB") pursuant to this Section. The City may not take a petition to the CDRB. However, should the Contractor take such a petition, the City may seek, and the CDRB may render, a determination less favorable to the Contractor and more favorable to the City than the decision of the Agency Head.
- E. **Presentation of Dispute to the Comptroller.** Before any dispute may be brought by the Contractor to the CDRB, the Contractor must first present its claim to the Comptroller for his or her review, investigation, and possible adjustment.
1. **Time, Form, and Content of Notice.** Within thirty (30) Days of receipt of a decision by the Agency Head, the Contractor shall submit to the Comptroller and to the Agency Head a Notice

of Claim regarding its dispute with the Agency. The Notice of Claim shall consist of (i) a brief statement of the substance of the dispute, the amount of money, if any, claimed and the reason(s) the Contractor contends the dispute was wrongly decided by the Agency Head; (ii) a copy of the decision of the Agency Head; and (iii) a copy of all materials submitted by the Contractor to the Agency, including the Notice of Dispute. The Contractor may not present to the Comptroller any material not presented to the Agency Head, except at the request of the Comptroller.

2. Agency Response. Within thirty (30) Days of receipt of the Notice of Claim, the Agency shall make available to the Comptroller a copy of all material submitted by the Agency to the Agency Head in connection with the dispute. The Agency may not present to the Comptroller any material not presented to the Agency Head, except at the request of the Comptroller.
3. Comptroller Investigation. The Comptroller may investigate the claim in dispute and, in the course of such investigation, may exercise all powers provided in Admin. Code §§ 7-201 and 7-203. In addition, the Comptroller may demand of either party, and such party shall provide, whatever additional material the Comptroller deems pertinent to the claim, including original business records of the Contractor. Willful failure of the Contractor to produce within fifteen (15) Days any material requested by the Comptroller shall constitute a waiver by the Contractor of its claim. The Comptroller may also schedule an informal conference to be attended by the Contractor, Agency representatives, and any other personnel desired by the Comptroller.
4. Opportunity of Comptroller to Compromise or Adjust Claim. The Comptroller shall have forty-five (45) Days from his or her receipt of all materials referred to in Paragraph (E)(3) above to investigate the disputed claim. The period for investigation and compromise may be further extended by agreement between the Contractor and the Comptroller, to a maximum of ninety (90) Days from the Comptroller's receipt of all the materials. The Contractor may not present its petition to the CDRB until the period for investigation and compromise delineated in this Paragraph has expired. In compromising or adjusting any claim hereunder, the Comptroller may not revise or disregard the terms of the Agreement.

- F. Contract Dispute Resolution Board. There shall be a Contract Dispute Resolution Board composed of:
1. the chief administrative law judge of the Office of Administrative Trials and Hearings ("OATH") or his or her designated OATH administrative law judge, who shall act as chairperson, and may adopt operational procedures and issue such orders consistent with this Section as may be necessary in the execution of the CDRB's functions, including, but not limited to, granting extensions of time to present or respond to submissions;
 2. the City Chief Procurement Officer ("CCPO") or his or her designee; any designee shall have the requisite background to consider and resolve the merits of the dispute and shall not have participated personally and substantially in the particular matter that is the subject of the dispute or report to anyone who so participated; and
 3. a person with appropriate expertise who is not an employee of the City. This person shall be selected by the presiding administrative law judge from a prequalified panel of individuals, established, and administered by OATH, with appropriate background to act as decision-makers in a dispute. Such individuals may not have a contract or dispute with the City or be an officer or employee of any company or organization that does, or regularly represent persons, companies, or organizations having disputes with the City.

G. Petition to CDRB. In the event the claim has not been settled or adjusted by the Comptroller within the period provided in this Section, the Contractor, within thirty (30) Days thereafter, may petition the CDRB to review the Agency Head determination.

