

**Michael W. Bloomberg**  
Mayor

The City of New York  
Department of Transportation  
Division of Bridges

**Iris Weinshall**  
Commissioner

## **REQUEST FOR PROPOSALS**

**FOR**

**RESIDENT ENGINEERING INSPECTION SERVICES  
IN CONNECTION WITH**

**RECONSTRUCTION OF WILLIS AVENUE BRIDGE OVER THE HARLEM RIVER  
AND WILLIS AVENUE BRIDGE OVER THE MAJOR DEEGAN EXPRESSWAY (I-87)  
BOROUGHES OF MANHATTAN & THE BRONX**

**CONTRACT NO.: BRCR076A**

**PIN: 84106MBBR101**

**RELEASE DATE OF THE RFP: February 6, 2006**

**CONSTRUCTION COST: \$339,000,000**

**ANTICIPATED CONTRACT TERM: 1550 Consecutive Calendar Days from the Date of Written Notice to Proceed plus 400 Consecutive Calendar Days after final completion of the Construction Contract.**

### **AUTHORIZED AGENCY CONTACT PERSON**

Proposers are advised that the Authorized Agency Contact Person for all matters concerning this Request for Proposal is:

**Dr. Paul-Michael Kazas**  
Director, Capital Procurement  
2 Rector Street, 8th Floor  
New York, NY 10006  
Telephone: (212) 442-7654  
Fax: (212) 442-9885



**New York City  
Department of Transportation**

Agency Chief Contracting Officer  
40 Worth Street, Room #1228  
New York, New York 10013  
Tel: 212/442-7749  
Fax: 212/442-7449

**Iris Weinshall, Commissioner**

Web: [www.nyc.gov/dot](http://www.nyc.gov/dot)

February 6, 2006

Re: Request for Proposals for  
Resident Engineering Inspection Services  
In Connection with Reconstruction of Willis Avenue Bridge over the Harlem River  
And Willis Avenue Bridge over the Major Deegan Expressway (I-87)  
Boroughs of Manhattan & the Bronx  
Contract No. BRCR076A  
PIN 84106MBBR101

To Whom It May Concern:

I am pleased to invite your organization to submit a proposal for Resident Engineering Inspection Services to assist the Division of Bridges with its Capital Infrastructure Improvement Program. Specifically, the proposal will be for Engineering Services in connection with the above noted contract.

Please be advised that a Pre-Proposal Conference has been scheduled for February 16, 2006 at 11:00 AM 2 Rector Street, 8<sup>th</sup> Flr. Conference Room. Due to limited space, no more than (2) representatives from each interested firm will be permitted to attend.

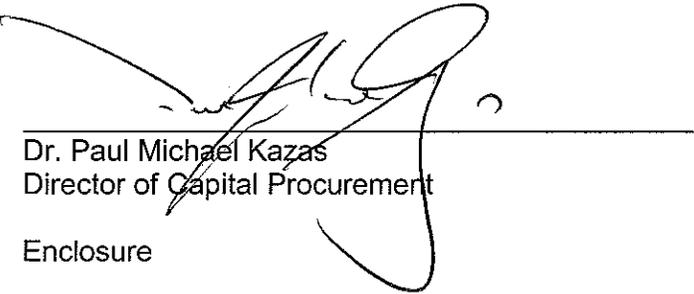
Enclosed for your use in developing your proposal is a set of forms with instructions for the above-referenced project. Be further advised that the selected proposer should not subcontract more than 49% of the contract work. You should follow the submittal instructions carefully.

You should hand deliver your proposal, as indicated in Section IV of the RFP, to the **NYC Department of Transportation, Contract Section, 8th Floor - Room 824A, 40 Worth Street, New York, New York 10013 on or before March 8, 2006 between the hours of 9:00am and 2:00pm only on business days.**

In order that we can expeditiously disseminate additional information regarding this RFP, please complete the attached "**ACKNOWLEDGEMENT OF RECEIPT OF REQUEST FOR PROPOSALS FORM**" and return to Dr. Paul Michael Kazas within 48 Hours of receipt of this RFP by Fax: (212) 442-9885.

If you have any questions concerning this invitation please call (212) 442-7654.

Very truly yours,

  
\_\_\_\_\_  
Dr. Paul Michael Kazas  
Director of Capital Procurement

Enclosure

**ACKNOWLEDGEMENT OF RECEIPT OF REQUEST FOR PROPOSALS**

**WE STRONGLY RECOMMEND THAT YOU FAX THIS SHEET TO US TO ENSURE THAT YOU RECEIVE ALL  
FUTURE ADDENDA  
ATTN.: DR. PAUL-MICHAEL KAZAS- FAX: (212) 442-9885**

**WE WILL PARTICIPATE IN THE RFP - SEND ANY TECHNICAL ADDENDA TO THE CONTACT PERSON LISTED BELOW:**

|  |       |         |
|--|-------|---------|
| Consultant:  |       |         |
| Address:   |       |         |
| City   | State | ZIP     |
| Contact Person:  |       | Phone # |
| RFP Contract Number (Fill in): Contract No. BRCR076A, PIN 84106MBBR101   |       | Fax #   |
| RFP Contract Title (Fill in): Resident Engineering Inspection Services In Connection with Reconstruction of Willis Avenue Bridge over the Harlem River and Willis Avenue Bridge over the Major Deegan Expressway (I-87)Boroughs of Manhattan & the Bronx |       |         |

**OR**

**WE DO NOT PLAN TO SUBMIT A PROPOSAL, BECAUSE (Please check as many as apply).**

Please check **all** the reasons that apply and return this form to Dr. Paul Michael Kazas  
Fax: (212)442-9885.

- 1) Size of this contract is not within the interest of consultant.
- 2) Consultant had an insufficient amount of time to prepare proposal. (Please give the date that the Consultant acquired RFP and any other pertinent information.)
- 3) Contract work not within the specialty of the Consultant. (Please cite Consultant's area of specialty.)
- 4) Other. (Please explain in comment section below.)
- 5) Please remove me from your solicitation list.

|   |
|---|
| Comments: (Please use additional sheets if necessary) |
|   |
|   |
|   |

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Title

**TABLE OF CONTENTS:**

**PAGE #**

|                    |   |            |
|--------------------|---|------------|
| <b>SECTION I</b>   | <b><u>TIMETABLE</u></b>   | <b>2</b>   |
|                    | A) Release Date of the Request for Proposals<br>B) Pre-Proposal Conference<br>C) Site Visit and/or Inspection of Materials<br>D) Proposal Due Date, Time and Location<br>E) Anticipated Contract Start Date |            |
| <b>SECTION II</b>  | <b><u>SUMMARY OF THE REQUEST FOR PROPOSAL</u></b>   | <b>3</b>   |
|                    | A) Purpose of the RFP<br>B) Anticipated Contract Term<br>C) Anticipated Payment Structure   |            |
| <b>SECTION III</b> | <b><u>SCOPE OF SERVICES</u></b>   | <b>4</b>   |
|                    | A) Agency Goals and Objectives<br>B) Agency Assumptions Regarding Consultant Approach   |            |
| <b>SECTION IV</b>  | <b><u>FORMAT AND CONTENT OF THE PROPOSAL</u></b>  | <b>5-7</b> |
|                    | A) Proposal Format<br>1) Procedural Forms<br>2A) Proposal Forms<br>2B) Proposal Narrative<br>3) Cost Proposal<br>B) Proposal Package Contents (“Checklist”)   |            |
| <b>SECTION V</b>   | <b><u>PROPOSAL EVALUATION<br/>AND CONTRACT AWARD PROCEDURES</u></b>   | <b>8</b>   |
|                    | A) Evaluation Procedures<br>B) Evaluation Criteria<br>C) Basis for Contract Award   |            |
| <b>SECTION VI</b>  | <b><u>GENERAL INFORMATION TO PROPOSERS</u></b>  | <b>9</b>   |
| <b>SECTION VII</b> | <b><u>ATTACHMENTS</u></b>   |            |
|                    | A) Proposed Contractual Agreement<br>B) General Provisions (Appendix A)<br>C) Procedural Forms Packet<br>D) Proposal Forms Packet<br>E) Cost Proposal Forms Packet  |            |



## **SECTION II - SUMMARY OF THE REQUEST FOR PROPOSALS**

### **A. Purpose of the RFP**

The Agency is seeking an appropriately qualified vendor to provide Resident Engineering Inspection Services in Connection with Reconstruction of Willis Avenue Bridge over the Harlem River and Willis Avenue Bridge over Major Deegan Expressway.

### **B. Anticipated Contract Term**

It is anticipated that the term of the contract awarded from this RFP will be **1550** Consecutive Calendar Days from the date of written Notice to Proceed plus **400** Consecutive Calendar Days after the final completion of construction.

The anticipated period of construction contract term is **1550** Consecutive Calendar Days.

### **C. Anticipated Payment Structure**

It is anticipated that the payment structure for the contract awarded from this RFP will be based on a combination of direct technical salary costs times a multiplier, specified direct costs subject to an overall "not-to-exceed" fee (upset amount) and performance outcome measures and related financial incentives and/or disincentives. The multiplier shall be applied only to technical salary costs and shall be considered as including provisions for indirect costs (overhead) and profit. However, DOT will consider proposals to structure payment in a different manner and reserves the right to select any payment structure that is in the City's best interest.

## **SECTION III : SCOPE OF SERVICES**

### **A. Agency Goals and Objectives**

The agency's goals and objectives are to have Resident Engineering Inspection Services to be performed by the Consultant are to ensure that the work of the Contractor conforms to the provisions of the contract documents.

### **B. Agency Assumptions Regarding Consultant Approach**

The agency's assumptions regarding which approach will best achieve the goals and objectives set out above are reflected in the Proposed Contractual Agreement. (See Attachment A)

## SECTION IV: FORMAT AND CONTENT OF THE PROPOSAL

**Instructions:** Proposers should provide all the information requested in the format below.

The RFP package should consist of three (3) individually sealed components as listed below, each bound in an 8 1/2" x 11" plastic spiral binding. No pictures or drawings should be included, except for the cover. The cover should be hard cardboard or laminated plastic, the cover should feature the name of the responding firm(s) and the contract name and number. Responses should be typed using 12 point font. Responses on pre-printed forms should be no smaller than 8 point font, and then only when necessary. The response may include a one page bound transmittal letter, which summarizes the respondent's understanding of the project and its ability to successfully accomplish the job. Each section should be tabbed and labeled to correspond with each section listed (i.e. 1T, 2T, 3T, 4T, 5T, 6T, 7T, Form 4T1, Form 4T2 and 4T3.).

The proposal will be evaluated on the basis of its content, not length.

### **A. Proposal Format**

#### **Component 1:                    Procedural Forms**

A Procedural Forms packet has been supplied with this Request for Proposals and should be fully completed and included in the proposal package as follows:

|                |                                   |
|----------------|-----------------------------------|
| <b>FORM 1P</b> | <b>PROPOSAL COVER LETTER</b>      |
| <b>FORM 2P</b> | <b>ACKNOWLEDGEMENT OF ADDENDA</b> |
| <b>FORM 3P</b> | <b>AFFIRMATION FORM</b>           |

The Original Procedural Forms Packet should include all completed Procedural forms, required procedural documents, signed certifications and Supplementary information.

#### **Component 2A:                    Proposal Forms**

A Proposal Forms Packet has been supplied with this Request for Proposals and should be fully completed and included in the proposal package as follows:

|                 |  |
|-----------------|--|
| <b>FORM 1T</b>  | <b>QUALITY &amp; RELEVANCE OF PRIOR EXPERIENCE<br/>(FIRM IN GENERAL)</b> |
| <b>FORM 2T</b>  | <b>PROPOSED STAFF (RESUMES)</b>  |
| <b>FORM 3T</b>  | <b>STAFF EXPERIENCE</b>  |
| <b>FORM 4T</b>  | <b>JOB TITLES &amp; HOURS PROPOSED</b>                                   |
| <b>FORM 5T</b>  | <b>OVERALL APPROACH</b>  |
| <b>FORM 6T</b>  | <b>NYCDOT CURRENT WORKLOAD DISCLOSURE (2 PGS.)</b>                       |
| <b>FORM 7T</b>  | <b>DBE PARTICIPATION</b>   |
| <b>FORM 254</b> | <b>STANDARD FORM</b>   |
| <b>FORM 255</b> | <b>STANDARD FORM</b>   |

#### **Component 2B:                    Proposal Narrative**

In the case that the proposer was the prime consultant or a sub-consultant on the TD/CSS contract for Reconstruction of Willis Avenue Bridge over the Harlem River and Willis Avenue Bridge over the Major Deegan Expressway (I-87), or where any proposed sub-consultant, either substantially or incidentally performed on that contract, attach a narrative addressing the following:

- Demonstrate that the proposer, and/or each proposed sub-consultant that substantially performed on the TD/CSS contract, if any, has no conflict of interest that would prevent them from performing properly on the related REI contract (e.g., the firm(s) would appropriately identify any design flaws associated with the cited project). In addition, submit a written affirmation from the proposer, and/or from each sub-contractor attesting to the same.

- Demonstrate that the work of each proposed sub-consultant that incidentally performed on the TD/CSS contract, if any, was, in fact, incidental and that each has no conflict of interest that would prevent them from performing properly on the related REI contract. In addition, submit a written affirmation from each such sub-contractor attesting the same.

**Component 3: Cost Proposal**

A Cost Proposal Forms Packet has been supplied with this Request for Proposals and should be fully completed and included in the proposal package as follows:

**Cost Proposal**

**FORM 4T1      LABOR COST PROPOSAL\***  
**FORM 4T2      COST PROPOSAL SUMMARY\***  
**FORM 4T3      PERFORMANCE OUTCOME MEASURES & FINANCIAL  
 INCENTIVES AND/OR DISINCENTIVES**

**NOTE:\* FORM 4T1 (COLUMNS 3, 4 AND 5), AND FORM 4T2 ARE TO BE COMPLETED AND SUBMITTED AS PART OF YOUR COST PROPOSAL PACKET.**

**Performance Outcome Measures and Financial Incentives and/or Disincentives**

Performance outcome measures and their related financial incentives and/or disincentives should be proposed in Form 4T3. List and describe desired performance outcomes or targets for the work to be performed by the proposer under the contract along with the related financial incentives and/or disincentives that could potentially be applied to the contract. While the proposer's proposed performance outcome measures and related financial incentives and/or disincentives will not be scored, they may be considered by the agency while awarding the contract and structuring its payments to the consultants.

All components should be individually sealed and labeled (i.e., Component 1, Component 2A, Component 2B, Component 3) to indicate the contents of each package and placed in an outer envelope or wrapper. Address all component packages, outer envelopes or wrappers as follows:

|  |  |
|--|--|
| Proposer's Name<br>Address   | NYCDOT Contract Section<br>40 Worth Street<br>8th Floor, Room 824A<br>New York, New York 10013 |
| PIN No. 84106MBBR101<br>CONTRACT NO. BRCR076A<br>RESIDENT ENGINEERING INSPECTION SERVICES IN CONNECTION WITH<br>RECONSTRUCTION OF WILLIS AVENUE BRIDGE OVER THE HARLEM RIVER<br>AND WILLIS AVENUE BRIDGE OVER THE MAJOR DEEGAN EXPRESSWY (I-87)<br>BOROUGHS OF MANHATTAN & THE BRONX<br>PROPOSAL SUBMISSION DEADLINE IS MARCH 8, 2006<br>NO LATER THAN 2:00 PM |  |

The individually sealed proposals should be submitted at the time and place as indicated in Section I, Timetable.

**B. Proposal Package Contents (“Checklist”)**

**CHECKLIST FOR RFP**

**The Proposal Packet should contain the following materials. Proposers should utilize this section as a checklist to ensure completeness prior to submitting their proposal to the Agency.**

**COMPONENT 1 – Submit one original set**

- 1P Proposal Cover Letter
- 2P Acknowledgment of Addenda
- 3P Affirmation Form

**COMPONENT 2A – Submit one original and three copies**

- 1T Quality and Relevance of Prior Experience (Firm in General)
- 2T Proposed Staff (Resumes)
- 3T Staff Experience
- 4T Job Titles and Hours Proposed
- 5T Overall Approach
- 6T NYCDOT Workload Disclosure (2 pgs.)
- 7T DBE Participation
  
- 254 Standard Form
  
- 255 Standard Form

- COMPONENT 2B: NARRATIVE – Submit one original and three copies**

**COMPONENT 3: COST PROPOSAL – Submit one original and three copies**

- 4T-1 Labor Cost Proposal
- 4T-2 Cost Proposal Summary
- 4T-3 Performance Outcome Measures and Financial Incentives and/or Disincentives

## **SECTION V: PROPOSAL EVALUATION AND CONTRACT AWARD PROCEDURES**

### **A. Evaluation Procedures.**

All proposals accepted by the Agency will be reviewed to determine whether they are responsive or non-responsive to the requirements of this RFP. Proposals that are determined by the agency to be non-responsive will be eliminated from further consideration. The agency's Consultant Selection Committee will evaluate and rate all responsive proposals based on the Evaluation Criteria prescribed below.

The ratings by the CSC members will be added and averaged for each firm in order to establish the technical evaluation ranking and ratings. Based on these ranks at least the top three (3) rated proposers and any other proposer whose rating is within five (5%) percent of the third ranked proposer will be shortlisted. In case where less than three (3) proposals are received NYCDOT will determine whether it will continue the selection process with fewer proposals or re-issue the RFP.

Based on the nature of the solicitation, NYCDOT will require proposers to give oral or visual presentations in support of their proposals or to exhibit or otherwise demonstrate or clarify the information contained in their proposals. Subsequent to any such presentations, the CSC will prepare revised rating sheets.

Although discussions may be conducted with proposers submitting acceptable proposals, the agency reserves the right to award contracts on the basis of initial proposals received, without discussions; therefore, the proposer's initial proposal should contain its best programmatic and cost terms.

### **B. Evaluation Criteria.**

|  |           |
|--|-----------|
| 1. Quality & Relevance of Prior Experience |           |
| - Proposed staff (Resumes)                 | 35%       |
| - Firm in general                          | 20%       |
| 2. Quality of Proposal                     |           |
| - Overall (project understanding)          | 20%       |
| - Approach                                 | 15%       |
| - Innovation                               | 5%        |
| 3. Workload/ Staff Availability            | <u>5%</u> |
|  | 100%      |

### **C. Basis for Contract Award.**

In accordance with the New York City Charter, the Department of Transportation will award the contract to the responsible proposer whose proposal is determined to be the most advantageous to the City, taking into consideration the price and such other factors or criteria as are set forth in the Request for Proposals.

In the case that the proposer was the prime consultant or a sub-consultant on the TD/CSS for the Reconstruction of Willis Avenue Bridge over the Harlem River and Willis Avenue over the Major Deegan Expressway (I-87), or where any proposed sub-consultant, either substantially or incidentally performed on that contract, attach a narrative addressing the following:

- Demonstrate that the proposer, and/or each proposed sub-consultant that substantially performed on the TD/CSS contract, if any, has no conflict of interest that would prevent them from performing properly on the related REI contract (e.g., the firm(s) would appropriately identify any design flaws associated with the cited project). In addition, submit a written affirmation from the proposer, and/or from each sub-contractor attesting to the same.
  
- Demonstrate that the work of each proposed sub-consultant that incidentally performed on the TD/CSS contract, if any, was, in fact, incidental and that each has no conflict of interest that would prevent them from performing properly on the related REI contract. In addition, submit a written affirmation from each such sub-contractor attesting the same.

**SECTION VI - GENERAL INFORMATION TO PROPOSERS**

**A. Complaints.** The New York City Comptroller is charged with the audit of contracts in New York City. Any proposer who believes that there has been unfairness, favoritism or impropriety in the proposal process should inform the Comptroller, Office of Contract Administration, 1 Centre Street, Room 835, New York, NY 10007; the telephone number is (212) 669-3000. In addition, the New York City Department of Investigation should be informed of such complaints at its Investigations Division, 80 Maiden Lane, New York, NY 10038; the telephone number is (212) 825-5959.

**B. Applicable Laws.** This Request for Proposals 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, New York City Charter and New York City Procurement Policy Board (PPB) Rules. A copy of the PPB Rules may be obtained by contacting the PPB at (212) 788-7820.

**C. General Contract Provisions.** Contracts shall be subject to New York City's general contract provisions, in substantially the form that they appear in "Appendix A"- General Provisions Governing Contracts for Consultants, Professional and Technical Services' or , if the Agency utilizes other than the formal Appendix A, in substantially the form that they appear in the Agency's general contract provisions. If a copy of the applicable document is not attached, it is available through the Authorized Agency Contact Person.