1. Form and Content of Petition by the Contractor. The Contractor shall present its dispute to the CDRB in the form of a petition, which shall include (i) a brief statement of the substance of the dispute, the amount of money, if any, claimed, and the reason(s) the Contractor contends that the dispute was wrongly decided by the Agency Head; (ii) a copy of the decision of the Agency Head; (iii) copies of all materials submitted by the Contractor to the Agency; (iv) a copy of the decision of the Comptroller, if any, and (v) copies of all correspondence with, and material submitted by the Contractor to, the Comptroller's Office. The Contractor shall concurrently submit four complete sets of the petition: one to the Corporation Counsel (Attn: Commercial and Real Estate Litigation Division), and three to the CDRB at OATH's offices, with proof of service on the Corporation Counsel. In addition, the Contractor shall submit a copy of the statement of the substance of the dispute, cited in (i) above, to both the Agency Head and the Comptroller.
2. Agency Response. Within thirty (30) Days of receipt of the petition by the Corporation Counsel, the Agency shall respond to the statement of the Contractor and make available to the CDRB all material it submitted to the Agency Head and Comptroller. Three complete copies of the Agency response shall be submitted to the CDRB at OATH's offices and one to the Contractor. Extensions of time for submittal of the Agency response shall be given as necessary upon a showing of good cause or, upon the consent of the parties, for an initial period of up to thirty (30) Days.
3. Further Proceedings. The CDRB shall permit the Contractor to present its case by submission of memoranda, briefs, and oral argument. The CDRB shall also permit the Agency to present its case in response to the Contractor by submission of memoranda, briefs, and oral argument. If requested by the Corporation Counsel, the Comptroller shall provide reasonable assistance in the preparation of the Agency's case. Neither the Contractor nor the Agency may support its case with any documentation or other material that was not considered by the Comptroller, unless requested by the CDRB. The CDRB, in its discretion, may seek such technical or other expert advice as it shall deem appropriate and may seek, on its own or upon application of a party, any such additional material from any party as it deems fit. The CDRB, in its discretion, may combine more than one dispute between the parties for concurrent resolution.
4. CDRB Determination. Within forty-five (45) Days of the conclusion of all submissions and oral arguments, the CDRB shall render a decision resolving the dispute. In an unusually complex case, the CDRB may render its decision in a longer period of time, not to exceed ninety (90) Days, and shall so advise the parties at the commencement of this period. The CDRB's decision must be consistent with the terms of this Agreement. Decisions of the CDRB shall only resolve matters before the CDRB and shall not have precedential effect with respect to matters not before the CDRB.
5. Notification of CDRB Decision. The CDRB shall send a copy of its decision to the Contractor, the ACCO, the Corporation Counsel, the Comptroller, the CCPO, and, in the case of construction or construction-related services, the City Engineer, City Resident Engineer, City Engineering Audit Officer, or other designee of the Agency Head. A decision in favor of the Contractor shall be subject to the prompt payment provisions of the PPB Rules. The required payment date shall be thirty (30) Days after the date the parties are formally notified of the CDRB's decision.

6. Finality of CDRB Decision. The CDRB's decision shall be final and binding on all parties. Any party may seek review of the CDRB's decision solely in the form of a challenge, filed within four months of the date of the CDRB's decision, in a court of competent jurisdiction of the State of New York, County of New York pursuant to Article 78 of the Civil Practice Law and Rules. Such review by the court shall be limited to the question of whether or not the CDRB's decision was made in violation of lawful procedure, was affected by an error of Law, or was arbitrary and capricious or an abuse of discretion. No evidence or information shall be introduced or relied upon in such proceeding that was not presented to the CDRB in accordance with PPB Rules § 4- 09.

H. Any termination, cancellation, or alleged breach of the Agreement prior to or during the pendency of any proceedings pursuant to this Section shall not affect or impair the ability of the Agency Head or CDRB to make a binding and final decision pursuant to this Section.