**D. Contract Award.** Contract award is subject to each of the following applicable conditions: New York City Fair Share Criteria; New York City MacBride Principles Law; submission by the proposer of the New York City Department of Business Services/Division of Labor Services Employment Report and certification by that office; submission by the proposer of the requisite VENDEX Questionnaires/Certificate of No Change and review of the information contained therein by the New York City Department of Investigation; all other required oversight approvals; applicable provisions of federal, state and local laws and executive orders requiring affirmative action and equal employment opportunity; and Section 6-108.1 of the New York City Administrative Code relating to the Local Based Enterprises program and its implementation rules.

**E. Proposer Appeal Rights.** Pursuant to New York City's Procurement Policy Board Rules, proposers have the right to appeal agency non-responsiveness determinations and agency non-responsibility determinations and to protest an agency's determination regarding the solicitation or award of a contract.

**F. 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.

**G. Prompt Payment Policy.** Pursuant to the New York City's Procurement Policy Board Rules, it is the policy of the City to process contract payments efficiently and expeditiously.

**H. Prices Irrevocable.** Prices proposed by the proposer shall be irrevocable until contract award, unless the proposal is withdrawn. Proposals may only be withdrawn by submitting a written request to the agency prior to contract award but after the expiration of 90 days after the opening of proposals. This shall not limit the discretion of the agency to request proposers to revise proposed prices through the submission of best and final offers and/or the conduct of negotiations.

**I. Confidential, Proprietary Information or Trade Secrets.** Proposers should give specific attention to the identification of those portions of their proposals that they deem to be confidential, proprietary information or trade secrets and provide any justification of 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.

**J. RFP Postponement/Cancellation.** The agency reserves the right to postpone or cancel this RFP, in whole or in part, and to reject all proposals.

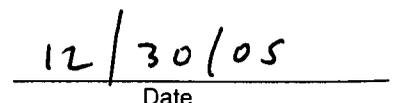
**K. Proposer Costs.** Proposers will not be reimbursed for any costs incurred to prepare proposals.

**L. Charter Section 312(a) Certification.**

The New York City Department of Transportation has determined that the contract to be awarded through this Request for Proposals (PIN 84106MBBR101) for Resident Engineering Inspection Services in Connection With Reconstruction of Willis Avenue Bridge over the Harlem River and Willis Avenue Bridge over the Major Deegan Expressway (I-87) will not directly result in the displacement of any New York City employee.



Assistant Commissioner Signature



Date

## **SECTION VII**

### **ATTACHMENTS**

- A) Proposed Contractual Agreement**
- B) General Provisions (Appendix A)**
- C) Procedural Forms Packet**
- D) Proposal Forms Packet**
- E) Cost Proposal Forms Packet**

## **SECTION VII**

### **A) PROPOSED CONTRACTUAL AGREEMENT**

**FOR RECONSTRUCTION OF WILLIS AVENUE BRIDGE OVER THE HARLEM RIVER AND  
WILLIS AVENUE BRIDGE OVER THE MAJOR DEEGAN EXPRESSWAY**

**BOROUGHES OF MANHATTAN & THE BRONX**

**CONTRACT NO.: BRCR076A**

**PIN: 84106MBBR101**

**RESIDENT ENGINEERING AND INSPECTION SERVICES**

**In Connection with**

**RECONSTRUCTION OF WILLIS AVENUE BRIDGE OVER THE HARLEM RIVER  
AND WILLIS AVENUE BRIDGE OVER THE MAJOR DEEGAN EXPRESSWAY (I-87)  
BIN 2-24005-9/A/B & BIN 1-06676-0  
BOROUGHES OF MANHATTAN & THE BRONX  
CONTRACT NO.: BRCR076A  
PIN: 84106MBBR101**

**SCOPE OF REI WORK**

**NYSDOT Coordination** – The Replacement of the Willis Avenue Bridge project includes an adjacent NYSDOT bridge replacement project. The existing bridge carrying Willis Avenue over the Major Deegan Expressway which is located immediately adjacent to the terminus of the Willis Avenue Bridge approach in the Bronx will be reconstructed under this contract. In addition, a new connector ramp bridge structure to the northbound Major Deegan Expressway and adjacent at-grade modifications, including pedestrian/bicycle amenities will also be constructed under this contract. A scope of work for the NYSDOT portion of the project is included separately.

The scope of work for the Replacement of the Willis Avenue Bridge over the Harlem River shall include, but not be limited to, the following elements:

**DEMOLITION:**

Note: Certain items listed below for demolition may be retained or disposed of in a manner that is suitable for historical preservation. These items may include piers, steel truss flanking span, steel truss swing span, stone masonry or other parts of the existing structure. The specific items to be retained or disposed of in this manner will be determined prior to issuing of the Willis Avenue Bridge contract documents.

**Superstructure:**

The entire approach ramp from FDR including concrete cellular spans, walls, concrete deck, sidewalk, support beams, girders and stairs, is to be demolished.

The entire First Avenue approach ramp including, concrete deck, sidewalks, support beams and girders is to be demolished.

The entire swing span consisting of two trusses, steel stringers and floor beams, steel grating flooring, concrete deck, sidewalks, ring girder, turntable, control house and gate houses is to be demolished.

The entire through truss flanking span including two trusses, steel stringers and floor beams, steel grating flooring, concrete deck and sidewalks is to be demolished.

The entire Bronx approach spans over the Harlem River Yards including concrete deck, concrete beams, sidewalks, steel girders and floorbeams is to be demolished.

The entire Willis Avenue approach ramp including East abutment, granite faced retaining walls, concrete deck, sidewalks, concrete beams, steel girders, stairs and steel cap beams is to be demolished.

The entire Bruckner Boulevard approach ramp including concrete deck, concrete beams, steel girders, steel capbeams and granite faced retaining walls is to be demolished.

**Ramps on Fill:** The FDR approach ramp on grade and the First Avenue approach ramp on grade in Manhattan are to be demolished. The Willis Avenue approach ramp on grade and the Bruckner Boulevard approach ramp on grade are also to be demolished.

**Substructure:** The FDR approach ramp abutment and steel columns, First Avenue approach west and north abutments, granite walls and steel columns, swing span rest piers and pivot pier, submarine cable, through truss span support piers, Harlem River Yards masonry piers, Willis Avenue approach and Bruckner Boulevard approach steel columns and timber fender systems at the pivot pier and rest piers all are to be demolished.

### **NEW CONSTRUCTION:**

The off line replacement of the Willis Avenue Bridge project involves the construction of the following:

Manhattan Approaches: FDR Ramp and Mainline Approach from First Avenue

Mainline Bridge: Spans over Manhattan Bus Loop, Harlem River Drive, Manhattan Relieving Platform, Harlem River (fixed and swing span), Harlem River Rail Yards

Bronx Approaches: Bruckner Blvd. Ramp, Mainline Approach from Willis Avenue

### **Superstructure:**

A new FDR approach ramp structure in Manhattan will be provided. The new FDR approach ramp structure will begin at grade at the existing alignment of the ramp. The approach ramp will be a completely new structure providing access to the new Willis Avenue Bridge. Structure consists of eleven spans, composite reinforced concrete deck, concrete barriers, steel rolled sections and steel welded girders and transverse steel box girders.

Mainline structure begins at existing First Avenue approach. Structure starts at the West abutment and consists of five spans to pier 5 which is beginning of the swing span. The 5<sup>th</sup> span also carries the FDR approach. Structure consists of composite reinforced concrete deck, combined bikeway/sidewalk, barriers with railings and protective screening, steel welded girders, railings and protective screening, warning gates and barrier gates.

A new two truss swing span will be provided utilizing steel floor beams, stringers and partially filled concrete grating. A new control house will be provided. There is one combined use bikeway/sidewalk on the north side of the swing span with railings and protective screening.

Remainder of the Harlem River waterway span is a composite reinforced concrete deck, barriers, warning and barrier gates and combined use bikeway/sidewalk supported on welded steel plate girders.

Mainline structure over the Harlem River Yards is a three span structure with composite reinforced concrete deck, concrete barriers, combined bikeway/sidewalk, railings and protective fencing supported on welded steel box girders ('trapezoidal' or 'tub' girders).

Mainline structure continues over four spans to the Willis Avenue abutment in The Bronx. The structure is composite reinforced concrete deck, concrete barriers, supported on either welded steel box girders or welded steel plate girders.

Bruckner Boulevard approach ramp is a four span structure that ends at the Bruckner abutment. Structure is composite reinforced concrete deck, concrete barriers supported on welded steel plate girders.

There is a pedestrian ramp in Manhattan and stair structure in the Bronx. These structures are concrete deck, railings and protective fencing on steel beam supports.

### **Substructure:**

New abutments are being constructed in stages at the FDR, First Avenue, Willis Avenue and Bruckner approach ramps.

There are a wide variety of pier types including:

#### Manhattan

Piers A1-A10 and piers 1-3 are of the following types:

Solid concrete

Steel box cap beams on concrete columns

Concrete hammer head on concrete columns

Foundations are pile cap footings on HP steel bearing piles and/or bored in piles

#### River Crossing

Swing span rest piers and pier 4 at the Manhattan bulkhead line are reinforced concrete frame structures with stone masonry. They are founded on a concrete filled precast pier box and concrete drilled shafts.

Pivot pier is a reinforced concrete frame structure with stone masonry founded on a concrete filled precast pier box and concrete drilled shafts. There are navigation fenders around the pivot and rest piers and to protect navigation and the bridge structures.

During construction and in the final structure, there will be scour monitoring and scour countermeasures.

#### Bronx

Piers 8 through 11 are reinforced concrete frame structures with stone masonry founded on reinforced concrete pile cap footings and concrete drilled shafts.

Pier 12 is a reinforced concrete hammerhead pier. Piers 13 and 14 are reinforced concrete columns. These three piers are founded on reinforced concrete footings with micro piles

Pier B1 is a reinforced concrete pier on reinforced concrete footing and concrete drilled shafts.

Pier B2 is reinforced concrete cap beam on reinforced columns founded on reinforced concrete spread footings. Pier B3 is concrete columns on reinforced concrete spread footings.

## **MECHANICAL WORK:**

The Scope of Mechanical work shall include but is not limited to the following major systems, assemblies and components:

### **A) Removals**

1. Entire drive machinery
2. Entire end lift and center latch machinery
3. Entire Control House with all amenities
4. Entire Operator's House with all amenities
5. All Barrier Gates
6. All Warning Gates
7. Entire HVAC, Plumbing & Sanitary System
8. All Asbestos containing materials

### **B) New Work**

1. New entire drive machinery will operate bridge in both directions
2. New entire end lifts machinery
3. New center wedge machinery
4. New barrier gates
5. New warning gates
6. New span centering locks
7. Access for inspection, maintenance and lub of all machinery components including center pivot.
8. New emergency drive (hydraulic-diesel powered) and manual drive for all machinery as required
9. Spare parts and O/M manuals

## **ELECTRICAL WORK:**

The scope of electrical work shall include but is not limited to the following major systems, assemblies and components:

### **A) Removals**

The following existing electrical systems and assemblies shall be removed in their entirety including their associated electrical equipment and components:

1. Existing span motor drive system, including main drive motors, emergency drive motors, main motor brakes, emergency motor brakes, machinery brakes, power and control devices.
2. Existing lift system, including motors, brakes, power and control devices.
3. Existing center latch system, including motors, brakes, power and control devices.
4. Existing power distribution system, including customer's service equipment, sub-feeders, switchboards, panelboards, and motor control centers.
5. Existing operator's control and supervisory electrical system assemblies, including bridge operator's main control desk, operator's remote and local control stations.
6. Existing interior lighting and receptacle systems in the bridge operator's house, control house and machinery areas.
7. Existing traffic control system, including warning gates, barrier (resistance) gates, gongs, traffic lights, and their power and control devices.
8. Existing submarine cables, including submarine cable terminal cabinets.
9. Existing roadway lighting system, including controls.
10. Existing navigation light system, including navigation light fixtures, and their power and control devices.

## **B) New Work**

The following electrical systems and assemblies shall be furnished and installed including their associated equipment and components:

1. Span motor drive system including main drive motors, main motor brakes, machinery brakes, SCR drive, power and control devices.
2. End lift system, including power and control devices.
3. Centering lock system including power and control devices.
4. Power distribution system, including customer's service equipment, subfeeders, switchboards, panelboards and motor control centers.
5. Electrical equipment assemblies, including bridge operator's main control desk, programmable logic controller (PLC) operator's remote and local control stations.
6. Interior lighting and receptacle systems in the bridge operator's house, control house and machinery areas.
7. Traffic control system, including warning gates, barrier (resistance) gates, gongs traffic lights, and their power and control devices.
8. Submarine power and control cables, including submarine cable terminal cabinets.
9. Roadway and sidewalk lighting system, including controls.
10. Navigation light system, including navigation light fixtures and their power and control devices.
11. New communication system.
12. New fire alarm/security systems for control house and auxiliary bridge operators house.
13. New control house located on the swing span.
14. Emergency Drive System
15. Miscellaneous Systems
  - a) Receptacles
  - b) HVAC
  - c) CCTV for operations
  - d) ITS for Traffic Surveillance

## **ARCHITECTURAL WORK:**

Architectural work shall include demolition of the existing operator house and assistant bridge operator houses. New operator house and ABO house construction work shall include but is not limited to the following major components:

1. New auxiliary bridge operators house with all amenities including a complete plumbing system with hot water heater, CITY water supply and CITY sewer system plus HVAC system
2. New control house with HVAC system and all amenities

Other architectural features and treatments on the bridge include masonry piers, abutments, walls and railings.

## **ENVIRONMENTAL ENGINEER /SCIENTIST** **ENVIRONMENTAL INSPECTOR/INDUSTRIAL HYGIENIST**

Significant experience in both bridge demolition and waterway construction projects is required. All contaminated and hazardous materials shall be abated in accordance with all applicable standards and regulations.

The scope of work shall abatement of contaminated and hazardous materials shall include but not limited to:

- Asbestos containing materials on the bridge and approaches
- Bridge components and ancillary items that contain lead paint or products
- Handling of potentially contaminated materials and dewatering fluids encountered during excavation on land and in the river.

## **NAVAL ARCHITECT/MARINE ENGINEER**

The Naval Architect/Marine Engineer shall be experienced in the design and analysis of barge stability including load transfer/ballast adjustment and sea fastening.

## **HISTORIC ANALYST**

Coordinate and document the existing bridge components designated in the contract documents to be preserved. The Historic Analyst shall meet the National Parks Service Standards.

## **CSXT RAILROAD/HARLEM RIVER YARDS COORDINATOR**

Coordinate work schedule between the bridge construction and the operating railroad beneath the Bronx approach spans.

## **GEOTECHNICAL EXPERT**

The Geotechnical Expert shall be a licensed Professional Engineer (NY State) with significant experience in similar construction projects involving the installation and testing of Steel H-Piles, bored-in-piles and large diameter drilled shafts.

## **TIDAL/HYDRAULIC EXPERT**

The Tidal/Hydraulic Expert shall have significant experience in the analysis and interpretation of tidal data and hydraulic characteristics of large rivers, similar to the Harlem River.

**REQUIREMENTS: REI CONSTRUCTION SERVICES FOR MOVABLE BRIDGES.**

***These Inspection Services shall be Provided by the Consultant:***

### **ALL BRIDGE WORK INCLUDING MOVABLE SPAN AND APPROACH SPANS PLUS AT-GRADE WORK**

- **Consultant:** The consulting firm shall demonstrate satisfactory prior experience in Resident Engineering and Inspection Services for a major complex multi disciplined/movable bridge reconstruction project. Project shall have been completed in the last ten years and have a total construction cost of at least \$100 Million. Satisfactory prior experience is to be approved by NYCDOT-Bridges.
- **Services of Movable Bridges Expert:** During the construction, delivery, installation and testing of the new swing span, the Consultant shall provide a Movable Bridge Expert. Such expert shall be a Professional Engineer licensed in the State of New York and qualified as a specialist in construction and erection of recently constructed movable bridges (to be approved by NYCDOT). The responsibilities of the Movable Bridge Expert are to supervise all phases of fabrication, construction, installation and testing of the swing span including machinery assemblies, electrical drive and controls. These services are expected to be provided both off site and on site.
- **Resident Engineer:** The Resident Engineer shall be a licensed Professional Engineer in New York State and shall demonstrate satisfactory prior experience on a major multi disciplined and complex bridge reconstruction project/movable bridge construction project of a cost of at least \$100 Million completed within the past 10 years. Satisfactory experience is to be approved by NYCDOT-Bridges, Movable Bridge Group.
- **Deputy Resident Engineers:** Three (3) Deputy Resident Engineers (DRE1, DRE2 and DRE3) will be required to assist the Resident Engineer as follows:

- **DRE1 - Manhattan Approach:** The Deputy Resident Engineer (DRE1) shall be a licensed Professional Engineer in New York State and shall demonstrate satisfactory prior experience on a major multi disciplined and complex bridge reconstruction project of a cost of at least \$50 Million completed within the past 10 years. Responsibilities shall include all construction activities on the Manhattan approach and coordination with the other two DRE's.
- **DRE2 - Waterway Spans:** The Deputy Resident Engineer (DRE2) shall be a licensed Professional Engineer in New York State and shall demonstrate satisfactory prior experience on a major multi disciplined and complex movable bridge construction project of a cost of at least \$50 Million completed within the past 10 years. Responsibilities shall include all construction activities on the swing span and waterway spans and coordination with the other two DRE's.
- **DRE3 - Bronx Approach:** The Deputy Resident Engineer (DRE3) shall be a licensed Professional Engineer in New York State and shall demonstrate satisfactory prior experience on a major multi disciplined and complex movable bridge construction project of a cost of at least \$50 Million completed within the past 10 years. Responsibilities shall include all construction activities on the Bronx approach and coordination with the other two DRE's.

### **MECHANICAL WORK:**

Provide mechanical inspectors and Engineers which are qualified and trained personnel, specifically in machine fabrication, precise installation of gears, reducers, brakes, shafts etc. and certified welding inspectors. These personnel must be able to respond to every assignment as needed and in a timely fashion. The consultant shall furnish the necessary technical and administrative supervision to their employees and work cooperatively with NYCDOT personnel. The expected response time to an assignment is typically one to two days.

The consultant shall demonstrate that the inspection personnel who would actually perform the inspection and/or witness the mechanical work possess relevant experience in fabrication and installation of components for heavy movable structures, movable bridges or other related structures. Inspection tasks will include on-site installation, testing, and acceptance of the swing span mechanical, electrical and control systems.

The consultant shall submit resumes of such inspection and supervising personnel for review and approval by NYCDOT prior to the performance of any service.

Inspectors shall ascertain in advance that all fabrication, handling and delivery of the bridge machinery components are performed within the provisions of the contract documents, which include reference to all codes and standards listed under Quality Assurance in the Specifications. The list of codes and standards includes the NYS Steel Construction Manual and the NYSDOT Standard Specifications.

Certain mechanical inspection tasks will take place in foundries, forging and machine shops during the fabrication of various machinery components for the Willis Avenue Bridge, as well as at the job site. As required below and described in detail, the consultant will obtain the services of a mechanical inspection and testing firm to assist in the off-site inspection duties during fabrication and assembly.

Typically, the inspection tasks will include but will not be limited to the following:

- Engineering supervision, coordination and direction of the services of the off-site fabrication inspection firm.
- Quality inspection of castings, forgings, and machined components.
- Inspection of mechanical fits and tolerances, as well as dimensions and surface finishes according to approved shop drawings.

- Witness and review all material test reports, certificates of compliance and other related documentation pertaining to the physical, mechanical and chemical composition of individual components.
- Witness the assembly, operational and performance testing of machinery assemblies and sub assemblies.
- Perform visual quality inspection/witnessing of major finished coatings including painting and galvanizing. This also includes lubrication for the purpose of shipment and storage.
- Witness all field measurements and testing.

## **ELECTRICAL WORK**

Provide electrical inspectors and Engineers who are qualified and trained personnel specifically in the field of Power and Control Systems for Movable Bridge and Street Lighting Systems. The inspectors will monitor and inspect work being done in the shops and at the site using the Bureau's procedures, directives, specifications, and standards.

The work of the contractor shall be fully documented, as well the results of inspections, testing, and other significant events affecting the electrical work to ensure conformity with the plans, specifications, and other contract documents. All electrical work activity shall be monitored to the extent required to ensure conformance.

**THE CONSULTANT SHALL FURNISH THE NECESSARY TECHNICAL AND ADMINISTRATIVE SUPERVISION TO THEIR EMPLOYEES AND WORK COOPERATIVELY WITH NYCDOT PERSONNEL. THE EXPECTED RESPONSE TIME TO AN ASSIGNMENT IS TYPICALLY ONE TO TWO DAYS.**

The consultant shall demonstrate that the inspection personnel who would actually perform the inspection and/or witnessing of the work possess relevant experience in fabrication, installation, assembly, and testing of electrical components for movable bridges, heavy movable structures or other related structures.