Section 12.04 Claims and Actions

- A. Any claim against the City or Department based on this Agreement or arising out of this Agreement that is not subject to dispute resolution under the PPB Rules or this Agreement shall not be made or asserted in any legal proceeding, unless the Contractor shall have strictly complied with all requirements relating to the giving of notice and of information with respect to such claims as provided in this Agreement.
- B. No action shall be instituted or maintained on any such claims unless such action shall be commenced within six (6) months after the date of filing with the Comptroller of the certificate for the final payment under this Agreement, or within six (6) months of the termination or expiration of this Agreement, or within six (6) months after the accrual of the cause of action, whichever first occurs.

Section 12.05 No Claim Against Officers, Agents or Employees

No claim shall be made by the Contractor against any officer, agent, or employee of the City in their personal capacity for, or on account of, anything done or omitted in connection with this Agreement.

Section 12.06 General Release

The acceptance by the Contractor or its assignees of the final payment under this Agreement, whether by check, wire transfer, or other means, and whether pursuant to invoice, voucher, judgment of any court of competent jurisdiction or any other administrative means, shall constitute and operate as a release of the City from any and all claims of and liability to the Contractor, of which the Contractor was aware or should reasonably have been aware, arising out of the performance of this Agreement based on actions of the City prior to such acceptance of final payment, excepting any disputes that are the subject of pending dispute resolution procedures.

Section 12.07 No Waiver

Waiver by either the Department or the Contractor of a breach of any provision of this Agreement shall not be deemed to be a waiver of any other or subsequent breach and shall not be construed to be a modification of the terms of the Agreement unless and until the same shall be agreed to in writing by the parties as set forth in Section 9.01.

ARTICLE 13. APPLICABLE LAWS

Section 13.01 PPB Rules

This Agreement is subject to the PPB Rules. In the event of a conflict between the PPB Rules and a provision of this Agreement, the PPB Rules shall take precedence.

Section 13.02 All Legal Provisions Deemed Included

Each and every provision required by Law to be inserted in this Agreement is hereby deemed to be a part of this Agreement, whether actually inserted or not.

Section 13.03 Severability / Unlawful Provisions Deemed Stricken

If this Agreement contains any unlawful provision not an essential part of the Agreement and which shall not appear to have been a controlling or material inducement to the making of this Agreement, the unlawful provision shall be deemed of no effect and shall, upon notice by either party, be deemed stricken from the Agreement without affecting the binding force of the remainder.

Section 13.04 Compliance With Laws

The Contractor shall perform all services under this Agreement in accordance with all applicable Laws as are in effect at the time such services are performed.

Section 13.05 Americans with Disabilities Act (ADA)

- A. This Agreement is subject to the provisions of Subtitle A of Title II of the Americans with Disabilities Act of 1990, 42 U.S.C. § 12131 et seq. (“ADA”) and regulations promulgated pursuant thereto, see 28 CFR Part 35. The Contractor shall not discriminate against an individual with a disability, as defined in the ADA, in providing services, programs, or activities pursuant to this Agreement. If directed to do so by the Department to ensure the Contractor’s compliance with the ADA during the term of this Agreement, the Contractor shall prepare a plan (“Compliance Plan”) which lists its program site(s) and describes in detail, how it intends to make the services, programs and activities set forth in the scope of services herein readily accessible and usable by individuals with disabilities at such site(s). In the event that the program site is not readily accessible and usable by individuals with disabilities, contractor shall also include in the Compliance Plan, a description of reasonable alternative means and methods that result in making the services, programs or activities provided under this Agreement, readily accessible to and usable by individuals with disabilities, including but not limited to people with visual, auditory or mobility disabilities. The Contractor shall submit the Compliance Plan to the ACCO for review within ten (10) Days after being directed to do so and shall abide by the Compliance Plan and implement any action detailed in the Compliance Plan to make the services, programs, or activities accessible and usable by the disabled.
- B. The Contractor’s failure to either submit a Compliance Plan as required herein or implement an approved Compliance Plan may be deemed a material breach of this Agreement and result in the City terminating this Agreement.