Typically, these inspection tasks will take place in electrical shops during the fabrication, wiring, and testing of various electrical components for the subject bridge, as well as at the job site. This will include on site installation, testing and acceptance of swing span electrical, power, control and lighting systems.

The consultant shall submit resumes of such inspection and supervising personnel for review and approval by NYCDOT prior to the performance of any service.

Inspectors shall ascertain that all fabrication, wiring, installation, testing, handling and delivery of the bridge electrical components are performed as per schedule within the provisions of the contract documents, which include reference to all codes and standards listed under Quality Assurance in the specifications. The list of codes and standards includes the NYC Electrical Code, National Electric Code, NYS Steel Construction Manual and the NYSDOT Standard Specifications.

Typically, the inspection tasks will include, but will not be limited, to the following:

- Visual quality inspection, witnessing of components fabricated, assembled, and wired.
- Inspection/verification of electrical requirements and compatibility according to the approved shop drawings
- Visual quality inspection/ witnessing of electrical testing and installation including operations of the entire bridge operating and control system. Results of these tests shall meet the specification requirements.

- Witness and review all material test reports, certificates of compliance and other related documentation pertaining to conformance with requirements and functionality of individual components and assemblies.
- Inspection/witnessing of installation in the shops and at the job sites.
- Witness and review the results of all tests.
- Visual quality inspection/ witnessing of major finished coatings including painting, galvanizing and preparation for the purpose of shipment and storage.

### **ARCHITECTURAL WORK:**

Provide Architects and inspectors who will provide services to oversee the conformance with the architectural requirements of the Contract documents, NYSDOT, New York City Standards, in addition to other applicable code requirements of New York City. The inspectors will monitor and inspect work being done in the shops and at the site using the Bureau's procedures, directives, specifications, and standards. The work of the contractor shall be fully documented, as will results of inspections, testing, and other significant events affecting the architectural work, to ensure conformity with the plans, specifications, and other contract documents. All architectural work activity shall be monitored to the extent required to ensure conformance.

**THE CONSULTANT SHALL FURNISH THE NECESSARY TECHNICAL AND ADMINISTRATIVE SUPERVISION TO THEIR EMPLOYEES AND WORK COOPERATIVELY WITH NYCDOT PERSONNEL. THE EXPECTED RESPONSE TIME TO AN ASSIGNMENT IS TYPICALLY ONE TO TWO DAYS.**

The consultant shall demonstrate that the inspection personnel who would actually perform the inspection and/or witnessing of work possess relevant experience in fabrication, assembly, and testing of building materials and architectural components for movable bridges, heavy movable structures or other related structures. In addition, inspection personnel should be experienced in architectural work related to construction, rehabilitation and refurbishing of elements of historical significance such as gate houses, stone and masonry work, railings etc.

Typically, these inspection tasks will take place in shops, at the locations of off-site fabrication, during on-site installation, during the fabrication and construction of the operator house, assistant bridge operator house, machinery rooms, and including these and all other architectural components for the subject bridge, including masonry, railings, and mechanical work such as plumbing, heating, ventilation, and air conditioning.

The consultant shall submit resumes of such inspection personnel for review and approval by NYCDOT prior to the performance of any service.

Inspectors shall ascertain that all fabrication, installation, testing, handling and delivery of the bridge architectural components are performed as per schedule within the provisions of the contract documents, which include reference to all codes and standards, as applicable, listed under Quality Assurance in the Specifications. The list of codes and standards includes the NYC Electrical Code, National Electric Code, NYC Building Code, NYS Steel Construction Manual and the NYSDOT Standard Specifications.

Typically, the inspection tasks will include but will not be limited to the following:

- Visual quality inspection, witnessing of components fabricated, assembled, and installed.
- Inspection/verification of architectural requirements and compatibility according to the approved shop drawings. Some of the work will have historical significance and be treated with special methods to preserve original character and materials. Consultant shall provide Architect experienced in State & Federal guidelines to supervise construction, re-use, and/or preservation of historic elements of the bridge structure including gate houses, abutments, stone work etc.
- Visual quality inspection / witnessing of tests performed concerning the plumbing, heating, ventilation, and air conditioning systems. Results of these tests shall meet the specification requirements.

- Witness and review all material test reports, certificates of compliance and other related documentation pertaining to the conformance with requirements and functionality of individual components and assemblies.
- Inspection/witnessing of installation in the shops and at the job sites.
- Witness and review the results of all tests.
- Visual quality inspection/ witnessing of major finished coatings including painting, galvanizing and preparation for the purpose of shipment and storage.

***These Inspection Services shall be supplied by an Off Site Fabrication Inspection Firm***

The Consultant shall provide the services of a mechanical testing and inspection firm, **(to be paid from Out of Pocket Expenses)**, during machinery fabrication and assembly of reducers, gears, and associated forgings and castings as well as for any other items being fabricated for installation as part of the movable bridge. The firm providing the scope of services will, as a minimum, possess the following qualifications:

Inspectors – Inspectors shall have at least 10 years experience in quality assurance shop fabrication and machinery inspection and testing. Inspectors shall have a minimum of 10 years experience inspecting machinery items for heavy movable structures or similar items. AWS-CWI certification for machinery inspectors is desirable. Inspectors witnessing and/or performing non-destructive testing shall be certified ANST-Level II in the test method used. Inspectors inspecting welds shall be certified welding inspectors (AWS-CWI) with a minimum of 10 years experience performing weld inspections during fabrication of bridge components. Inspectors performing significant paint inspection shall have relevant SSPC or NACE certifications.

Engineering Staff – The firm shall have an engineering staff to manage and support the scope of services by providing technical assistance to resolve any fabrication and machining questions, issues or errors occurring during the course of the project. The engineering staff shall consist of at least one engineer with an engineering degree from a four year college per discipline in metallurgical, materials, welding, mechanical, electrical or other similar engineering disciplines with 10 to 15 years of experience managing similar inspection projects. The firm shall have an engineer possessing a bachelor degree in engineering with at least 10 years of welding engineering experience capable of providing review of welding procedures and characterizing weld defects. Other engineers required to support the inspections shall have at least 5 years of relevant experience. All personnel shall demonstrate familiarity and experience in working with Codes and Standards currently utilized by the department.

Specific inspection tasks include, but are not limited to, the following:

1. Perform initial review of fabrication contractor and subcontractor locations to verify the fabricator has necessary procedures, equipment, and personnel to manufacture items for the project.
2. Visual inspection of components fabricated by machining.
3. Verify mechanical fit up, dimensions, and surface finishes in accordance with approved shop drawings.
4. Witness the forging and casting processes at foundry locations and visual inspection of final part prior to rough and final machining.
5. Witness chemical and mechanical testing at foundries to verify proper procedures and equipment are used.
6. Witness heat treating operations including stress relieving, tempering and annealing, including any subsequent mechanical tests and collecting documentation of each process throughout.
7. Review all material test reports, certificates of compliance, and other project documentation related to the acceptability of material with respect to mechanical, physical, and chemical composition.

8. Witness any welding performed and verify welder qualification documentation. Witness and review results of any nondestructive testing of weldments, castings, and forgings.
9. Witness shop assembly and shop testing of major machinery assemblies.
10. Provide a visual inspection of any galvanized coating and lubrication.
11. Provide coating (i.e. paint) inspections verifying proper preparation, coating thickness, application methods and environmental conditions.
12. Witness shop shipping including loading and securing the item to verify it is not damaged during loading and is protected from damage during shipping.
13. Prepare reports as required.

Detail Specific Requirements for the intended services may be found in the attached copy of the proposed Contractual Agreement. For convenience, the following is a summary of the required services to be included in the Request for Proposal:

1. **Resident Engineering Inspection Services** for all items of work contained in the subject Construction Contract(s). This will include, but not be limited to, such elements as: supplying a full time Professional Engineer licensed in New York State to act as the Engineer-in-Charge/Resident for each construction job, supplying sufficient Inspection Personnel to perform services at an intensity level normally associated with this type of project, and supplying any additional personnel deemed necessary for the proper inspection of the project. When calculating your staffing, you should assume that each calendar year of construction contains **260 working days**.
2. **Material Testing Services** in accordance with the Standard Procedures of the New York City Department of Transportation will be required. However, the Engineer will be required to supply only those services for which no provisions have been made.
3. **Finalization Services** in accordance with the provisions of the contract, including submission of final payment package and final project records.

The scope of work for the Reconstruction of the Willis Avenue Bridge over the Major Deegan Expressway shall include, but not limited to, the following elements:

**Demolition:**

- Superstructure: The entire Willis Avenue over the Major Deegan Expressway Bridge including, concrete deck, sidewalks and girders is to be demolished.
- Ramp on Fill: The existing 135<sup>th</sup> Street entrance ramp to the Major Deegan Expressway on grade in the Bronx is to be demolished.
- Substructure: The Willis Avenue over the Major Deegan Expressway Bridge concrete pier and footing is to be demolished.

**Reconstruction:**

- Superstructure: The existing Willis Avenue over the Major Deegan Expressway will be rebuilt as two separate superstructures; one for roadway traffic and one for pedestrians. The Willis Avenue over the Major Deegan Bridge is a two-span prestressed concrete box beam superstructure with a concrete slab. The Willis Avenue Bikeway/Walkway over the Major Deegan Expressway Bridge is a two-span prestressed concrete slab unit superstructure with a concrete slab. The Willis Avenue Ramp to the Major Deegan Expressway is a completely new structure; a two-span steel curved girder superstructure with a concrete slab.

Ramp on Fill: The new 135<sup>th</sup> Street entrance ramp to the Major Deegan Expressway on grade in the Bronx will be reconstructed north of the existing ramp.

Substructure: The Willis Avenue over the Major Deegan Bridge and the Willis Avenue Bikeway/Walkway over the Major Deegan Expressway Bridge will have new concrete piers located in the median of the Major Deegan Expressway. The Willis Avenue Ramp to the Major Deegan Expressway will have new abutments and a concrete center pier with a pile footing. A modular retaining wall will be build along the Willis Avenue ramp adjacent to the Major Deegan Expressway.

## **GENERAL REQUIREMENTS**

- A. The Consultant shall provide continuous resident engineering and inspection services and testing of materials services, with a staff commensurate with the level of construction activity until completion and final acceptance of the Construction Contract work. In the event of a work stoppage or a winter shutdown, or as the situation warrants, the Consultant shall reduce his work force appropriately or as directed by the Commissioner. The relevant **Labor Cost Proposal Form(s) (Form 4T1)** of the General Requirements indicates the approximate level of competence required of the field and office operation staff, together with estimated durations of employment.
- B. The Consultant agrees to provide, to the satisfaction of the Commissioner, all necessary resident engineering and inspection services, and such testing of materials as may be required in connection with the actual construction of the project, which includes all general construction and incidental work, such that the completed construction conforms to the plans, specifications, and requirements of the contract and to good construction practice.

The Consultant specifically agrees that: (a) his subcontractors, agents or employees shall possess the experience, knowledge, and character necessary to qualify them individually for the particular duties they perform (b) the firm shall not subcontract more than 49% of the contract work; (c) he will comply with the provisions of the Labor Law and all State Laws and Federal and local statutes, ordinances and regulations that are applicable to the performance of the Agreement; and (d) he will secure all licenses and permits, if any, that are necessary for the performance of his duties under this contract. In fulfillment of provision (a) above, the Consultant shall submit a resume for each employee prior to assignment to the contract, for review and approval by the Chief Engineer for the Division of Bridges. Members of Consultant's staff who perform any work pursuant to this contract shall meet the following criteria in conformance with the New York State Engineering Licensure Statute. All engineering positions shall be staffed by engineers. No technician/technologist can fill an engineering position, however an engineer may fill any technician/technologist position.

In accordance with the American Society of Civil Engineers (ASCE) guidelines, ASCE titles are to be used for engineers who have graduated from an Accreditation Board for Engineering and Technology (ABET) recognized engineering program. ASCE defines nine (9) engineering grades, i.e. ASCE I/II through ASCE IX. ASCE IV and above requires a New York State Professional Engineer (PE) license. ASCE grades are applicable to all engineering disciplines.

The National Institute for Certification in Engineering Technologies (NICET) titles are allowed but cannot substitute ASCE titles. However, ASCE titles may replace NICET titles. NICET titles (i.e. NICET I, II, III, IV) were developed to certify various levels of technical competence. The role of NICET certified technicians and technologists is to assist engineers in discharging their responsibilities

Any violation of the above requirements may result in disqualification and removal of the Consultant from the project. In addition, sanctions may be imposed by the New York State Professional Engineering Licensure Board. Violation of the Engineering Licensure Law is a serious offense and carries maximum penalty of four (4) years of jail time.

- C. All technical data in regard to the Contract existing in the Office of the Commissioner or existing in the offices of the Consultant shall be made available to the other party to this Agreement without expense to such other party, or additional compensation to the Consultant.
- D. All office diaries, consultants' and inspectors' diaries, daily records of labor, materials and equipment used, notes, designs, reports including laboratory and plant inspection reports, drawings, tracings, estimates and specifications prepared and furnished by the Consultant shall become the property of the City upon their approval and acceptance in writing by the Commissioner or upon the termination of the Consultant's services, pursuant to Appendix "A" of this Agreement. The Consultant shall deliver to the

Commissioner all said diaries, daily records of labor, material and equipment used, notes, designs, reports, drawings, tracings, estimates and specifications, which there-after the City may utilize in whole or in part or in modified form and in such manner or for such purposes or as many times as it may deem advisable, without employment of or additional compensation to the Consultant.

#### E. Public Outreach Liaison

Absolutely no subconsultant work shall begin without the specific written consent of the Deputy Chief Engineer.

Under the direction of the Engineer, the consultant shall provide a dedicated Community Relations Subconsultant to support the project with the distribution of timely, accurate, and constructive information. The subconsultant will serve as adjunct to NYC/DOT; attend community meetings, advise and update the community as to a project's plans, schedule and progress.

The subconsultant will also be responsible for responding to and coordinating the following: answering questions from the public, maintaining mailing lists, issuing newsletters, press releases, and brochures, as well as other associated tasks. The Public Outreach Subconsultant will require extensive community and public relations experience, a superior command of the English language, and excellent communication skills in order to carry out the aforementioned responsibilities:

##### 1. Specific Tasks Include:

- a. Plan and implement a public outreach program. This plan will detail the outreach procedures that will be utilized throughout the entire project such as: press releases, public advisories, dedicated hotlines and web sites. This plan will also include intense start-up information distribution such as press fact sheets, travel advisories and if directed, require attendance at public and local meetings to establish the subconsultant office contact.
- b. Identify key community leaders and establish points of contact with elected officials, community boards, civic/merchant groups, etc. for ongoing dialogue and liaison.
- c. Create mailings lists of elected officials, Community Boards, community groups, etc. for effective information distribution.
- d. Foster ongoing communication and coordination through regular updates, telephone contacts, field visits with community and other NYC agencies such as the Transit Authority and OCMC.
- e. Maintain telephone and visitor logs.
- f. The primary goal of the subconsultant will be the identification of potential problems/issues concerning the project. Thereafter, the subconsultant will be responsible for notification of project concerns to the community. Also, the subconsultant will provide the NYCDOT with possible solutions to these concerns.

##### 2. Prepare and Upon Approval Issue Newsletter

A quarterly newsletter will be produced by the subconsultant. It will contain current information about the project: including work completed, work to be performed in the near future, schedule information, and what the public can do to help. No newsletters are to be distributed without the express prior approval of the NYCDOT Division of Bridges Community Affairs Director and the NYCDOT Press Office.

##### 3. Prepare and Upon Approval Issue Brochures

Project brochures will be printed and distributed prior to roadway closures to inform bridge users of the anticipated closures and offer alternatives. The brochures will be included in the press releases for each roadway closure.

#### 4. Prepare and Upon Approval Issue Direct Mailings

There will be several direct mailings targeted at bridge users and nearby employers which will include the current brochure and newsletter. Other information related to public transportation or alternate routes may also be included. No direct mailings are to be distributed without the express prior approval of the NYCDOT Division of Bridges Community Affairs Director and the NYCDOT Press Office.

#### 5. Prepare Press Releases for Issue by the NYCDOT

Whenever a major stage of the construction is scheduled to begin a press release will be made available to the media. This will document information similar to the newsletters for the upcoming project, including roadway and transit closures. All press releases require direct, express prior approval from the Community Affairs Director and the NYCDOT Press Office.

## **II. RESIDENT ENGINEERING AND INSPECTION**

- A. The Consultant shall be the representative of the Department at the site and, subject to review by the Commissioner or his duly authorized representative, shall have the power, in the first instance, to inspect the performance of the work, as delineated in Article 30, "The Resident Engineer", of the Agreement section of the Standard Specifications of the Bureau of Highway Operations, dated June, 1986, as currently amended.
- B. The Consultant agrees that he will endeavor to safeguard the City against deficits and deficiencies in the work and that he will use reasonable care and reasonable powers of observation and detection in determining that the work conforms to the Construction Contract documents.
- C. It is the responsibility of the Construction Contractor(s), and not the responsibility of the Consultant, to determine the "Means and Methods of Construction", as defined in Article 2 of the Agreement section of the Standard Specifications of the Bureau of Highway Operations, dated June, 1986, as currently amended. However, if the Consultant reasonably believes that the means and methods of construction proposed by the Construction Contractor(s) will constitute or create a hazard to the work, or to the persons or property, or will not produce finished work in accordance with the terms of the Construction Contract, such means and methods must be reported to the Commissioner, or to his duly authorized representative.
- D. The Commissioner through his duly authorized representative, the Chief Engineer for the Division of Bridges, will assign a City employed engineer to review the performance of the Consultant and to serve as liaison between the Department and the Consultant. This City engineer shall be the senior authority in the field, and the Consultant Engineer shall be responsible to this representative of the Commissioner.
- E. It shall be the responsibility of the Construction Contractor(s) to accomplish the work in accordance with the pre-established construction schedules. The Consultant, however, shall advise the Commissioner or his duly authorized representative when a Construction Contractor's progress falls behind the pre-established and approved construction schedule.

- F. If required by the Commissioner, the Consultant shall review the adequacy of the Construction Contractor's personnel and equipment and the availability of his necessary materials and supplies. Special attention shall be directed to the Construction Contractor's adherence to the construction progress schedule prepared by the Contractor under Article 9, "Progress Schedule", of the Agreement section of the Standard Specifications of the Bureau of Highway Operations, dated June 1986, as currently amended.

### **III. SERVICES TO BE PERFORMED**

#### **A. Resident Engineering Inspection Services**

The Consultant shall provide to the satisfaction of the Commissioner, through his duly authorized representative the Chief Engineer for the Division of Bridges, basic resident engineering and inspection services for all items of work under the Construction Contract from the date the Consultant is ordered to commence work to the completion of the Construction Contractor's operations, and the acceptance of the work under the Construction Contract by the Commissioner.

These services are to include monitoring of the Construction Contractor's activities for conformance with the contract documents, coordination with City Agencies and public and private utilities, and monitoring the condition of the contract site for conformance with the contract documents, so as to provide a safe environment for both workers and the general public. These services shall include the following:

1. Supervise the erection of structures necessary to protect the public during the construction operations.
2. Check detour and maintenance of traffic routes on a regular basis to insure compliance by the Construction Contractor.
3. Spot check, for accuracy, Survey and Stake-out performed by the Construction Contractor.
4. Be responsible for all field measurements, computations and sketches necessary for payment purposes. The final payment package shall be submitted to the Chief Engineer for the Division of Bridges within one (1) month of the date of final inspection of the Construction Contract.
5. Check the Construction Contractor's layout and concrete form work for correctness, including line and grade.
6. Check placement of all steel reinforcement and structural steel for structures.
7. Notify the Department of any anticipated delays in fabrication, erection or construction.
8. Check the removal, installation and reinstallation of all signs, including the fastening of chains from sign structures.
9. Check layout of conduits, pipes, gas mains, water mains, electrical conduit and lighting equipment, and other miscellaneous structures.
10. Check all electrical wiring, permanent or temporary, for compliance with the plans and specifications.
11. Check the performance of excavation, and compliance with safety standards for sheeting.
12. Check the placement of concrete, structural concrete and asphalt pavements.

In addition, the Consultant is to supply:

Two (2) airmeters with carrying case including rubber mallet  
One (1) concrete slump testing set  
One (1) concrete thermometer  
One (1) asphalt thermometer

These items are considered "Tools of the Trade" and are part of overhead and not to be included in Out-of Pocket Expenses.