Section 13.06 Voter Registration

- A. Participating Agencies. Pursuant to Charter § 1057-a, if this Agreement is with a participating City agency and the Contractor has regular contact with the public in the daily administration of its business, the Contractor must comply with the requirements of this Section. The participating City agencies are: the Administration for Children’s Services; the City Clerk; the Civilian Complaint Review Board; the Commission on Human Rights; Community Boards; the Department of Small Business Services; the Department of Citywide Administrative Services; the Department of Consumer Affairs; the Department of Correction; the Department of Environmental Protection; the Department of Finance; the Department of Health and Mental Health; the Department of Homeless Services; the Department of Housing Preservation and Development; the Department of Parks and Recreation; the Department of Probation;

the Taxi and Limousine Commission; the Department of Transportation; and the Department of Youth and Community Development.

B. Distribution of Voter Registration Forms. In accordance with Charter § 1057-a, the Contractor, if it has regular contact with the public in the daily administration of its business under this Agreement, hereby agrees as follows:

1. The Contractor shall provide and distribute voter registration forms to all persons together with written applications for services, renewal, or recertification for services and change of address relating to such services. Such voter registration forms shall be provided to the Contractor by the City. The Contractor should be prepared to provide forms written in Spanish or Chinese, and shall obtain a sufficient supply of such forms from the City.
2. The Contractor shall also include a voter registration form with any Contractor communication sent through the United States mail for the purpose of supplying clients with materials for application, renewal, or recertification for services and change of address relating to such services. If forms written in Spanish or Chinese are not provided in such mailing, the Contractor shall provide such forms upon the Department's request.
3. The Contractor shall, subject to approval by the Department, incorporate an opportunity to request a voter registration application into any application for services, renewal, or recertification for services and change of address relating to such services provided on computer terminals, the World Wide Web or the Internet. Any person indicating that they wish to be sent a voter registration form via computer terminals, the World Wide Web or the Internet shall be sent such a form by the Contractor or be directed, in a manner subject to approval by the Department, to a link on that system where such a form may be downloaded.
4. The Contractor shall, at the earliest practicable or next regularly scheduled printing of its own forms, subject to approval by the Department, physically incorporate the voter registration forms with its own application forms in a manner that permits the voter registration portion to be detached therefrom. Until such time when the Contractor amends its form, the Contractor should affix or include a postage-paid City Board of Elections voter registration form to or with its application, renewal, recertification, and change of address forms.
5. The Contractor shall prominently display in its public office, subject to approval by the Department, promotional materials designed and approved by the City or State Board of Elections.
6. For the purposes of Paragraph A of this Section, the word "Contractor" shall be deemed to include subcontractors having regular contact with the public in the daily administration of their business.
7. The provisions of Paragraph A of this Section shall not apply to services that must be provided to prevent actual or potential danger to life, health, or safety of any individual or of the public.

C. Assistance in Completing Voter Registration Forms. In accordance with Charter § 1057-a, the Contractor hereby agrees as follows:

1. In the event the Department provides assistance in completing distributed voter registration forms, the Contractor shall also provide such assistance, in the manner and to the extent specified by the Department.
2. In the event the Department receives and transmits completed registration forms from applicants who wish to have the forms transmitted to the City Board of Elections, the Contractor shall

similarly provide such service, in the manner and to the extent specified by the Department.

3. If, in connection with the provision of services under this Agreement, the Contractor intends to provide assistance in completing distributed voter registration forms or to receive and transmit completed registration forms from applicants who wish to have the forms transmitted to the City Board of Elections, the Contractor shall do so only by prior arrangement with the Department.
4. The provision of Paragraph B services by the Contractor may be subject to Department protocols, including protocols regarding confidentiality.

D. Required Statements. In accordance with Charter § 1057-a, the Contractor hereby agrees as follows:

1. The Contractor shall advise all persons seeking voter registration forms and information, in writing together with other written materials provided by the Contractor or by appropriate publicity, that the Contractor's or government services are not conditioned on being registered to vote.
2. No statement shall be made and no action shall be taken by the Contractor or an employee of the Contractor to discourage an applicant from registering to vote or to encourage or discourage an applicant from enrolling in any particular political party.
3. The Contractor shall communicate to applicants that the completion of voter registration forms is voluntary.
4. The Contractor and the Contractor's employees shall not:
 - a. seek to influence an applicant's political preference or party designation;
 - b. display any political preference or party allegiance;
 - c. make any statement to an applicant or take any action the purpose or effect of which is to discourage the applicant from registering to vote; or
 - d. make any statement to an applicant or take any action the purpose or effect of which is to lead the applicant to believe that a decision to register or not to register has any bearing on the availability of services or benefits.

E. The Contractor, as defined above and in this Agreement, agrees that the covenants and representations in this Section are material conditions of this Agreement.

F. The provisions of this Section do not apply where the services under this Agreement are supported by a federal or State grant of funds and the source of funds prohibits the use of federal or State funds for the purposes of this Section.

Section 13.07 Participation in an International Boycott

- A. The Contractor agrees that neither the Contractor nor any substantially-owned affiliated company is participating or shall participate in an international boycott in violation of the provisions of the federal Export Administration Act of 1979, as amended, 50 U.S.C. Appendix. §§ 2401 et seq., or the regulations of the United States Department of Commerce promulgated thereunder.
- B. Upon the final determination by the Commerce Department or any other agency of the United States as to, or conviction of, the Contractor or a substantially-owned affiliated company thereof, of participation in an international boycott in violation of the provisions of the Export Administration Act of 1979, as amended, or the regulations promulgated thereunder, the Comptroller may, at his or her option, render forfeit and void this Agreement.

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- C. The Contractor shall comply in all respects, with the provisions of Admin. Code § 6-114 and the rules issued by the Comptroller thereunder.

Section 13.08 MacBride Principles

- A. In accordance with and to the extent required by Admin. Code § 6-115.1, the Contractor stipulates that the Contractor and any individual or legal entity in which the Contractor holds a ten percent (10%) or greater ownership interest and any individual or legal entity that holds a ten percent (10%) or greater ownership interest in the Contractor either (a) have no business operations in Northern Ireland, or (b) shall take lawful steps in good faith to conduct any business operations they have in Northern Ireland in accordance with the MacBride Principles, and shall permit independent monitoring of their compliance with such principles.
- B. The Contractor agrees that the covenants and representations in Paragraph A above are material conditions to this Agreement.
- C. This Section does not apply if the Contractor is a not-for-profit corporation.

Section 13.09 Access to Public Health Insurance Coverage Information

- A. Participating Agencies. Pursuant to Charter § 1069, if this Agreement is with a participating City agency and the Contractor is one to whom this Section applies as provided in Paragraph B of this Section, the Contractor hereby agrees to fulfill the obligations in Paragraph C of this Section. The participating City agencies are: the Administration for Children’s Services; the City Clerk; the Commission on Human Rights; the Department for the Aging; the Department of Corrections; the Department of Homeless Services; the Department of Housing Preservation and Development; the Department of Juvenile Justice; the Department of Health and Mental Hygiene; the Department of Probation; the Department of Social Services/Human Resources Administration; the Taxi and Limousine Commission; the Department of Youth and Community Development; the Office to Combat Domestic Violence; and the Office of Immigrant Affairs.
- B. Applicability to Certain Contractors. This Section shall be applicable to a Contractor operating pursuant to an Agreement which (i) is in excess of \$250,000 and (ii) requires such Contractor to supply individuals with a written application for, or written renewal or recertification of services, or request for change of address form in the daily administration of its contractual obligation to such participating City agency. “Contractors” to whom this Section applies shall be deemed to include subcontractors if the subcontract requires the subcontractor to supply individuals with a written application for, or written renewal or recertification of services, or request for change of address form in the daily administration of the subcontractor’s contractual obligation.
- C. Distribution of Public Health Insurance Pamphlet. In accordance with Charter §1069, when the participating City agency supplies the Contractor with the public health insurance program options pamphlet published by the Department of Health and Mental Hygiene pursuant to Section 17-183 of the Admin. Code (hereinafter “pamphlet”), the Contractor hereby agrees as follows:
1. The Contractor will distribute the pamphlet to all persons requesting a written application for services, renewal or recertification of services or request for a change of address relating to the provision of services.
 2. The Contractor will include a pamphlet with any Contractor communication sent through the United States mail for the purpose of supplying an individual with a written application for services, renewal or recertification of services or with a request for a change of address form relating to the