13. Check the removal of paints containing lead for compliance with plans, specifications, and safety standards.
14. Check the painting of steel structures.
15. Prepare and certify all estimates for payment, including extra or additional work, computations, payment vouchers, monthly progress reports, and material balances.
16. Prepare reports, including recommendations for additional or extra work which shall include exact records of labor, equipment and materials relative to the extra or additional work, which shall be subject to the approval of the Chief Engineer for the Division of Bridges, prior to the issuance of said reports.
17. Prepare all reports as requested by the Commissioner and/or his duly authorized representative.
18. Prepare reports in a form suitable for transmission to the Comptroller and the Law Department on claims made during the course of the work and within one year after completion and final acceptance of the work.
19. Prepare all replies to the Contractor's letters and complaints for the signature of the Commissioner and/or his duly authorized representative.
20. Furnish assistance and aid to start and advance the work, such as conferences with interested City Agencies and other parties, when requested.
21. Interpret the contract drawings and add explanatory information consistent with the contract documents.
22. Substantiate the quality and check the placement of all pre-cast prestressed structural elements when they are to be used on the project.
23. Obtain all required Manufacturer's Certificates as required under the Construction Contract, in accordance with NYCDOT Quality Assurance Manual for the Bridge Rehabilitation Program, dated June 1990 as currently amended.
24. Perform the detailed inspection work and field tests of all materials and items of work in accordance with NYCDOT Quality Assurance Manual for the Bridge Rehabilitation Program, dated June 1990 as currently amended.
25. Check and approve the Contractor's pile layout, condition of piles, treatment of piles, pile driving equipment and method of pile driving. Also certify pile records, locations and lengths.
26. Check and approve the installation and operation of all electrical and mechanical bridge operating equipment and appurtenances.
27. The Consultant shall monitor contractor compliance with LBE/DBE & EEO and training requirements and take necessary actions in accordance with the procedures established by the New York City

Department of Transportation. The Consultant shall seek guidance and direction involving any LBE/DBE issues from the ACCO's Office of Contract Compliance.

28. Establish and maintain project accounts in accordance with the State Comptroller's Accounting Manual and good accounting practices.
29. The Consultant shall evaluate the performance of the prime construction contractors on this project by completing the City's construction contractor performance evaluation form. A form shall be completed when 50% of the contract is vouchered and at substantial completion. The form shall be submitted to the Commissioner no later than fifteen (15) calendar days after the occurrence of these events.
30. Check and approve all record ("as-built") drawings.
31. Prepare fixed asset inventory forms.
32. Prepare and maintain all project records in accordance with the requirements of the New York State Department of Transportation "Manual for Uniform Record Keeping" (MURK).
33. The Department will make all final determinations regarding structure related plan changes, modifications and additions to the contract.
34. The Consultant will process for approval all shop drawings and or catalog cuts normally approved by City agencies. The Consultant will log and track submission of Shop Drawings to the Departmental personnel designated or the designated Construction Support Services Consultant. These shall include but not be limited to:
  - a) Electrical and lighting equipment
  - b) NYCTA power, communications and switching equipment
  - c) The list of "all" shop drawings.
35. The Consultant shall attend liaison, progress, coordination and other such meetings held during the progress of the contract.
36. When required by the Department, the Consultant shall analyze, review, and provide recommendations on all changes in design or proposed work, particularly as they may apply to "Value Engineering" that is proposed by the Contractor.
37. The Consultant shall inspect the maintenance and protection of traffic operations on a daily basis entering his observation in the Consultants Diary, and shall review and evaluate contractor proposals and make recommendations to the Department. The Consultant's employee assigned this responsibility shall be trained in this area, and approved by the Department for this work. This employee shall be designated the "MPT Safety Officer" for the project.
38. The Consultant shall maintain the schedule for the project, process contractor-supplied data, analyze and evaluate the results. He shall advise the Department to take all necessary actions to the extent feasible to ensure that the project schedule is met.
39. When required by the Department the Consultant shall inspect, review and evaluate the contractor's proposals for handling and disposal of hazardous waste materials.

40. The Consultant shall provide offsite plant inspection of fabricated and/or raw materials used on this project, as directed by the Department. To insure conformance with the material specifications of the construction contract, the Consultant shall review all inspection reports and test results and make recommendations for acceptance or rejection.
41. The Consultant shall act as the agency's representative at the job site for the purpose of implementing the "Memo of Understanding" between the NYC Police Department and the Department for the purpose of Construction Site Security.
42. The Consultant shall have the in-house specialized capability or shall have a specialized subconsultant, to handle the agency's Air Monitoring Program.
43. The Consultant shall take and analyze "surface soil samples for lead before, during and upon completion of any lead paint removal. The Consultant shall submit a sampling/analysis/evaluation plan draft form to the Department for approval prior to implementation. This plan shall comply with the Department's Surface Soil Sampling Requirements.
44. The Consultant shall prepare, furnish, index and microfilm complete sets of accurate shop, working and record as-built drawings, catalog sheets, technical bulletins, manuals, diagrams, other printed matter, etc. as required which shall show the work as actually installed in compliance with the provisions of the Microfilming requirements.
45. The Consultant shall provide a dedicated "Public Outreach Liaison" as describe in section I. (E.), above.
46. The REI shall review all payrolls and sign in/out sheet to insure that prevailing wage and benefits are being paid by the contractor and subcontractors. Also that the sign in/sheet are completely filled out and compared with the payrolls. Any discrepancies shall be reported to the contractor and the ACCO's Office of Contract Compliance.
47. The REI shall, once a month, interview a random sampling of employees of the contractor and subcontractors to insure that prevailing wages and supplemental benefits are being paid. A record of the interviews will be maintained at the REI's field office and copies forwarded to OCC.

**B. Materials Testing Services**

The Consultant shall retain, in accordance with all City rules and regulations in connection with retaining services other than Professional Engineering, the services of a qualified Laboratory to provide detailed testing for all materials normally tested under New York State Department of Transportation construction projects and for which no provisions have been made. In no event however, shall the Consultant utilize the services of the Laboratory without prior written authorization by the Commissioner or his duly authorized representative.

**C. Finalization Services**

For Finalization Services the Consultant shall prepare and submit, in accordance with the directions of the Commissioner, through his duly authorized representative the Chief Engineer for the Division of Bridges, the final payment package; and shall compile and submit to the Commissioner all final project records including all reports (including laboratory and plant testing reports), manufacturer's certificates, survey field books, inspector's reports, monthly and final estimate records, "as-built" drawings (including microfilming and indexing) conforming to New York City Department of Transportation standards showing all changes from contract plans and other pertinent data, photographs of various phases of construction (to be supplied by the Construction Contractor), and all other data which may be required for the proper completion and records of the construction contract.

#### **IV. FEES AND PAYMENTS**

##### **A. FEE**

In full payment for Resident Engineering and Inspection Services, and Materials Testing Services, the City shall pay to the Consultant, and the Consultant agrees to accept a fee not to exceed \$\_\_\_\_\_.

##### **B. BASIS**

Payment for the services rendered herein shall be made on the following basis:

1. For Resident Engineering Inspection Services, payment shall be made on the basis of total direct technical field salaries, including applicable weekend/night work differential, times a technical field multiplier, plus direct reimbursement for principals' time, authorized overtime premium pay and certain out-of-pocket expenses.
2. For Materials Testing Services, payment shall be made on the basis of direct reimbursement or out-of-pocket expenses.
3. For Finalization Services, payment shall be made on the basis of total direct technical field salaries times a technical field multiplier, plus certain out-of-pocket expenses.

##### **C. DEFINITIONS**

###### **1. Direct Technical Salary Cost**

Direct technical salary cost shall include only engineering, surveying, technical and drafting salaries, including applicable weekend/night work differential but exclusive of Principals' Time, and shall be derived from direct individual salaries for actual time worked, including applicable weekend/night work differential but not including overtime premium pay, vacation pay, holiday pay, social security, unemployment insurance, worker's compensation, sick pay or other fringe benefits. The direct technical salaries shall be comprised of one segment:

Direct technical field salaries, which shall be those salaries directly related to Resident Engineering Inspection Services and Finalization Services.

###### **2. Multiplier**

The multiplier shall be applied to the direct salary costs of the Consultant and shall be considered as including provisions for indirect costs and profit. There shall be one multiplier, as follows:

A technical field multiplier to be applied to direct technical field salaries in connection with Resident Engineering Inspection Services and Finalization Services.

###### **3. Principals' Time**

Principals of the firm, such as partners or owners, shall be compensated for their time, to the extent that they perform services other than administrative or supervisory services, as follows:

- a. The rate of compensation for Principals' Time as stated herein before, shall not exceed One Hundred Dollars (\$100.00) per hour, to be based on actual draw.

- b. The Principals participating in the Project shall provide the Commissioner with a demonstration certifying his/her actual draw from the firm on an average weekly basis. Where said rate exceeds Fifty Dollars (\$50.00) per hour, the principal participating in the project shall provide the Commissioner with a notarized statement by a certified public accountant that such rate does not exceed the principals' annual direct compensation, excluding profit, computed on an hourly rate. The amount payable for Principals' Time shall not be included in the technical salary cost base and is not subject to any multiplier.
- c. The Principals participating in the Project shall maintain a daily log of their participation, which shall be available for inspection by the Commissioner and the Comptroller of the City.
- d. The Commissioner shall certify that direct participation by the Principals is essential to the effective and economic completion of the Project.
- e. The total compensation for the Principals' Time shall not exceed thirty-five percent (35%) of the total not to exceed fee as stated herein before.
- f. In the event that a Principal assumes the specific assignment of responsibilities normally allocated to a technical member of the project team, said Principal shall be compensated at a rate corresponding to the technical salary commensurate with that assignment times an adjusted (where appropriate) multiplier, said multiplier to be established by Department's Engineering Audits Office to avoid duplication of indirect expenses. (The adjusted multiplier is calculated by decreasing the consultant multiplier by 10%).
- g. The words "the Principals" or "the Principals of the firm" are understood to mean those individuals in a firm who possess legal responsibility for its management. They may be owners, corporate officers, associates, partners, etc. With respect to a corporation, a principal is further defined as that person who owns ten (10) percent or more of the voting stock.

#### **4. Out-Of-Pocket Expense**

Out-of-pocket expenses shall be limited to:

- a. The cost of acquiring, on a per diem basis, the services of other experts or Consultants as may be required for the performance of the Consultant's services are subject to the same audit rules as the prime consultant.
- b. The costs of the use of motor vehicles, owned by the Consultant or employees of the Consultant or leased and maintained by the Consultant and used specifically for and only for the performance of this contract, shall be compensated on a direct mileage basis in accordance with the standards as established for reimbursement allowances for City personnel by the current edition of Directive #6, NYC Comptroller. The cost of MTA Tokens and Tolls within the city borders are reimbursable as out-of-pocket costs. However, cost of parking is not reimbursable.
- c. The cost of printing and duplicating for this project by an outside vendor is reimbursable as out-of-pocket costs based on the submitted invoice. However, cost of printing by in-house services is not reimbursable.
- d. The cost of renting other materials or equipment, or acquiring services specifically for, and applicable only to, this project may be submitted for direct payment as out-of-pocket costs. This shall not include the purchase of general tools or office supplies whether expendable or reusable.
- e. The costs of the specified registered mailing and/or FEDEX type services directed by the Department are reimbursable as out-of-pocket costs. However, routine postage, messenger service, etc. are not reimbursable.
- f. The cost of project related long distance telephone calls are reimbursable as out-of-pocket costs.

- g. The cost of acquiring the services of a licensed surveyor, as may be required, for performing surveying and/or plotting of surveys.
- h. The cost of project specified microfilming services are reimbursable as out-of-pocket costs.
- i. The cost of project specified photographic film, developing and printing services are reimbursable as out-of-pocket costs.
- j. The cost of retaining the services of a qualified contractor, or contractors, to provide for, Soil Investigation and Testing Services, Test Pits, Soil Boring, Pressure Tests, Video Pipe Surveys, Sounding/Ground Penetrating Radar, Probe Holes, Non Destructive Testing of Watermains, Subsurface Void investigation, and Water Testing, Concrete Coring and Concrete Core Testing Services, Concrete Encasement Removal, Steel Sampling, Underwater Inspection, and other necessary investigative and testing services.
- k. The cost of procurement of copies of documents, data sheets, drawings and reports for reference and information.
- l. The costs of project specific miscellaneous items approved by the Deputy Chief Engineer are reimbursable.

Out-of-Pocket expenses shall be subject to audit by the Department. Consequently, the Consultant shall maintain, and submit to the Department as part of his/her monthly payment voucher, time and material records for all out-of-pocket expenses incurred during that month and submitted for reimbursement in connection with the services herein contained. Subcontractors and subconsultants are subject to the same rules governing the documentation and reimbursement of Out-Of-Pocket expenses as the prime consultant.

## **5. Indirect Costs and Overhead**

- a. Indirect Costs shall include costs of a general nature which could be applied to the Consultant's entire operation and which are not readily attributable to any one project. These shall include: fringe benefits, taxes, insurance premiums, postage, office supplies, motor vehicles, equipment, office machine and computer rentals, depreciation on purchased equipment, maintenance and operation costs, recruitment, temporary facilities, consultant fees, overhead (see below) and any such costs as are necessary to conduct the Consultant's operations with the exception of those cost items which are submitted to direct payment as out-of-pocket expenses.
- b. Overhead includes that portion of the Consultant's administrative, clerical and financial costs which are applicable to operations, including, but not limited to: rent, utilities, salary costs of administrative and clerical work (including administrative services of the Principal and Technical Typing), fringe benefits, payroll expenses, taxes, insurance, legal and professional fees, bank service charges, depreciation, office supplies and equipment, maintenance, etc.

## **6. Overtime Premium**

Overtime Premium Compensation shall be those payments over and above straight salary for hours actually worked, which are required either by applicable State and Federal Laws and Regulations or with in accordance with the schedule, as directed by the Department. In no event however, shall the rate of overtime premium compensation exceed the Consultant's normal Company Policy relating to such compensation.

## 7. Weekend/Night Work Differential

Weekend/night work differential shall be compensation over and above the daily wage rate for normally scheduled non-overtime shift work either on weekends or between the hours of 6:00 P.M. and 8:00 A. M. The weekend/night work differential shall be limited to a maximum of ten percent (10%) of actual base pay for applicable time worked during the differential periods, exclusive of overtime premium pay, and shall be paid in accordance with the standards as established for reimbursement allowances for City personnel. In no event however, shall the rate of overtime premium compensation exceed the Consultant's normal Company Policy relating to such compensation.

## 8. Performance Evaluation

Consultant services must be performed in a timely manner. Emphasis shall be placed on qualitative and timely submission of required documents and reports. Evaluations of performance will be used in selection of consultants for future work.

## D. PAYMENTS

- a) During the course of the contract, all payments, including the final payment, shall be paid to the Consultant on a monthly basis as they occur, as follows:
  1. For Resident Engineering Inspection Services and Finalization Services, payments shall be made based on direct technical field salaries of the Consultant times a technical field multiplier of \$\_\_\_\_\_.\*
  2. For approved out-of-pocket costs, including Materials Testing Services, overtime premium pay and allowable time for Principals' services, payments shall be made on the basis of direct reimbursement at cost to the Consultant, with no markup for the Consultant's overhead and profit.

\* Said multiplier was established by the Consultant in his/her "Request For Proposal" submission and has been accepted by the Department subject to the review and audit provisions as contained herein. In no event shall said multiplier be increased.

- b) The Consultant shall submit to the Commissioner, but not more than once per calendar month, a certified voucher, and six copies, setting forth in detail the items of work and services performed by the Consultant and the amount of partial payment requested. Vouchers shall be accompanied by statements prepared and certified by the Consultant setting forth the name and title of each of his/her and his/her subconsultants employees who was engaged in the project during such respective month, the number of hours worked each day, the direct salary and the number of hours worked each day, the direct salary and the compensation attributable to the time for which the voucher is submitted. All vouchers shall be accompanied by a report on the progress of the work properly coded and tabulated to indicate the percentage of completion of each phase of the work. All said vouchers and progress reports shall be subject to review and approval of the Division's designated Project Consultant.
- c) The Commissioner shall review the said voucher and if, in his/her judgment, the work and services therein set forth have been performed, the Commissioner shall endorse his/her approval of payment of said voucher and certify that the work and services have been satisfactorily performed by the Consultant.
- d) Out-of-pocket expenses, overtime premium pay and compensation for Principals' Time approved by the Commissioner shall be paid at cost to the Consultant, with no markup for the Consultant's overhead and profit.

- e) The last and final payment to the Consultant shall become due and payable upon the actual completion of the work under this contract and the filing by the Consultant with the Commissioner of all records and documents in connection with the project, including the record ("as built") drawings of the project.
- f) The final voucher shall be accompanied by a statement certifying and scheduling the total direct technical salary costs of the Consultant attributable to the contract.
- g) The fee and all payments hereunder shall be subject to review and audit by the Department of Transportation and subject to a post audit by the Comptroller.
- h) The fee shall not be increased for any reason except as provided herein or where such increase is due to a material change in scope of work.
- i) No overhead and profit shall be paid on the premium portion of overtime authorized, in connection with field operations, by the Commissioner. However, the Consultant will be paid the total direct cost of overtime, times the technical field multiplier.
- j) The annual daily wage rates, exclusive of applicable weekend/night work differential, shall not exceed the average hourly rates as shown on the Labor Cost Proposal Form(s). However, the Consultant may periodically, but not more than once per contract year, request, in writing to the Department, to have these rates adjusted. This adjustment shall be subject to the approval of the Chief Engineer for the Division of Bridges and the Engineering Audit Officer, and shall be within the parameters as established in the U.S. Bureau of Labor Statistics Employment Cost Index for Professional Specialty and Technical Workers - Wages and Salaries.\*\*

\*\*The Annual Employment Cost Index Percent increase times the total yearly salary cost of all current employees working on that project for the prior year, becomes a pool of money from which various raises may be granted. The maximum salary increase per person is limited to 150% of the Annual Employment Cost Index Percent. Total of individual raises shall not exceed the pool money per contract year.

- k) The City shall retain five percent (5%) from each Consultant's progress payment.
- l) In addition to any other requirements contained herein, the Consultant is advised that all payments due under this contract are subject to various directives issued by the Office of the Comptroller regarding the auditing of payment to consultants. Such directives are:

Directive No.2 (Guidelines for Audit of Vouchers Submitted Under Cost Reimbursable Contractual Agreements) Directive No.6 (Travel Meals Lodging and Miscellaneous Agency Expense); and Directive No. 7 (Audit of Payment Vouchers Issued Under Contracts for Construction, Equipment and Related Consultant Services).

Said Directive may be obtained from Project Engineer.

**E. COST LIMITATIONS**

The total "not to exceed" fee of \$\_\_\_\_\_ shall be apportioned as follows:

- 1) Resident Engineering Inspection Services (including basic services, overtime services and/or regularly scheduled weekend or night work) and Finalization Services the total direct technical field salary costs times the technical field multiplier, plus overtime premium pay and Principals' Time shall not exceed \$\_\_\_\_\_.

2) The total cost of out-of-pocket expenses for the project shall not exceed \$2,500,000.00\*

\* The cost limitations for these are budgetary estimates of non-DTL expenses only and have been established to cover work which may reasonably be expected on this project. The actual extent and cost of this work shall be determined during the Consultant's operations in connection with the project, and may or may not exceed the limitations as stated herein. In the event that the cost of required work exceeds the stated cost limitation for this work, the Consultant shall, upon concurrence of the Department and of the Office of Management and Budget, make written request for an increase in funds in accordance with standard change-order procedures and in conformance with Section 6.24 of Appendix A2.

## F. OVERTIME

The need for overtime on a project must receive prior approval of the Commissioner, or duly authorized representative the Chief Engineer for the Division of Bridges. The Consultant shall obtain this authorization before assigning personnel on an overtime basis. In the event that such prior approval cannot be obtained due to the nature of the operations, the Consultant shall submit a written report detailing the need for such overtime. This report shall be subject to the review and approval of the Commissioner, or duly authorized representative the Chief Engineer for the Division of Bridges. Overtime compensation will be paid in accordance with the following:

a) Personnel other Than Surveyors

Compensation shall be limited to those payments required by applicable State and Federal Laws and Regulations. Overtime payments by the Consultant in excess of those required by such Laws and Regulations may be included as indirect labor salaries, subject to an audit by the Department of Transportation and to a post audit by the Comptroller.

b) Surveyors

Compensation for approved overtime for those personnel covered under the Field Survey Union Contract will be paid in accordance with the schedule set up under the Field Survey Union Contract.