provision of services.

3. The Contractor will provide an opportunity for an individual requesting a written application for services, renewal or recertification for services or change of address form relating to the provision of services via the Internet to request a pamphlet, and will provide such pamphlet by United States mail or an Internet address where such pamphlet may be viewed or downloaded, to any person who indicates via the Internet that they wish to be sent a pamphlet.
4. The Contractor will ensure that its employees do not make any statement to an applicant for services or client or take any action the purpose or effect of which is to lead the applicant or client to believe that a decision to request public health insurance or a pamphlet has any bearing on their eligibility to receive or the availability of services or benefits.
5. The Contractor will comply with: (i) any procedures established by the participating City agency to implement Charter §1069; (ii) any determination of the commissioner or head of the participating City agency (which is concurred in by the commissioner of the Department of Health and Mental Hygiene) to exclude a program, in whole or in part, from the requirements of Charter § 1069; and (iii) any determination of the commissioner or head of the participating City agency (which is concurred in by the commissioner of the Department of Health and Mental Hygiene) as to which Workforce Investment Act of 1998 offices providing workforce development services shall be required to fulfill the obligations under Charter § 1069.

D. Non-applicability to Certain Services. The provisions of this Section shall not apply to services that must be provided to prevent actual or potential danger to the life, health or safety of any individual or to the public.

ARTICLE 14. MISCELLANEOUS PROVISIONS

Section 14.01 Conditions Precedent

- A. This Agreement shall be neither binding nor effective unless and until it is registered pursuant to Charter §328.
- B. The requirements of this Section shall be in addition to, and not in lieu of, any approval or authorization otherwise required for this Agreement to be effective and for the expenditure of City funds.

Section 14.02 Merger

This written Agreement contains all the terms and conditions agreed upon by the parties, and no other agreement, oral or otherwise, regarding the subject matter of this Agreement shall be deemed to exist or to bind either of the parties, or to vary any of the terms contained in this Agreement, other than a written change, amendment or modification duly executed by both parties pursuant to Article 9 of this Appendix A.

Section 14.03 Headings

Headings are inserted only as a matter of convenience and therefore are not a part of and do not affect the substance of this Agreement.

Section 14.04 Notice

- A. The Contractor and the Department hereby designate the business addresses specified at the beginning of this Agreement as the places where all notices, directions, or communications from one such party to the other party shall be delivered, or to which they shall be mailed. Either party may change its notice address at any time by an instrument in writing executed and acknowledged by the party making such change and

delivered to the other party in the manner as specified below.

- B. Any notice, direction, or communication from either party to the other shall be in writing and shall be deemed to have been given when (i) delivered personally; (ii) sent by certified mail, return receipt requested; (iii) delivered by overnight or same day courier service in a properly addressed envelope with confirmation; or (iv) sent by fax or email and, unless receipt of the fax or e-mail is acknowledged by the recipient by fax or e-mail, deposited in a post office box regularly maintained by the United States Postal Service in a properly addressed, postage prepaid envelope.
- C. Nothing in this Section shall be deemed to serve as a waiver of any requirements for the service of notice or process in the institution of an action or proceeding as provided by Law, including the New York Civil Practice Law and Rules.