## G. CONSTRUCTION TIME

In the event that the Consultant's Resident Engineering Services are required to perform field inspection beyond the specified construction duration and the maximum fee has been expended, the maximum fee shall be increased, subject to the approval of the Director of the Office of Management and Budget, and compensation thereafter shall be made as hereinbefore specified. However, the Consultant shall first submit a proposed Manning Schedule, for the anticipated remainder of the construction period, for the approval of the Commissioner and the Director of the Office of Management and Budget. If the Construction Contractor performs the work in such a manner, or at such a number of simultaneous locations, as to require the Consultant, under the direction of the Commissioner, to provide additional inspectors such that the total inspection manpower, in person-days, shown on **Form 4T1 Labor Cost Proposal Form(s)**, will be exceeded, then this condition will be considered a change in the scope of this contract and a change order will be issued, subject to the approval of the Director of the Office of Management and Budget, increasing the maximum fee. For the purposes of this Article, construction duration, in connection with field inspection, is scheduled as follows: **1550 Consecutive Calendar Days** from Notice to Proceed for the Construction Contractor. However, final completion of construction occurs after final inspection of the Project and the Commissioner's determination that no further work remains to be done at the site(s).

H. The Consultant shall be entitled to the use and occupancy of an Engineer's Field Office as provided for in the detailed specifications of the Construction Contract, during the progress of the Construction Contract and to the completion and acceptance of the work by the Commissioner.

- I. The Consultant shall not be entitled to any additional compensation as a result of any sum or sums paid to the Construction Contractor(s) in settlement of claims for additional compensation or of any judgement for damages under the construction contract(s). However, in the event it becomes necessary to re-let the construction contract (s), the Consultant shall be compensated for any additional work required as a result of such re-letting as ordered by the Commissioner, under terms to be agreed upon.
- J. The Consultant agrees that, in the event the City deems it necessary to cancel the Construction Contract of the project for any cause, he will perform the necessary inspection services to affect the close-out of the construction or completion of the work described in said contract if the construction is completed under another contract. For such inspection services, the Consultant shall not receive extra compensation but he shall be compensated in accordance with the terms of this Agreement in the same manner as if the cancellation of such Construction Contract had not occurred.

**K. Partial Payments**

The Consultant shall be paid in monthly progress payments based on actual allowable costs incurred during the period in accordance with Section IV of this Agreement. The Consultant shall submit a breakdown of costs for each specific task provided with request for payment. Bills are subject to the approval of the Chief Engineer for the Division of Bridges, or his duly authorized representative.

- a) The Consultant shall inform the City and all Sub-Contractors and Sub-Consultants of the Consultant's schedule for submitting monthly vouchers to the City. Said schedule shall be strictly adhered to by the Consultant.
  - b) All Sub-Contractor and Sub-Consultant vouchers received by the Consultant at least ten (10) calendar days prior to a scheduled billing, shall be included in that billing, even if the Consultant does not have other costs to be billed for that period. The Consultant shall inform the Sub-Contractor or Sub-Consultant of the date the voucher was submitted to the City and the amount included for the Sub-Contractor or Sub-Consultant.
  - c) The Consultant is required to make partial payments to all Sub-Contractors or Sub-Consultants within ten (10) calendar days of receipt of payment from the City.
- L. The total length of this continuous Resident Engineering and Inspection contract shall continue until **400** consecutive calendar days after final completion of construction.

## **SECTION VII**

**B) GENERAL PROVISIONS - (APPENDIX A)**

# APPENDIX A

## **GENERAL PROVISIONS GOVERNING CONTRACTS FOR CONSULTANTS, PROFESSIONAL AND TECHNICAL SERVICES**

### **ARTICLE 1. DEFINITIONS**

1.1 As used throughout this Contract, the following terms shall have the meaning set forth below:

- A. "City" shall mean the City of New York, its departments and political subdivisions.
- B. "Comptroller" shall mean the Comptroller of the City of New York.
- C. "Department" or "Agency" shall mean the New York City Department of Transportation.
- D. "Commissioner" or "Agency Head" shall mean the Commissioner of the Department of Transportation 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.
- E. "Law" or "Laws" shall include but not be limited to the New York City Charter, the New York City Administrative Code, a local law of the City of New York, and any ordinance, rule or regulation having the force of law.

### **ARTICLE 2. REPRESENTATIONS AND WARRANTIES**

#### **2.1 PROCUREMENT OF CONTRACT**

- A. The Contractor represents and warrants that no person or selling agency has been employed or retained to solicit or secure this Contract upon an agreement or understanding for a commission, percentage, brokerage fee, contingent fee or any other compensation. 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 Contract and the City relies upon such representations and warranties in the execution hereof.
- B. For a breach or violation of such representations or warranties, the Agency shall have the right to annul this Contract without liability, entitling the City to recover all monies paid hereunder and the Contractor shall not make claim for, or be entitled to recover, any sum or sums due under this Agreement. This remedy, if effected, shall not constitute the sole remedy afforded the City for the falsity or breach, nor shall it constitute a waiver of the City's right to claim damages or refuse payment or to take any other action provided for by law or pursuant to this Contract.

#### **2.2 CONFLICT OF INTEREST**

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 would or may conflict in any manner or degree with the performance or rendering of the services herein provided. The Contractor further represents and warrants that in the performance of the Contract no person having such interest or possible interest shall be employed by it. No elected official or other officer or employee of the City or Department, nor any person whose salary is payable, in whole or in part from the City Treasury, shall participate in any decision relating to this Contract which affects his or her personal interest or the interest of any corporation, partnership or association in which he or she is, directly or indirectly, interested; nor shall any such person have any interest, direct or indirect, in this Contract or in the proceeds thereof.

### 2.3 FAIR PRACTICES

The Contractor and each person signing on behalf of any contractor represents and warrants and certifies, under penalty of perjury, that to the best of its knowledge and belief:

- A. The prices in this Contract have been arrived at independently without collusion, consultation, communication, or agreement, for the purpose of restricting competition, as to any matter relating to such prices with any other bidder/proposer or with any competitor;
- B. Unless otherwise required by law, the prices which have been quoted in this Contract and on the bid or proposal submitted by the Contractor have not been knowingly disclosed by the Contractor prior to the bid or proposal opening, directly or indirectly, to any other bidder/proposer or to any competitor; and
- C. No attempt has been made or will be made by the Contractor to induce any other person, partnership or corporation to submit or not to submit a bid or proposal for the purpose of restricting competition. The fact that the Contractor (a) has published price lists, rates, or tariffs covering items being procured, (b) has informed prospective customers of proposed or pending publication of new or revised price lists for such items, or (c) has sold the same items to other customers at the same prices being bid, does not constitute, without more, a disclosure within the meaning of the above.

### **ARTICLE 3. AUDIT BY THE DEPARTMENT AND CITY**

- 3.1 All vouchers or invoices presented for payment to be made hereunder, and the books, records and accounts upon which said vouchers or invoices are based are subject to audit by the Department and by the Comptroller of the City of New York pursuant to the powers and responsibilities as conferred upon said Department and said Comptroller by the New York City Charter and Administrative Code of the City of New York, as well as orders and regulation promulgated pursuant thereto.
- 3.2 The Contractor shall submit any and all documentation and justification in support of expenditures or fees under this Contract as may be required by said Department and said Comptroller so that they may evaluate the reasonableness of the charges and shall make its records available to the Department and to the Comptroller as they consider necessary.
- 3.3 All books, vouchers, records, reports, cancelled checks and any and all similar material may be subject to periodic inspection, review and audit by the City of New York, the State of New York, the Federal Government and any other person duly authorized by the City. Such audit may include examination and review of the source and application of all funds whether from the City, any State, the Federal Government, private sources or otherwise.
- 3.4 The Contractor shall not be entitled to final payment under the Contract until all requirements have been satisfactorily met.

### **ARTICLE 4. COVENANTS OF THE CONTRACTOR**

#### **4.1 EMPLOYEES**

- A. All experts or consultants or employees of the Contractor who are employed by the Contractor to perform work under this Contract are neither employees of the City nor under contract to the City and the Contractor alone is responsible for their work, direction, compensation and personal conduct while engaged under this Contract. Nothing in the Contract shall impose any liability or duty on the City for the acts, omissions, liabilities or obligations of the Contractor, any person, firm, company, agency, association, expert, consultant, independent contractor, specialist, trainee, employee, servant, or agent, or for taxes of any nature including but not limited to unemployment insurance, workmen's compensation, disability benefits and social security, or, except as specifically stated in this Contract, to any person, firm or corporation.

- B. The Contractor shall be solely responsible for all physical injuries or death to its agents, servants, or employees or to any other person or damage to any property sustained during its operations and work on the project under this Contract resulting from any negligent or wrongful act of omission or commission or error in judgement of any of its officers, trustees, employees, agents, servants, of independent contractors, and shall hold harmless and indemnify the City from liability upon any and all claims for damages on account of such injuries or death to any such person or damages to property on account of any neglect, fault or default of the Contractor, its officers, trustees, employees, agents, servants, or independent contractors. The Contractor shall be solely responsible for the safety and protection of all of its employees whether due to the negligence, fault or default of the Contractor or not.
- C. Minimum Wage

Except for those employees whose minimum wage is required to be fixed pursuant to Section 220 of the Labor Law of the State of New York, all persons employed by the Contractor in the performance of this Contract 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 or violation of the foregoing shall be deemed a breach or violation of a material provision of this Agreement.

#### **4.2 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 of New York, and that in accordance with such status as independent contractor, the Contractor covenants and agrees that neither it nor its employees or agents will hold themselves out as, nor claim to be, officers or employees of the City of New York, or of any department, agency or unit thereof, by reason hereof, and that they will not, by reason hereof, make any claim, demand or application to or for any right or privilege applicable to an officer or employee of the City of New York, including, but not limited to, Workers' Compensation coverage, Unemployment Insurance Benefits, Social Security coverage or employee retirement membership or credit.

#### **4.3 INSURANCE**

- A. Required Insurance Coverage: Before performing any work on the Contract, the Contractor shall procure and maintain for the duration of the Contract, insurance against any claims for injuries to persons or damage to property which may arise from or in connection with the performance of the work in this Contract by the Contractor, its agents, representatives, employees or subcontractors. The Contractor shall procure the required insurance from companies licensed and authorized by the New York State Department of Insurance to do business in New York State and with a Best's rating of A-7 or better.
  - 1. Commercial General Liability. Before performing any work on the Contract, the Contractor shall procure Comprehensive General Liability Insurance in the Contractor's name and naming the City of New York and the Department of Transportation as additional insured thereunder and endorsed to cover the liability assumed by the Contractor under the indemnity provisions of this Contract. This insurance policy shall be maintained during the term of this Contract and shall protect the City of New York, the Contractor and/or its subcontractors performing work under this Contract from claims for property damage and/or bodily injury, including death, which may arise from operations under this Contract, whether such operations are performed by the Contractor or anyone directly or indirectly employed by the Contractor. The coverage provided shall not be less than \$1,000,000 per occurrence. The coverage provided must be "occurrence" based; "claims-made" coverage will not be accepted.
  - 2. Workers' Compensation Insurance. Before performing any work on this Contract, the Contractor and each Subcontractor shall provide Workers' Compensation Insurance in accordance with the Laws of the State of New York, and the United States Longshoremen's and Harbor Workers' Act where applicable, on behalf of all employees providing services under this Contract.

3. Employers' Liability Insurance. Before performing any work on this Contract, the Contractor shall procure Employers' Liability Insurance, in the amount of at least \$1,000,000 per accident, providing compensation for bodily injury by accident or disease sustained by any employee of the insured arising out of and in the course of his/her employment by the Contractor.
4. Automobile Liability. Before performing any work on this Contract, the Contractor shall procure commercial auto liability insurance covering all owned, non-owned, hired and borrowed vehicles to be used in connection with this Contract. The City of New York and the Department shall be named as additional insureds. Coverage shall be in an amount of at least \$1,000,000.00.
5. Unemployment Insurance. Before performing any work on this Contract, Unemployment Insurance coverage shall be obtained and provided by the Contractor for its employees.
6. Professional Liability. Before performing any work on this Contract, the Contractor shall procure Professional Liability Insurance covering as insured the Contractor, with a limit of liability of not less than \$1,000,000. All sub-consultants to the Contractor providing professional services under this Contract shall also provide evidence of Professional Liability Insurance to the Commissioner at limits appropriate to the exposures of the sub-consultant's work, with deductibles suitable for the financial capacity of the sub-consultant and through carriers and on forms acceptable to the City.
7. The Contractor agrees to indemnify and hold harmless the City of New York and each officer, agent and employee of the City of New York against any and all claims for personal injury or wrongful death or damage to personal property 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) General Requirements for Insurance Policies:

1. All required insurance policies shall be maintained with companies licensed and authorized to do business in the State of New York by the New York State Department of Insurance. The Contractor must first obtain the written approval of the City's Risk Manager of the Mayor's Office of Operations, or its delegate, in the event it wishes to maintain any type of required insurance with a company not licensed to do business in the State of New York.
2. The Contractor shall be solely responsible for the payment of all premiums for all required policies and all deductibles to which such policies are subject, whether or not the City is an insured under the policy.
3. All insurance policies shall include, without limitations, the following endorsements/requirements.
  - (a) Notice under the Policy to the City as Additional Insured shall be addressed to each of the following: (1) the Commissioner; (2) Comptroller's Office, attn: Office of Contract Administration, Municipal Building, Room 835, New York, NY 10007; and
  - (b) Notwithstanding any provision of this policy to the contrary, notice by or on behalf of the City as Additional Insured of any occurrence, offense, or claim, if such notice is required, will be deemed timely if given to the Insurance Company as soon as practicable after a Notice of Claim adequately specifying the occurrence, offense, or claim as one potentially covered under the policy has been filed with the Comptroller; however, in no event shall notice be deemed untimely so long as it is given within 180 days of the filing of the Notice of Claim; and
  - (c) Any notice, demand other writing by or on behalf of the Contractor to the Insurance Company relating to any occurrence, offense, claim or suit shall also be deemed to be a notice, demand, or other writing on behalf of the City as Additional Insured, and any response thereto on behalf of the Insurance Company shall be sent to the Contractor, to the City at New York City Law Department, Insurance Law Unit, Affirmative Litigation Division, 100 Church Street, New York, NY 10007, and to the Comptroller at Insurance Unit, NYC Comptroller's Office, 1 Centre Street, Room 1222, New York, NY; and

- (d) Notice of Cancellation of Policy: In addition to any other requirements concerning notice of cancellation, this policy shall not be cancelled, terminated, modified or changed by the Insurance Company unless sixty (60) days' prior written notice is sent to the Named Insured by Registered Mail and also sent to the Commissioner and to the Comptroller's Office, attn: Office of Contract Administration, Municipal Building, Room 835, New York, New York 10007, nor shall this policy be cancelled, terminated, modified or changed by the Named Insured without the prior consent of the said Commissioner; and
  - (e) It is agreed that the Insurance Company, in the event of any payment under these policies, will waive its rights of recovery, if any, against the City; and
  - (f) The Insurance required for this contract must be on forms acceptable to the City and offered by Insurers acceptable to the New York State Insurance Department; and
  - (g) Where circumstances warrant, the Commissioner may, at his discretion and subject to acceptance by the Law Department and/or the Office of the Comptroller, accept letters of credit or custodial accounts in lieu of specific insurance requirements; and
  - (h) The Contractor shall be solely responsible for payment of all premiums for Insurance requirements, and shall be solely responsible for the payment of all deductibles to which such policies are subject whether or not the City of New York is an insured under the policy; and
  - (i) Claims-made policies will only be accepted for professional liability and such other risks as are authorized by the New York State Insurance Department. All such policies shall have an extended reporting period option or automatic coverage of not less than two (2) years. If provided as an option, the Contractor agrees to purchase the extended reporting period on cancellation or termination unless a new policy is effected with a retroactive date, including at least the last policy year; and
  - (j) The policies shall contain no exclusions or endorsements which are not acceptable to the City; and
  - (k) Should the policies providing for any of the Insurance coverage required by the Contract expire during the Contract term, certificates confirming renewal of such insurance coverage shall be presented the Commissioner not less than thirty (30) days prior to the expiration date of coverage. In addition, a copy of the actual renewal policy, with all endorsements, shall be provided to the Commissioner no later than thirty (30) days after the expiration of the policy previously provided to the Commissioner. Failure to provide any renewal policy shall be ground to suspend payments to the Contractor; and
  - (l) Submission of Insurance Certificates and Policies. For all insurance coverage required under the Contract, two (2) certificates of such insurance shall be furnished to the Commissioner not later than twenty (20) days after receipt of the Notice of Award, unless otherwise directed by the Commissioner. In addition, with respect to all insurance coverage required by the contract, with the exception of Workers' Compensation and Employer's Liability Insurance, two (2) executed copies of the insurance POLICIES shall be provided to the Commissioner as soon as is practicable, but in not event later than thirty (30) days after the commencement of work. No Contract payments will be accepted for processing until such policies are received and approved, and failure to provide the required policies shall be ground for declaring the Contractor in default.
- C. Materiality/Non-Waiver: The Contractor's failure to secure policy(ies) in complete conformity with this article, or to give the Insurance Company timely notice of an occurrence, offense, claim or suit on behalf of the City, shall constitute a material breach of this Contract. Such breach shall not be waived or otherwise excused by any action or inaction by the City at any time.

**4.4 PROTECTION OF CITY PROPERTY**

- A. 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 Contract and caused, either directly or indirectly by the acts, conduct, omissions or lack of good faith of the Contractor, its officers, managerial personnel and employees, or any person, firm, company, agent or others engaged by the Contractor as an expert, consultant, specialist or subcontractor hereunder.
- B. In the event that any such City property is lost or damaged, except for normal wear and tear, the City shall have the right to withhold further payments hereunder for the purpose of set-off in sufficient sums to cover such loss of damage.
- C. The Contractor agrees to indemnify the City and hold it harmless from any and all liability or claim for damages due to any such loss or damage to any such City property described in subsection 4.4A above.
- D. The rights and remedies of the City provided herein shall not be exclusive and are in addition to any other rights and remedies provided by law or by this Contract.

**4.5 CONFIDENTIALITY**

All of the reports, information or data, furnished to or prepared, assembled or used by the Contractor under this Contract are to be held confidential, and prior to publication, the Contractor agrees that the same shall not be made available to any individual or organization without the prior written approval of the Department.

**4.6 BOOKS AND RECORDS**

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

**4.7 RETENTION OF RECORDS**

The Contractor agrees to retain all books, records, and other documents relevant to this Contract for six years after the final payment or termination of the Contract, whichever is later. City, State and Federal auditors and any other persons duly authorized by the Department shall have full access to and the right to examine any of said materials during said period.

**4.8 COMPLIANCE WITH LAW**

Contractor shall render all services under this Contract in accordance with applicable provisions of Federal, State and Local laws, rules and regulations as are in effect at the time such services are rendered.

**4.9 INVESTIGATION CLAUSE**

- A. The parties to this Contract agree to cooperate fully and faithfully with any investigation, audit or inquiry conducted by a State of New York (State) or City of New York (City) governmental 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. 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, the 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 of New York or;
- C. If any person refused 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 an interested party 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 with the City, then;
- D. 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.
- E. 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 (G) below without the City incurring any penalty or damages for delay or otherwise.
- F. The penalties which 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 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 Contract, 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.
- G. The Commissioner or Agency Head shall consider and address, in reaching his or her determination and in assessing an appropriate penalty, the factors listed in paragraphs (1) and (2) below. He or she may also consider, if relevant and appropriate, the criteria established in paragraph (3) and (4) below in addition to any other information which 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 (F) 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 (D) 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.
- H.
1. The term "license" or "permit" as read herein shall be defined as a license, permit, franchise or concession not granted as a matter of right.
  2. The term "person" as used herein 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.
  3. The term "entity" as used herein shall be defined as any firm, partnership, corporation, association, or person that receives monies, benefits, licenses, or permits from or through the City or otherwise transacts business with the City.
  4. The term "member" as used herein shall be defined as any person associated with another person or entity as a partner, director, officer, principal or employee.
- I.
- In addition to and notwithstanding any other provision of this Contract the Commissioner or Agency Head may in his or her sole discretion terminate this Contract upon not less than three (3) days' written notice in the event Contractor fails to promptly report in writing to the Commissioner of Investigation of the City of New York any solicitation of money, goods, requests for future employment or other benefit or thing of value, by or on behalf of any employee of the City or other person, firm, corporation or entity for any purpose which may be related to the procurement or obtaining of this Contract by the Contractor, or affecting the performance of this Contract.

#### **4.10 ASSIGNMENT**

- A. The Contractor shall not assign, transfer, convey or otherwise dispose of this Contract or of Contractor's rights, obligations, duties, in whole or in part, or of its right to execute it, or its right, title or interest in it or any part thereof, or assign, by power of attorney or otherwise, any of the notices due or to become due under this Contract, unless the prior written consent of the Agency shall be obtained. Any such assignment, transfer, conveyance or other disposition without such consent shall be void.
- B. Failure of the Contractor to obtain any required consent to any assignment, shall be cause for termination for cause, at the option of the Agency; and if so terminated, the City shall thereupon be relieved and discharged from any further liability and obligation to the Contractor, its assignees or transferees, and all monies that may become due under the Contract shall be forfeited to the City except so much thereof as may be necessary to pay the Contractor's employees.
- C. The provisions of this clause 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 of New York.
- D. This Agreement may be assigned by the City to any corporation, agency or instrumentality having authority to accept such assignment.

#### **4.11 SUBCONTRACTING**

- A. The Contractor agrees not to enter into any subcontracts for the performance of its obligations, in whole or in part, under this Contract without the prior written approval of the Department. Two copies of each such proposed subcontract shall be submitted to the Department with the Contractor's written request for approval. All such subcontracts shall contain provisions specifying:
  - 1. That the work performed by the subcontractor must be in accordance with the terms of the Contract between the Department and the Contractor.
  - 2. That nothing contained in such Contract shall impair the rights of the Department.
  - 3. That nothing contained herein, or under the Contract between the Department and the Contractor, shall create any contractual relation between the Subcontractor and the Department, and
  - 4. That the Subcontractor specifically agrees to be bound by the confidentiality provision set forth in this Contract between the Department and the Contractor.
- B. The Contractor agrees that it is fully responsible to the Department for the acts and omissions of the Subcontractors and of persons either directly or indirectly employed by them as it is for the acts and omissions of persons directly employed by it.
- C. The aforesaid approval is required in all cases other than individual employer-employee contracts.
- D. The Contractor shall not in any way be relieved of any responsibility under this Contract by any subcontract.

#### **4.12 PUBLICITY**

- A. The prior written approval of the Department is required before the Contractor or any of its employees, servants, agents, or independent contractors may, at any time, either during or after completion or termination of this Contract, make any statement to the press or issue any material for publication through any media of communication bearing on the work performed or data collected under this Contract.
- B. If the Contractor publishes a work dealing with any aspect of performance under this Contract, or of the results and accomplishments attained in such performance, the Department shall have a royalty-free, non-exclusive and irrevocable license to reproduce, publish or otherwise use and to authorize others to use the publication.

#### **4.13 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 Export Administration Act of 1979, as amended, 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 conviction of the Contractor or a substantially-owned affiliated company thereof for participation in 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 this Contract forfeited and void.
- C. The Contractor shall comply in all respects, with the provisions of § 6-114 of the Administrative Code of the City of New York and the rules and regulation issued by the Comptroller thereunder.

**4.14 INVENTIONS, PATENTS AND COPYRIGHTS**

- A. Any discovery or invention arising out of or developed in the course of performance of this Contract shall be promptly and fully reported to the Department, and if this work is supported by a federal grant of funds, shall be promptly and fully reported to the Federal Government for 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.
- B. No report, document or other data produced in whole or in part with contract funds shall be copyrighted by the Contractor nor shall any notice of copyright be registered by the Contractor in connection with any report, document or other data developed for the Contract.
- C. In no case shall subsection A and B of this section apply to, or prevent the Contractor from asserting or protecting its rights in any report, document or other data, or any invention which existed prior to or was developed or discovered independently from the activities directly related to this Contract.

**4.15 INFRINGEMENTS**

The Contractor shall be liable to the Department and hereby agrees to indemnify and hold the Department harmless for any damage or loss or expense sustained by the Department from any infringement by the Contractor of any copyright, trademark or patent rights of design, systems, drawings, graphs, charts, specifications or printed matter furnished or used by the Contractor in the performance of this Contract.

**4.16 ANTI-TRUST**

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 anti-trust laws of the State of New York or of the United States relating to the particular goods or services purchased or procured by the City under this Contract.

**ARTICLE 5. TERMINATION**

- A. The Department and/or City shall have the right to terminate this Contract, in whole or in part:
  - 1. Under any right to terminate as specified in any section of this Contract.
  - 2. Upon the failure of the Contractor to comply with any of the terms and conditions of this Contract.
  - 3. Upon the Contractor's becoming insolvent.
  - 4. Upon the commencement under the Bankruptcy Act of any proceeding by or against the Contractor, either voluntarily or involuntarily.
  - 5. Upon the Commissioner's determination that termination is in the best interest of the City.
- B. The Department or City shall give the Contractor written notice of any termination of this Contract specifying therein the applicable provisions of subsection A of this section and the effective date thereof, which shall not be less than ten (10) days from the date the notice is received.

- C. The Contractor shall be entitled to apply to the Department to have this Contract terminated by said Department by reason of any failure in the performance of this Contract (including any failure by the Contractor to make progress in the execution of work hereunder which endangers such performance), if such failure arises out of causes beyond the control and without the fault or negligence of the Contractor. Such causes may include, but are not restricted to: acts of God or of the public enemy; acts of the Government in either its sovereign or contractual capacity; fires; floods; epidemics; quarantine restrictions; strikes; freight embargoes; or any other case beyond the reasonable control of the Contractor. The determination that such failure arises out of causes beyond the control and without the fault or negligence of the Contractor shall be made by the Department which agrees to exercise reasonable judgment therein. If such a determination is made and the Contract terminated by the Department pursuant to such application by the Contractor, such termination shall be deemed to be without cause.
- D. Upon termination of this Contract the Contractor shall comply with the Department or City close-out procedure, including but not limited to:
1. Accounting for and refunding to the Department or City within thirty (30) days, any unexpended funds which have been paid to the Contractor pursuant to this Contract.
  2. Furnishing within thirty (30) days an inventory to the Department or City of all equipment, appurtenances and property purchased through or provided under this Contract carrying out any Department or City directive concerning the disposition thereof.
  3. Not incurring or paying any further obligation pursuant to this Contract beyond the termination date. Any obligation necessarily incurred by the Contractor on account of this Contract prior to receipt of notice of termination and falling due after such date shall be paid by the Department or City in accordance with the terms of this Contract. In no event shall the "obligation", as used herein, be construed as including any lease agreement, oral or written, entered into between the Contractor and its landlord.
  4. Turn over to the Department or City or its designees all books, records, documents and material specifically relating to the Contract.
  5. Submit, within ninety (90) days, a final statement and report relating to the Contract. The report shall be made by a certified public accountant or a licensed public accountant.
- E. In the event the Department or City shall terminate this Contract, in whole or in part, as provided in paragraphs 1, 2, 3, or 4 of subsection A of this section, the Department or City may procure, upon such terms and in such manner as deemed appropriate, services similar to those so terminated, and the Contractor shall continue the performance of this Contract to the extent not terminated hereby.
- F. Notwithstanding any other provisions of this Contract, the Contractor shall not be relieved of liability to the City for damages sustained by the City by virtue of Contractor's breach of the Contract, and the City may withhold payments to the Contractor for the purpose of set-off until such time as the exact amount of damages due to the City from the Contractor is determined.
- G. The provisions of the Contract regarding confidentiality of information shall remain in full force and effect following any termination.
- H. The rights and remedies of the City provided in this section shall not be exclusive and are in addition to all other rights and remedies provided by law or under this Contract.

## **ARTICLE 6. MISCELLANEOUS**

### **6.1 CONFLICT OF LAWS**

All disputes arising out of this Contract shall be interpreted and decided in accordance with the laws of the State of New York.

### **6.2 GENERAL RELEASE**

The acceptance by the Contractor or its assignees of the final payment under this Contract, whether by voucher, judgment of any court of competent jurisdiction or any other administrative means, shall constitute and operate as a general release to the City from any and all claims of liability to the Contractor arising out of the performance of this Contract.

### **6.3 CLAIMS AND ACTIONS THEREON**

- A. Any claim, which is not subject to the Dispute Resolution provisions of the PBB Rules, against the City for damages for breach of contract shall not be made or asserted in any action or proceeding at law or in equity, 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 hereinbefore provided.
- B. No action or proceeding shall be instituted or maintained on any such claims unless such action or proceeding be commenced within six (6) months after the date the Commissioner issues a Certificate of Substantial Completion except that:
  - 1. Any claims arising out of events occurring after the date the Commissioner issues a Certificate of Substantial Completion and before Final Acceptance of the work shall be asserted within six (6) months of Final Acceptance of the work;
  - 2. Any claims for monies deducted, retained or withheld under the provisions of this Contract shall be asserted within six (6) months after the date when such monies become due and payable hereunder; and
  - 3. If the Commissioner exercises his/her right to terminate the Contract Pursuant to Article 5, any such action shall be commenced within six (6) months of the date of filing in the Office of the Comptroller of the City of the Certificate for Final Payment hereunder.
- C. In the event any claim is made or any action brought in any way relating to the Contract herein, the Contractor shall diligently render to the Department and/or the City of New York, without additional compensation, any and all assistance which the Department and/or the City of New York may require of the Contractor.
- D. The contractor shall report to the Department in writing within three (3) working days of the initiation by or against the Contractor of any legal action or proceeding in connection with or relating to this Contract.

### **6.4 NO CLAIM AGAINST OFFICERS, AGENTS OR EMPLOYEES**

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

### **6.5 WAIVER**

Waiver by the Department of a breach of any provision of this Contract 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 this Contract unless and until the same shall be agreed to in writing by the Department or City as required and attached to the original Contract.

**6.6 NOTICE**

The Contractor and the Department hereby designate the business addresses hereinabove specified 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. Actual delivery of any such notice, direction or communication to a party at the aforesaid place, or delivery by Certified Mail shall be conclusive and deemed to be sufficient service thereof upon such party as of the date such notice, direction or communication is received by the party. Such address may be changed 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 above. Nothing in this section shall be deemed to serve as a waiver of any requirements for the service of notice of process in the institution of an action or proceeding as provided by law, including the Civil Practice Law and Rules.

**6.7 ALL LEGAL PROVISIONS DEEMED INCLUDED**

It is the intent and understanding of the parties to this Contract that each and every provision of law required to be inserted in this Contract shall be and is inserted herein. Furthermore, it is hereby stipulated that every such provision is to be deemed to be inserted herein, and if, through mistake or otherwise, any such provision is not inserted, or is not inserted in correct form, then this Contract shall forthwith upon the application of either party be amended by such insertion so as to comply strictly with the law and without prejudice to the rights of either party hereunder.

**6.8 SEVERABILITY**

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

**6.9 POLITICAL ACTIVITY**

There shall be no partisan political activity or any activity to further the election or defeat of any candidate for public, political or party office as part of or in connection with this Contract, nor shall any of the funds provided under this Contract be used for such purposes.

**6.10 MODIFICATION**

This Contract may be modified by the parties in writing in a manner not materially affecting the substance hereof. It may not be altered or modified orally.

**6.11 PARAGRAPH HEADINGS**

Paragraph headings are inserted only as a matter of convenience and for reference and in no way define, limit or describe the scope or intent of this Contract and in no way affect this Contract.

**6.12 NO REMOVAL OF RECORDS FROM PREMISES**

Where performance of this Contract involves use by the Contractor of departmental papers, files, data or records at departmental facilities or offices, the Contractor shall not remove any such papers, files, data or records, therefrom without the prior approval of the Department's designated official.

**6.13 INSPECTION AT SITE**

The Department shall have the right to have representatives of the Department or the City, State or Federal governments present at the site of the engagement to observe the work being performed.

**6.14 MERGER**

This written Contract contains all the terms and conditions agreed upon by the parties hereto, and no other agreement, oral or otherwise, regarding the subject matter of this Contract shall be deemed to exist or to bind any of the parties hereto, or to vary any of the terms contained herein.

**6.15 CONDITIONS PRECEDENT**

This contract shall neither be binding nor effective unless:

- A. Approved by the Mayor pursuant to the provisions of Executive Order No. 42 dated October 9, 1975, in the event the Executive Order requires such approval; and
- B. Certified by the Mayor (Mayor's Fiscal Committee created pursuant Executive Order No. 43, dated October 14, 1975) that performance thereof will be in accordance with the City's financial plan; and
- C. Approved by the New York State Financial Control Board (Board) pursuant to the New York State Financial Emergency Act for the City of New York, as amended, (the "Act"), in the event regulations of the Board pursuant to the Act require such approval.
- D. It has been authorized by the Mayor and the Comptroller shall have endorsed his or her certificate that there remains unexpended and unapplied a balance of the appropriation of funds applicable thereto sufficient to pay the estimated expense of carrying out this Contract.

The requirement of this section of the Contract shall be in addition to, and not in lieu of, any approval or authorization otherwise required for this Contract to be effective and for the expenditure of City funds.

**6.16 PPB RULES**

The Contract is subject to the Rules of the Procurement Policy Board of the City of New York effective September 1, 1990, as amended. In the event of a conflict between said Rules and a provision of this Contract, the Rules shall take precedence.

**6.17 STATE LABOR LAW AND CITY ADMINISTRATIVE CODE**

- A. As required by New York State Labor Law § 220-e:
  - 1. That in the hiring of employees for the performance of work under this Contract 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, sex or national origin discriminate against any citizen of the State of New York who is qualified as available to perform the work to which the employment relates;
  - 2. That neither the Contractor, Subcontractor, nor any person on behalf of such Contractor or Subcontractor shall, in any manner discriminate against or intimidate any employee hired for the performance of work under this Contract on account of race, creed, color, sex or national origin;
  - 3. That there may be deducted from the amount payable to the Contractor by the City under this Contract a penalty of five dollars for each person for each calendar day during which such person was discriminated against or intimidated in violation of the provisions of this Contract;
  - 4. That this Contract may be cancelled or 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 of the Contract.
  - 5. The aforesaid provisions of this section covering every contract for or on behalf of the State or a municipality for the manufacture, sale or distribution of materials, equipment or supplies shall be limited to operations performed within the territorial limits of the State of New York.

- B. As required by New York City Administrative Code § 6-108
1. 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.
  2. It shall be unlawful for any person or any servant, agent or employee of any person, described in subdivision (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.
  3. Disobedience of the foregoing provisions shall be deemed a violation of a material provision of the Contract.
  4. 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 or by imprisonment for not more than thirty days, or both.

**6.18 FORUM PROVISION CHOICE OF LAW, CONSENT TO JURISDICTION AND VENUE**

- A. This Contract shall be deemed to be executed in the City of New York, 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.
- B. The parties agree that any and all claims asserted by or against the City arising under this Contract or related thereto shall be heard and determined either in the courts of the United States located in New York City ("Federal Court") or in the courts of the State of New York ("New York State Courts") located in the City and County of New York. To effect this Contract and intent, the Contractor agrees:
1. If the City initiates any action against the Contractor in Federal Court or in New York State Court, service of process may be made on the Contractor either in person, wherever such Contractor may be found, or by registered mail addressed to the Contractor at its address as set forth in this Contract, or to such other address as the Contractor may provide to the City in writing;
  2. With respect to any action between the City and the Contractor in New York State Court, the Contractor hereby expressly waives and relinquishes any rights it might otherwise have (i) to move to dismiss on grounds of forum non conveniens; (ii) to remove to Federal Court; and (iii) to move for a change of venue to a New York State Court outside New York County.
  3. With respect to any action between the City and the Contractor in Federal Court located in New York City, the Contractor expressly waives and relinquishes any right it might otherwise have to move to transfer the action to a United States Court outside the City of New York.
  4. If the Contractor commences any action against the City in a court located other than in the City and State of New York, upon request of the City, the Contractor shall either consent to a transfer of the action to a court of competent jurisdiction located in the City and State of New York, or if the court where the action is initially brought will not or cannot transfer the action, the Contractor shall consent to dismiss such action without prejudice and may thereafter reinstitute the action in a court of competent jurisdiction in New York City. If any provision(s) of this Article is held unenforceable for any reason, each and all other provision(s) shall nevertheless remain in full force and effect.

**6.19 E.O. 50 APPENDIX A RIDER**

- A. This Contract is subject to the requirements of Executive Order No. 50 (1980) as revised (“E.O. 50”) and the Rules and Regulations promulgated have been complied with in their entirety. By signing this Contract, the Contractor, agrees that it:
- (1) Will not engage in any unlawful discrimination against any employee or applicant for employment because of race, creed, color, national origin, sex, age, disability, marital status or sexual orientation 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 engage in any unlawful discrimination in the selection of Subcontractors on the basis of the owner’s race, color, creed, national origin, sex, age, disability, marital status or sexual orientation;
  - (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, creed, color, national origin, sex, age, disability, marital status or sexual orientation, or 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; and
  - (5) Will furnish all information and reports including an Employment Report before the award of the Contract which are required by E.O. 50 rules and regulations promulgated thereunder, and orders of the Director of the Bureau of Labor Services (“Bureau”), and will permit access to its books, records and accounts by the Bureau for the purposes of investigation to ascertain compliance with such rules, regulations, and orders.
- B. The Contractor understands that in the event of its noncompliance with nondiscrimination clauses of this Contract or with any of such rules, regulations, or orders, such noncompliance shall constitute a material breach of the Contract and noncompliance with the E.O. 50 and the rules and regulations promulgated thereunder. After a hearing held pursuant to the rules of the Bureau, the Director may direct the imposition by the contracting agency head of any or all of the following sanctions:
- (i) disapproval of the Contractor;
  - (ii) suspension or termination of the Contract;
  - (iii) declaring the Contractor in default;
  - (iv) in lieu of any of the foregoing sanctions, the Director may impose an employment program.
- C. The Director of the Bureau may recommend to the contracting agency head that a Board of Responsibility be convened for purposes of declaring a contractor who has repeatedly failed to comply with E.O. 50 and the rules and regulations promulgated thereunder 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 \$50,000 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 the Bureau of Labor Services as a means of enforcing such provisions including sanctions for noncompliance.
- E. The Contractor further agrees that it will refrain from entering into any contract or contract modification 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.

## **6.20 NOISE CONTROL CODE PROVISIONS**

- A. The Contractor agrees to comply with the provisions of Section 24-216, Noise Abatement Contract Compliance, of Chapter 2 of Title 24 of the Administrative Code of the City of New York which stipulates the following:
1. Devices and activities which will be operated, conducted, constructed or manufactured pursuant to this Contract and which are subject to the provisions of the New York City Noise Control Code shall be operated, conducted, constructed or manufactured without causing a violation of the Code.
  2. Such devices and activities shall incorporate advances in the art of noise control developed for the kind and level of noise emitted or produced by such devices and activities, in accordance with regulations issued by the Commissioner of the Department of Environmental Protection. Regulations promulgated pursuant to Section 24-216 after the proposal received for this Contract shall not alter its terms, conditions and specifications.

## **6.21 LIQUIDATED DAMAGES**

- A. In case the Contractor shall substantially fail to complete the work within the times fixed in the General Provisions of this Contract or within the times to which such completion may have been extended by agreement, the Contractor must pay to the City the sum of one hundred (\$100) dollars for each and every calendar day that the time consumed in completing the work exceeds the time allowed, provided, however, that the delay in completing the work is within the control of the Contractor and is caused solely by the Contractor's acts or failures to act. Delays beyond the control of the Contractor shall include, but not be limited to, those caused by the following:
1. On the part of the City, its agencies, employees and representative acts or failures to act, to provide necessary information, prompt reviews, expeditious decisions and other matters essential to the progress of the project.
  2. On the part of private utilities and agencies, acts or failure to act to provide necessary information, prompt reviews, expeditious decisions and other matters essential to the progress of the project.
  3. Unavoidable casualties, including Acts of God.
  4. The enforcement of laws and regulation by the City, the State of New York and/or Federal Government enacted subsequent to the date of this Contract.
- B. In view of the difficulty of accurately ascertaining the loss which the City will suffer by reason of delay in the completion of the work hereunder, the sum of one hundred (\$100) dollars is hereby fixed and agreed as the liquidated damages that the City will suffer by reason of such delay, and not as a penalty.
- C. Liquidated damages received hereunder are not intended to be nor shall they be treated as either a partial or full waiver or discharge of the City's right to indemnification or the Contractor's obligation to indemnify the City, or any other remedy provided for by contract or by law.
- D. The Comptroller will deduct and retain out of the monies which may be due hereunder, the amount of any such liquidated damages; and in case the amount which may be due hereunder shall be less than the amount of liquidated damages suffered by the City, the Contractor shall be liable to pay the difference upon demand by the Comptroller.

## **6.22 COPIES OF REPORTS**

A copy of each report submitted by the Contractor to any official or to any officer, employee, agent or representative of a City department, agency, commission or body or to any corporation, association or entity whose expenses are paid in whole or in part from the City treasury, shall be furnished to the Commissioner of the Department to which such report was submitted or, if not a City department, then to the chief controlling officer or officers of such other office or entity. A copy of such report shall also be furnished to the Director of the Mayor's Office of Construction for matters related to construction or to the Director of the Mayor's Office of Operations for all other matters.

## **6.23 CONTRACTOR'S PERFORMANCE EVALUATION**

The Contractor's performance shall be evaluated by the City upon Contract completion. A copy of the evaluation will be sent to the Contractor not later than fifteen (15) calendar days after the occurrence of this event and the Contractor may respond in writing to the performance report. Such response shall be submitted to the Commissioner not later than fifteen (15) calendar days after a copy of the evaluation is sent to the Contractor. The response will be affixed to the evaluation. Failure to respond may result in review of the Contractor's performance when a proposal is evaluated without the benefit of the Contractor's response to the evaluation.

## **6.24 CONTRACT CHANGES**

- A. Changes may be made to this Contract only as duly authorized by the Agency Chief Contracting Officer or the Agency Chief Contracting Officer's designee. Contractors deviating from the requirements of an original purchase order or Contract without a duly approved change order, do so at their own risk. All such changes, modifications and amendments will become part of the original Contract.
- B. Contract changes will be made only for work necessary to complete the work included in the original scope of the Contract, and for non-material changes to the scope of the Contract. Changes are not permitted for any material alteration in the scope of the work.
- C. Changes may include any one or more of the following:
  - 1. Specification changes to account for design errors or omissions;
  - 2. Changes in Contract amount due to authorized additional or omitted work. Any such changes require appropriate price and cost analysis to determine reasonableness. In addition, except for non-construction requirements contracts, all changes that cumulatively exceed the greater of ten percent of the original Contract amount or \$100,000 shall be approved by the City Chief Procurement Officer (CCPO) (for non-construction contracts) or the Director of the Office of Construction (for construction and construction-related contracts);
  - 3. Extensions of a Contract term for good and sufficient cause for a cumulative period not to exceed one (1) year from the date of expiration of the current Contract. Requirements contracts shall be subject to this limitation;
  - 4. Changes in delivery location;
  - 5. Changes in shipment method; and
  - 6. Any other changes not inconsistent with the PPB Rules.
- D. Any Contractor may be entitled to a price adjustment for extra work performed or to be performed pursuant to a written change order. If any part of the Contract work is necessarily delayed by a change order, the Contractor may be entitled to an extension to time of performance. Adjustments to price shall be validated for reasonableness by using appropriate price and cost analysis.

## 6.25 RESOLUTION OF DISPUTES

- A. All disputes between the City and the Contractor of the kind delineated in this section that arise under, or by virtue of, this Contract shall be finally resolved in accordance with the provisions of this section and the Rules of the Procurement Policy Board ("PPB Rules"). The procedure for resolving all disputes of the kind delineated herein 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.
  2. For construction and construction-related services this section shall apply only to disputes about the scope of work delineated by the Contract, the interpretation of Contract documents, the amount to be paid for extra work or disputed work performed in connection with the Contract, the conformity of the Contractor's work to the Contract, and the acceptability and quality of the Contractor's work; such disputes arise when the Engineer makes a determination with which the Contractor disagrees.
- 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 Contract terms shall remain in full force and effect and the Contractor shall continue to perform work in accordance with the Contract and as directed by the Agency Chief Contracting Officer ("ACCO") or Engineer. 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 Disputes 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 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 Contract.

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 Engineer, 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 Engineer, 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 Contract, 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 Engineer, 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 its 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 written 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 Sections 7-201 and 7-203 of the New York City Administrative Code. 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 E (1) 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 Contract between the parties.
- 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/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/her designee, or in the case of disputes involving construction, the Director of the Office of Construction or his/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 Contract Dispute Resolution Board. 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 Contractor. The Contractor shall present its dispute to the CDRB in the form of a Petition, which shall include (i) a brief written 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 written decision of the Comptroller, if any, and (v) copies of all correspondence with, and written material submitted by the Contractor to, the Comptroller's Office. The Contractor shall concurrently submit four (4) complete sets of the Petition: one (1) to the Corporation Counsel (Attn: Commercial and Real Estate Litigation Division), and three (3) 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 its receipt of the Petition, 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 (3) 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 the submission of memoranda, briefs, and oral argument. The CDRB shall also permit the Agency to present its case in response to the Contractor by the 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, at its discretion, may seek such technical or other expert advice from any party as it shall deem appropriate and 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. Contract Dispute Resolution Board Determination. Within Forty-five (45) days of the conclusion of all written 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 the Contract. 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 Contract Dispute Resolution Board Decision. The CDRB shall send a copy of its decision to the Contractor, the ACCO, the Corporation Counsel, the Comptroller, the CCPO, the Office of Construction, the PPB, and in the case of construction or construction-related services, the Engineer. 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 Contract Dispute Resolution Board 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 (4) 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 the PPB Rules.
- H. Any termination, cancellation, or alleged breach of the Contract 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.

**6.26 EXTENSION OF TIME FOR PERFORMANCE CONSTRUCTION AND CONSTRUCTION RELATED ONLY**

- A. If performance by the Contractor is delayed for a reason set forth in the Contract, the Contractor may be allowed a reasonable extension of time in conformance with this Section and with the Rules of the Procurement Policy Board.
- B. Any extension of time may be granted only by the Agency Chief Contracting Officer or by the Board for the Extension of Time (as set forth below) upon written application by the Contractor.

C. Grounds for Extension – If such application is made, the Contractor shall be entitled to an extension of time for delay in completion of the work caused solely: (i) by the acts or omissions of the City, its officers, agents or employees; or (ii) by the actions or omissions of other contractors on this project; or (iii) by supervening conditions entirely beyond the control of either party hereto (such as, but not limited to, Acts of God or the public enemy, excessive inclement weather, war or other national emergency making performance temporarily impossible or illegal, or strikes or labor disputes not brought about by any act or omission of the Contractor). The Contractor shall, however, be entitled to an extension of time for such causes only for the number of days of delay which the Commissioner or the Board may determine to be due solely to such causes, and then only if the Contractor shall have strictly complied with all the requirements of Article 9, 10, and 11 of Chapter III, "Time Provisions", of the City of New York Standard Construction Contract, effective October 2000, as amended.

D. Extension for Concurrent Causes of Delay – The Contractor shall not be entitled to receive a separate extension of time for each of several causes of delay operating concurrently, but, if at all, only for the actual period of delay in completion of the work as determined by the ACCO or the Board for Contract Time Extension irrespective of the number of causes contributing to produce such delay. If one of several causes of delay operating concurrently results from any act, fault or omission of the Contractor or of his/her Subcontractors or materialmen, and would of itself (irrespective of the concurrent causes) have delayed the work, no extension of time will be allowed for the period of delay resulting from such act, fault or omission.

1. The determination made by the ACCO or the Board on an application for an extension of time shall be binding and conclusive on the Contractor.
2. The granting of an application for an extension of time for causes of delay other than those herein referred to shall be entirely within the discretion of the ACCO or the Board. In the absence of special circumstances, applications for extensions of time not exceeding sixty (60) days in the aggregate will be acted upon by the Department within (30) days after request therefor.
3. Permitting the Contractor to continue with the work after the time fixed for its completion has expired, or after the time to which such completion may have been extended has expired, or the making of any payment to the Contractor after such time, shall in no way operated as a waiver on the part of the City or any of its rights under this contract.

E. Application for Extension of Time

1. Before the Contractor's time extension request may be approved, the Contractor must, within five (5) days after commencement of the condition which allegedly has caused or is causing the delay, submit a written application to the ACCO identifying:
  - (a) the Contractor; the Contract registration number; and project description;
  - (b) liquidated damage assessment rate, as specified in the Contract;
  - (c) original bid amount;
  - (d) the original Contract start date and completion date;
  - (e) any previous time extensions granted (number and duration); and
  - (f) the extension of time requested.
2. In addition, the application for extension of time shall set forth in detail:
  - (a) the nature of each alleged cause of delay in completing the work;
  - (b) the date upon which each such cause of delay began and ended and the number of days attributable to each such cause;

- (c) a statement that the Contractor waives all claims except for those delineated in the application, and the particulars of any claims which the Contractor does not agree to waive. For time extensions for substantial and final completion payments, the application shall include a detailed statement of the dollar amounts of each element of claim item reserved; and
- (d) a statement indicating the Contractor's understanding that the time extension is granted only for the purpose of permitting continuation of Contract performance and payment for work performed and that the City retains its right to conduct an investigation and assess liquidated damages as appropriate in the future.

F. Analysis and Approval of Time Extensions

1. For time extensions for partial payments, a written determination shall be made by the ACCO who may, for good and sufficient cause extend the time for the performance of the Contract as follows:
  - (a) If the work is to be completed within six (6) months, the time for performance may be extended for sixty (60) days;
  - (b) If the work is to be completed within less than one year but more than six (6) months, and extension of ninety (90) days may be granted;
  - (c) If the Contract period exceeds one year, besides the extension granted in subparagraph (b) above, an additional thirty (30) days may be granted for each multiple of six (6) months involved beyond the one year period; or
  - (d) If exceptional circumstances exist, the ACCO may extend the time for performance beyond the extensions in (a), (b), and (c) above. In that event, the ACCO shall file with the Director of the Office of Construction a written explanation of the exceptional circumstances.
2. For extensions of time for substantial completion payments and final completion payments, the Department's engineering staff, in consultation with the ACCO, shall prepare a written analysis of the delay (including a preliminary determination of the causes of delay, the beginning and end dates for each such cause of delay, and whether the delays are excusable under the terms of the Contract). The report shall be subject to review by and approval of the Board of Time Extension, which shall have authority to question its analysis and determinations and request additional facts or documentation. The report as reviewed and made final by the Board of Time Extension shall be made a part of the departmental Contract file.
3. Approval Mechanism for Time Extensions for Final or Substantial Completion Payments – An extension of time for a final or substantial completion payment shall be granted only with the approval of a Board of Time Extension comprised of the ACCO, the Corporation Counsel and the Comptroller, or their authorized representatives.

- G. Assessment of Liquidated Damages – In the case of substantial completion and final completion payments, liquidated damages shall be assessed against the Contractor as determined by the report's analysis of the Contract's delays. However, neither the failure to assess liquidated damages at this time, nor the report itself, nor the granting of a time extension at substantial or final completion, shall operate as a waiver or release of any claim the City may have against the Contractor for either actual or liquidated damages.

**6.27 EXTENSION OF TIME FOR PERFORMANCE (NON-CONSTRUCTION ONLY)**

If performance by the Contractor is delayed for a reason set forth in the Contract, reasonable extension in time for performance may be allowed.

- A. An extension of time may be granted only by the ACCO of the agency that awarded the Contract, upon written application by the Contractor.
- B. The ruling of the ACCO shall be final and binding as to the allowance of an extension, and the number of days allowed.
- C. The application for extension must detail each cause for delay, the date it occurred, and the resulting total delay in days attributed to such case.

**6.28 NO DAMAGE FOR DELAY**

The Contractor agrees to make no claim for damages for delay in the performance of this Contract occasioned by any act or omission to act of the City or any of its representatives, and agrees that any such claim shall be fully compensated for by an extension of time to complete performance of the work as provided herein.

**6.29 PROMPT PAYMENT**

- A. Prompt Payment provisions set forth in the Procurement Policy Board Rules in effect at the time of this solicitation will be applicable to payments made under this Contract. The provisions require the payment to Contractors of interest on payments made after the required payment date except as set forth in the Prompt Payment section of the Rules.
- B. The Contractor must submit a proper invoice to receive payment, except where the Contract provides that the Contractor will be paid at predetermined intervals without having to submit an invoice for each scheduled payment.
- C. Determinations of interest due will be made in accordance with the provisions of the Prompt Payment section of the Procurement Policy Board Rules and General Municipal Law Section 3-a.
- D. If the Contractor is paid interest, the proportionate share of that interest shall be forwarded by the Contractor to its Subcontractor(s).
- E. The Contractor shall pay each Subcontractor (including a Materials Supplier) not later than seven (7) days after receipt of payment out of amounts paid to the Contractor by the City for work performed by the Subcontractor or Supplier under this Contract.
- F. The Contractor shall include in each of its subcontracts a provision requiring each Subcontractor to make payment to each of its lower-tier Subcontractors or Suppliers for work performed under this Contract in the same manner and within the same time period set forth above.

**MACBRIDE PRINCIPLES PROVISIONS  
FOR NEW YORK CITY CONTACTORS  
ARTICLE I. MACBRIDE PRINCIPLES  
NOTICE TO ALL PROSPECTIVE CONTRACTORS**

Local Law No. 34 of 1991 became effective on September 10, 1991 and added Section 6-115.1 to the Administrative code of the City of New York. The local law 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 and to promote freedom of workplace opportunity.

Pursuant to Section 6-115.1, prospective contractors for contracts to provide goods or services involving and expenditure of an amount greater than ten thousand dollars, or for construction involving an amount greater than fifteen thousand dollars, are asked to sign a rider in which they covenant and represent, as a material condition of their contract, that any business in Northern Ireland operations conducted by the contractor and any individual or legal entity in which the contractor holds a ten percent or greater ownership interest and any individual or legal entity that holds a ten percent or greater ownership interest in the contractor will be conducted in accordance with the MacBride Principles of nondiscrimination in employment.

Prospective contractors are not required to agree to these conditions. However, in the case of contracts let by competitive sealed bidding, whenever the lowest responsible bidder has not agreed to stipulate to the conditions set forth in this notice and another bidder who has agreed to stipulate to such conditions has submitted a bid within five percent of the lowest responsible bid for a contract to supply goods, services or construction of comparable quality, the contracting entity shall refer such bids to the Mayor, the Speaker or other officials, as appropriate, who may determine, in accordance with applicable law and rules, that it is in the best interest of the city that the contract be awarded to other than the lowest responsible bidder pursuant to Section 313(b) (2) of the City Charter.

In the case of contracts let by other than competitive sealed bidding, if a prospective contractor does not agree to these conditions, no agency, elected official or the Council shall award the contract to that bidder unless the entity seeking to use the goods, services or construction certifies in writing that the contract is necessary for the entity to perform its functions and there is no other responsible contractor who will supply goods, services or construction of comparable quality at a comparable price.

**PART A**

In accordance with Section 6-115.1 of the Administrative Code of the City of New York, the contractor stipulates that such contractor and any individual or legal entity in which the contractor holds a ten percent or greater ownership interest and any individual or legal entity that holds a ten percent 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.

**PART B**

For purposes of this section, the following terms shall have the following meanings:

1. "MacBride Principles" shall mean those principles relating to nondiscrimination in employment and freedom of workplace opportunity which require employers doing business in Northern Ireland to:
  - (1) increase the representation of individuals from underrepresented religious groups in the work force, including managerial, supervisory, administrative, clerical and technical jobs;
  - (2) take steps to promote adequate security for the protection of employees from underrepresented religious groups both at the workplace and while traveling to and from work;
  - (3) ban provocative religious or political emblems from the workplace;
  - (4) Publicly advertise all job openings and make special recruitment efforts to attract applicants from underrepresented religious groups;

- (5) establish layoff, recall and termination procedures which do not in practice favor a particular religious group;
- (6) establish all job reservations, apprenticeship restrictions and different employment criteria which discriminate on the basis of religion;
- (7) develop training programs that will prepare substantial numbers of current employees from underrepresented religious groups for skilled jobs, including the expansion of existing programs and the creation of new programs to train, upgrade and improve the skills of workers from underrepresented religious groups;
- (8) establish procedures to assess, identify and actively recruit employees from underrepresented religious groups with potential for further advancement, and
- (9) appoint a senior management staff member to oversee affirmative action efforts and develop a timetable to ensure their full implementation.

The contractor agrees that the covenants and representations in Article I above are material conditions to this contract. In the event the contracting entity receives information that the contractor who made the stipulation required by this section is in violation thereof, the contracting entity shall review such information and give the contractor an opportunity to respond. If the contracting entity finds that a violation has occurred, the entity shall have the right to declare the contractor in default and/or terminate this contract for cause and procure the supplies, services or work from another source in any manner the entity deems proper. In the event of such termination, the contractor shall pay to the entity, or the entity in its sole discretion may withhold from any amounts otherwise payable to the contractor, the difference between the contract price for the uncompleted portion of this contract and the cost to the contracting entity of completing performance of the contract, either itself or by engaging another contractor or contractors. In the case of a requirements contract, the contractor shall be liable for such difference in price for the entire amount of supplies required by the contracting entity for the uncompleted term of its contract. In the case of a construction contract, the contracting entity shall also have the right to hold the contractor in partial or total default in accordance with the default provisions of the contract, and/or may seek debarment or suspension of the contractor. The rights and remedies of the entity hereunder shall be in addition to, and not in lieu of, any rights and remedies the entity has pursuant to this contract or by operation of law

**(NO FURTHER TEXT ON THIS PAGE)**

**RESIDENT ENGINEERING INSPECTION  
INSTRUCTION MANUAL**

## **INDEX**

|  |              |
|--|--------------|
| <b>RESPONSIBILITY</b>                                    | <b>1</b>     |
| <b>PRIOR TO CONSTRUCTION START</b>                       |              |
| <b>Deliverables</b>                                      | <b>1,2</b>   |
| <b>Specifications</b>                                    | <b>2</b>     |
| <b>Resumes</b>   | <b>3</b>     |
| <b>DURING CONSTRUCTION, DAILY</b>                        |              |
| <b>Maintenance &amp; Protection of Traffic</b>           | <b>3</b>     |
| <b>Records</b>   | <b>3,4</b>   |
| <b>Call In</b>   | <b>4</b>     |
| <b>DURING CONSTRUCTION, PERIODICALLY</b>                 |              |
| <b>Progress Meetings</b>                                 | <b>4</b>     |
| <b>DURING CONSTRUCTION – ON-GOING</b>                    |              |
| <b>Prior to any new Operation</b>                        | <b>4,5</b>   |
| <b>Field Directives</b>                                  | <b>5</b>     |
| <b>Subcontractors</b>                                    | <b>5</b>     |
| <b>Change Orders/Material / Substitutions</b>            | <b>4,6</b>   |
| <b>Overtime</b>  | <b>6</b>     |
| <b>Payments</b>  | <b>6</b>     |
| <b>Emergencies</b>                                       | <b>6</b>     |
| <b>Interviews</b>  | <b>6</b>     |
| <b>Correspondence</b>                                    | <b>6</b>     |
| <b>Pedestrian Ramps</b>                                  | <b>6</b>     |
| <b>Coordination</b>                                      | <b>7</b>     |
| <b>Renegotiable Items</b>                                | <b>7</b>     |
| <b>Time Extension</b>                                    | <b>7</b>     |
| <b>Communications</b>                                    | <b>7</b>     |
| <b>Measurements</b>                                      | <b>7</b>     |
| <b>SPECIAL TOPICS FOR CONSULTANT ENGINEERS</b>           | <b>7</b>     |
| <b>SPECIAL NOTES FOR FEDERAL / STATE FUNDED PROJECTS</b> | <b>8-11</b>  |
| <b>QUALITY ASSURANCE CHECKLIST</b>                       | <b>12-13</b> |
| <b>TYPICAL PROGRESS MEETING AGENDA</b>                   | <b>14</b>    |
| <b>RESIDENT ENGINEER’S CERTIFICATION</b>                 | <b>15</b>    |

## **RESPONSIBILITY:**

The Resident Engineer is the Department's representative at the construction site and has direct responsibility of ensuring that the City's interests and the public safety are protected. It is the Resident Engineer's function to see that the work performed is in full conformance with all the legal, technical, and administrative requirements of the contract and good construction practices. The Resident Engineer takes full responsibility for the work and must take an active and decisive role in guiding the project to completion. To properly carry out his function, the Resident Engineer must anticipate, rather than react to problems and recommend, rather than request solutions.

The following guide is presented as an aid to the Resident Engineer in fulfilling his obligations. It is not intended to be all inclusive and the Resident Engineer must, above all, recognize his obligation to be cognizant of the contract's specific requirements, and to ensure their fulfillment.

## **PRIOR TO CONSTRUCTION START:**

### **Deliverables**

Prior to a construction start, the Resident Engineer must familiarize himself with the specific job requirements and ensure that all specified deliverables (certifications, approvals, notifications, requests, permits, etc.) are supplied and approved at the appropriate time.

Typically, these deliverables include:

- 1) A list of the names and telephone numbers of responsible persons who are empowered to take the necessary steps to correct emergency or hazardous conditions. This list should be forwarded to the DOT Situation Room. See also "Emergencies" on page 6.
- 2) Contractor's proposed progress schedule and tabulation of anticipated monthly cash flow requirements.
- 3) Details of proposed procedures and equipment to be used by the Contractor in each phase of construction.
- 4) A breakdown of the lump sum bid items, showing the value of the component work operations and materials which comprise the lump sum bid.
- 5) Notifications must be sent to the Departments, agencies, authorities specified in the contract documents of the intended date for construction start.
- 6) Preconstruction meeting participation must be held with OCMC for final approval of the traffic control measures to be implemented.
- 7) Project signs must be installed as required. Resident Engineer must ensure the correct names on the sign.
- 8) Design of asphalt and concrete mixes must be submitted and approved.
- 9) The Contractor must submit a study prepared by a Professional Engineer (P.E.) registered in the State of New York showing condition of the existing structure and the sizes and weights of vehicles and equipment which can safely be used during construction.
- 10) All shoring which is determined necessary as a result of the above study must be designed by a P.E. and approved by.

- 11) If called for by the specifications, the Contractor may also be required to provide a tabulation of all vehicles or equipment hauling materials over the public road system, shoring and/or project site. Vehicles weights (laden & unladen) the proposed payloads and permits, if applicable.
- 12) Preconstruction progress photographs and videos.
- 13) All applicable permits.
- 14) Railroad Training, if required.
- 15) All Lane/Bridge closure conforms to the NYCDOT Standard Operating Procedures (SOP).
- 16) Community notification and newsletter are prepared and distributed as per NYCDOT Standard Operating Procedures (SOP).
- 17) Prior to start of field work the Resident Engineer shall request the contractor to submit SAFETY and HEALTH PROCEDURES.

### **Specifications**

Prior to construction start the Resident Engineer shall also obtain and become totally familiar with all appropriate specifications pertaining to the project. Typically these include:

- a) New York State Department of Transportation Standard Specifications, including all addenda.
- b) New York State Steel Construction Manual.
- c) MURK
- d) City and State Standard Sheets
- e) Technical and contractual specifications specifically printed for the project.
- f) NYSDOT Construction Inspection Manual.
- g) NYSDOT Pre-stressed Concrete Construction Manual.
- h) MUTCD
- i) Quality Assurance Requirements
- J) NYCDOT Lead Protocol

At this time, the Resident Engineer shall compile a list of all items for which materials acceptance Documentation is required. This list shall be broken down by item and shall indicate which proofs of Acceptability are required. Upon approval by Q.A., a copy of this list shall be given to the Contractor for his guidance.

### **RESUMES:**

The Resident Engineering Inspection Consultants shall also submit for NYCDOT approval the resumes of all personnel to be assigned to the project.

### **DURING CONSTRUCTION (Daily)**

#### **Maintenance & Protection of Traffic**

Daily the Resident Engineer shall verify that traffic control devices, detour, warning and project signs, lights, and barricades are in place and operating properly. Maintenance & Protection of Traffic status should be documented each day on the Engineer's Report.

It should be noted that the contract provides serious consequences for failure to provide proper traffic protection facilities. Accordingly, the Resident Engineer must fully document, in a written notice to the Contractor, any deficiencies found. The contract section entitled, 'Damages for Failing to Provide Traffic Facilities' provides for the contractor to be charged a specific dollar amount per calendar day, for each day after receipt of written notice from the Resident Engineer, during which corrections have not been made.

In addition, the New York State specification for Maintenance and Protection of Traffic is typically incorporated into the Bridge Construction contracts. This provides for additional charges against the Contractor as follows:

- a) Non-payment for Maintenance of Protection of Traffic for each day (including the first) during which deficiencies exist.
- b) Liquidated damages at the same rate specified for failure to complete the project within the time allocated, assessed for each day during which deficiencies exist.

Further, should deficiencies last for more than 24 hours, the Resident Engineer can order corrections to be made by the outside forces and/or stop the work. These last provisions should be used only as a last resort and only with prior concurrence of DOT Bridges.

### **Records**

Daily, the Resident Engineer shall ensure that all field office records are accurate and up to date. These include:

- a) The Resident Engineer's Diary
- b) Inspector's Reports
- c) Materials acceptance records
- d) Correspondence
- e) Transmittals
- f) Certifications
- g) Test results
- h) Change Orders
- i) Payments (including Railroad)
- j) Minutes of meetings
- k) As-Built drawings
- l) Quantity books
- m) Pay Item folders
- n) Shop Drawings
- o) Force Account (labor, equipment and materials)
- p) Field Directives
- q) Agency sign-off letters
- r) Accident/Incident reports
- s) Lane Closure
- t) Field Orders
- u) Stop Work Order
- v) Implementation of Work over Water (WOW) requirements
- w) Implementation of Gridlock Alert Days
- x) Other files as necessary  
(see also QA Checklist, pgs. 12 & 13, attached)

In case of disputed work, careful records must be kept as to the time and materials used.  
(See also page 5 "Change Orders")

### **Call In or Fax**

Daily the Resident Engineer shall call DOT Bridges at the start and end of each work day.

### **Progress Meetings**

The Resident Engineer shall hold frequent regularly scheduled (i.e., monthly or more often if operations or problems require) job meetings with the Contractor to discuss the job status and to:

- a) Learn the schedule of, and prepare for the upcoming operations.
- b) Discuss and resolve to the extent possible present and potential problems.

Attendees will include the Resident Engineer, the Contractor, the Project Engineer, the Engineer-in-Charge and/or the Director. Other parties should also attend as appropriate. An agenda should be prepared in advance. A typical agenda is shown on page 14 of this checklist. The meeting will be chaired by the Resident Engineer and minutes shall be kept under his direction. Draft Minutes of the Meeting shall be distributed within four (4) days of the meeting.

### **Prior to any new Operation**

The Resident Engineer shall:

1. Have on hand, and in working order, all necessary field testing equipment and backup equipment.
2. Ensure that all inspectors are thoroughly trained in the inspection requirements of the particular operation to which they have been assigned, i.e., concrete slump testing, maximum delivery times allowed, delivery certification, etc.
3. Ensure that the Contractor has sufficient and adequate manpower and equipment to perform the operations planned in conformance with contract requirements. On critical operations, backup equipment and material must be available.
4. Ensure that the associated subcontractors and/or suppliers (if any) have been approved. (See also "subcontractors" below).
5. Provide all Insurance requirements.

### **Field Directives**

The Resident Engineer will issue field directives as required. Directives relating to the Contractor's failure to comply with the plans and specifications should be brought to the attention of the NYCDOT Project Engineer at once. If the Contractor's noncompliance continues after receiving a field directive, the Resident Engineer will reject the work and document the incident.

### **Subcontractors**

The Resident Engineer will ensure that all subcontractors qualifications are submitted to DOT Bridges for approval.

The Resident Engineer will ensure that Business Entity, Subcontractor and Principal Questionnaires are submitted to ACCO for all subcontractors whose aggregate business with the City during last 12 months is \$100,000.00 or more.

### **Change Orders / Material Substitutions**

The Resident Engineer cannot authorize Change Orders. Department procedures for Construction Change Requests and Change Orders will be followed. Change Orders for work involving other City agencies will require that Agency's approval.

The Resident Engineer must promptly evaluate allegations of changed conditions and submit a finding to the Project Engineer.

The Resident Engineer must document all disputed work. If CCR is required, the Resident Engineer will evaluate the cost estimate submitted by the Contractor and prepare the CCR. The Resident Engineer may sign the MURK forms for disputed work, but must write in as "DISPUTED WORK".

Changes to the contract which do not involve additional cost must be approved in advance by the DOT Bridges.

**Material substitutions must be approved in advance by DOT Bridges.**

### **Overtime**

Overtime, other than covering unforeseen situations, requires prior approval.

### **Payments**

The Resident Engineer is responsible for the preparation of payments to the Contractor (and the Railroad, when required). The Resident Engineer shall ascertain that the payment package is complete (e.g., vouchers, affidavits, payrolls, overrun statements with explanations, contractor's requests, contractor's certificate, LBE letters, stored materials' forms, Change Orders, appropriate materials acceptance records) accurate and is promptly submitted. Payments for change orders will be done separately. Only one partial payment and one change order payment can be done in 30 days.

### **DURING CONSTRUCTION (On an on-going basis)**

Payments for storage materials will be a separate payment.

Payments for Traffic Agents will be a separate payment.

### **Emergencies**

Emergencies shall immediately be reported to DOT Bridges. Emergencies involving traffic should also be reported to the Department of Transportation Situation Room (718) 433-3340.

### **Interviews**

Requests for interviews from the media, job related information, etc., must be approved by the Department of Transportation, Public Information Office. (Contact: (212) 442-7033)

### **Correspondence**

All letters are to be written in coordination with the Project Engineer from the Division of Bridges.

### **Pedestrian Ramps**

The Resident Engineer will ensure that pedestrian ramps are built according to the latest standard, which will be provided by the Project Engineer. If a ramp cannot conform to the standard, it will be deleted and the Resident Engineer will secure a waiver.

### **Coordination**

The Resident Engineer will be responsible for coordination between the Contractor, other Agencies and Utilities. The Resident Engineer will be responsible for inviting all participating agencies to the Final Inspection.

### **Renegotiable Pay Items**

The Resident Engineer will monitor all renegotiable pay items. If the quantity of a renegotiable item exceeds the specified limit, the Resident Engineer will prepare a cost analysis of that item. The costs will be negotiated with the Engineering Audit Bureau.

## **Time Extension**

If the contract time is in danger of running out, the Resident Engineer will be required to evaluate the contractor's request for a time extension in enough time to preclude payment delays.

## **Communications**

The Resident Engineer will keep the Project Engineer informed of all progress, problems, possible bottle necks, delays, safety violations, poor workmanship, and non-cooperation from their contractor. He shall document everything in writing.

## **Measurements**

- Measurements are to be made expeditiously and timely. (Don't wait for sewer to be backfilled before measuring length of pipe.)
- Make measurements with a Contractor's representative to eliminate differences of opinions in the future.
- Measurement and calculations are to be independently checked and initialed.

## **SPECIAL TOPICS FOR CONSULTANT RESIDENT ENGINEERS**

- No personnel changes can be made without Department of Transportation's prior approval. All requests for personnel change approval must be accompanied by a resume of the person to be considered for appointment.
- Regular Consultant partial payments must be submitted monthly. Also one change order partial payment per month may be submitted simultaneously.
- A job safety letter signed by the Consultant Project Manager must accompany each payment.
- The Consultant's Project Manager shall monitor all REI costs and notify the Department Project Engineer of any shortage or surplus. Manpower is to be based on the Contractor's activity and the Consultant's proposal.
- Rates for Consultant personnel are subject to adjustment once in a contract year.
- The Resident Engineer's primary contact with the Department of Transportation shall be the Division of Bridges' Project Engineer.
- The cost of procuring all specification publications other than those specifically published for the project will be considered as overhead and will not be reimbursable as an out of pocket expenses.

## **SPECIAL NOTES FOR STATE OR FEDERAL FUNDED CONTRACTS**

Projects funded by the State and/or Federal government are also subject to review by those Agencies. The following checklist is used by the New York State DOT Region 11 engineers monitoring such projects. The Resident Engineer shall also use this checklist to assure that all necessary steps, test procedures, recordkeeping are performed in full compliance with State requirements.

### A. Monitoring Checklist

1. Preliminary Documentation
  - a. Recommendation to Award & Preconstruction Meeting
  - b. Order on Letter from NYCDOT
  - c. Adequacy of City personnel
  - d. Adequacy of Field Office

- e. Contractor Submissions
  - 1) Progress schedule
  - 2) Preliminary cross sections
  - 3) Preconstruction photos
- f. Notification to all utility companies to make necessary relocations or necessary upgradings.
- g. Bid item list, share breakdown
- h. Schedule A

## 2. Engineer's Project Records

- a. Diary
- b. Inspector's Daily Report (IDR)
- c. Quantity reports from other agencies – Water, Street Lighting, and Traffic
- d. Other source documents – sketches, field books, check all for location, dimensions, references
- e. Sidewalk cards – broken down assessable and non-assessable
- f. Cross Sections
- g. Other required documentation
  - 1) Material certifications
  - 2) Approved mix designs
  - 3) Approved plants and concrete delivery trucks documents
  - 4) Plant reports, truck tickets
  - 5) Suppliers, manufacturer, subcontractor approvals
  - 6) Shop Drawings – structural steel, rebars, catch basins, manholes, electrical
  - 7) Mill Reports
  - 8) Standard Sheet conformance
  - 9) New York City Department of Highways stamp on Vitrified Pipe or State Stamp
  - 10) Field samples taken, submitted, and results recorded on asphalt, concrete cylinders, sand, brick, curing compound tack coat, cores, rebars, etc.
- h. Special documentation – EEO reports, trainee conformance, payrolls; done by Bureau of Labor Services

## B. Construction Practices Documentation

- 1. For All Pay items – follow proper construction practices and conformance with specifications shall be assured.
- 2. Major things to watch
  - a. Maintenance and Protection of Traffic – cones, signs, PVC barricades with flashers, side street closings, problems with merchants, residents and Sanitation Department moving barricades shall follow special traffic stipulations from the contract proposal book and detour schemes from the plans.
  - b. Tree removals – Parks Department to be inspected and approved by them.
  - c. Limits of sidewalk to be removed shall be marked out.
  - d. Excavation or demolition – assure prompt removal and safe shoring..
  - e. Safety – trenches shall be backfilled promptly and all hazards be delineated.
  - f. Periodic Federal Highway Administration inspections.

## C. Orders on Contract (Change Orders)

- 1. Major changes to the contract require approval from the New York State DOT and FHWA prior to work being started. Under special circumstances, verbal approval may be given by the New York State DOT and FHWA for the work to proceed before the Order on Contract has been approved.

2. Extra work – provide detailed breakdown for agreed price.
3. CONR 7 – provide by fiscal share when applicable.

D. Extensions of Time Documentation

1. Request shall be sent by the Contractor to the New York City DOT.
2. New York City DOT will forward the requests to the New York State DOT with:
  - a. Acceptable reason
  - b. Reasonable Time request
  - c. Liquidated damages recommendation

E. Partial Payments Documentation

1. Transmittal Letter
2. FIN 392
3. Capital Payment Voucher (with proper signatures)
4. Payment sheets (with proper signatures)
5. Overrun statements (with proper signatures)
6. Share breakdown (with proper signatures)

F. Final Inspection Documentation

1. Completed Punch List (preliminary)
2. Final Punch List created during final inspection
3. Other agencies separate final inspections' document approval shall be received from the Traffic, Water Department, Street Lighting, the Parks Department, and Sewers.

G. Final Payment & Estimate Package includes:

1. Final Punch List Inspection completed.
2. All final quantities completed – Contractor agrees
3. Proper format shall be used (similar to partial payment format) as follows:
  - a. Overrun/Underrun statements (for all items)
  - b. Credits, deductions documents
  - c. PR47
  - d. HC144 or Contractor's Wage Certification
  - e. Engineer's Affidavit of Materials (HC 193)
  - f. Certificate of Acceptance by the New York City DOT
  - g. Statements of granular material, cores, contract time, etc.
  - h. DBE Compliance Statement from
4. All records shall be in the proper boxes and sent to Borough Office for a 3 years storage after Final Acceptance by FHWA

H. Final Acceptance Documents – The requirements are basically the same as for the State let Non-Certifications Acceptance (NCA) project. A New York City acceptance form is acceptable as a substitute for the State form. Upon completion of the contract work, five copies each of the following documents will be distributed as follows: 1 copy to Region 11 field office; 1 copy to Region 11 Construction Office; 3 copies to Construction Division in Albany.

1. Final Agreement – shall include a tabulation of authorized quantities, final quantities and final amounts for all contract items, similar in format to the Department's CONR 22, together with explanations for all increases and decreases.

2. Statement of Material and Labor on a Federal Form PR-47. One original of this form shall be sent to FHWA.
3. Contractor's Final Wage Certificate: The required text for this certificate is contained in the Federal Form PR-1273 and is reproduced on the Department's Form HC-144. The HC-144 does not have to be used, but the text of the certification must be the same. One copy of the certificate must be the same. On copy of the certificate must obtain an original signature.

Final Inspection (continued)

4. Materials Certification: The certification should be similar to the Department's HC-193 Certification but shall include reference to NYC specifications. One copy of the copy of the certificate must contain an original signature. See #5 Evidence of Contract Acceptance, below.
5. Evidence of Contract Acceptance: A letter of acceptance from the City is required. It is possible to combine the Material Certification and NYC Acceptance in a single document.
6. FHWA also requires a NYS Acceptance (Form R45C) which the Construction Division will add to the documentation package. NYS Region 11 completes the R45C with the following statement: "the checking by (name of contractor) was monitored by spot checking by (name of NYSDOT representative), State Representative and the same was found to be generally completed in accordance with the contract specifications."

**NOTE:** Additional copies of the Final Agreement and Evidence of Contract Acceptance may be required for the payment estimate. All projects require a signed Schedule A.

## ATTACHMENT A

### QUALITY ASSURANCE CHECKLIST

1. A list of all proposed subcontractors and suppliers must be submitted to the NYCDOT Construction office for review and approval.
2. MTLs Inspection and Approval should be performed in accordance with the NYSDOT Procedures and Methods, and it should be the responsibility of the Consultant.

Only NYCDOT approved Plants, Manufacturers, Suppliers and Equipment may be used on the project.

Materials requiring sampling, testing or offsite inspection will be approved by the Quality Assurance (Q.A.) (Construction). CMS will provide the description and review all materials testing data to certify compliance with the standards and specifications and issue the Acceptance/Rejection documentation.

3. The Contractor shall provide approved copies of shop drawings to Q.A.
4. Contract "Buy America" provisions must be met on Federal Projects.
5. Mix Design Formulae of Asphalt and Concrete should be submitted to Q.A. for review and approval.

NYCDOT Ordering procedures of Asphalt and Concrete are to be followed.

6. Record Keeping (MURK) requirements:

- a. Engineer's Diary (MURK 26), Exhibit No. 1.02, PR 3-2 shall include:

review of all materials testing data, certifications of their compliance with standards and specifications.

Visitor Sign in (separate book)

Reviews by Project Engineer with signatures

- b. Inspection Daily Reports – MURK Forms 1c(p3-4); 3a(p3-20), 5c(p-3-22), 4c(p3-25)

No white-outs are allowed

Must include sketches and calculations for payment

If there are no activities, no IDRs are required. However, MPT, if required, must be reported.

All field samples taken, testing and materials, arriving at job-site shall be documented.

- c. MTLs Acceptance Record (M.A.R.)

Develop a M.A.R. (in a binder) forms for all pay items.

A MURK 14b Form, Exhibit .03B Pages 3-10, must be filled out for each item.

Develop a folder for each pay item, titled with item number and description. In each of these Folders, the following must be kept:

- i. All documents required for acceptance and payment for the item

- ii. Any Mill Test Reports or Inspection Reports or Lab Test Reports

All above documents must be originals with the exception of Mill Reports.

Folders for Concrete and Asphalt Documentation.

Concrete Cylinders Test Reports

d. Monthly and Final Estimate Book (Quantities Book)

e. Correspondence Folder

(Approval Letters, job related correspondence)

7. Air Pots (2), Slump Cone, Thermometers, Weather Stations and all equipment required for concrete sampling and control testing must be provided, and in working condition, before concrete arrives at the job-site.
8. Concrete Cylinder Curing Box must be maintained, full of water, temperature controlled, etc., at all times when cylinders are being cured.
9. A pre-placement for concrete and asphalt prior to placement.
10. Fabrication Management Services (FMS), a unit within the Quality Assurance Section of Bridge Construction, will monitor In-Process Inspections for prestressed/precast concrete elements, structural steel elements and various metal components conducted by inspection agencies hired through the Consultant.

The Consultant will coordinate the initial start up of shop inspections for each fabricator and monitor inspection reports .

FMS will determine the scope and intensity of the shop inspections, advise inspectors and their agencies what is expected of them, communicate directly with shop inspectors to resolve problems and reject/accept fabricated materials.

**ATTACHMENT B**

**TYPICAL PROGRESS MEETING AGENDA**

Contract Name: \_\_\_\_\_ Contract No. \_\_\_\_\_

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

**PRESENT STATUS**

Approximate Cost to Date: \_\_\_\_\_

% Complete: \_\_\_\_\_

% of Contract Time Elapsed: \_\_\_\_\_

Work done in past Month \_\_\_\_\_

\_\_\_\_\_

Work to be done this Month \_\_\_\_\_

\_\_\_\_\_

Work ahead of schedule \_\_\_\_\_

\_\_\_\_\_

Reason: \_\_\_\_\_

Work behind Schedule \_\_\_\_\_

\_\_\_\_\_

Reason: \_\_\_\_\_

Any Issues:\* \_\_\_\_\_

\_\_\_\_\_

Old business: \_\_\_\_\_

\_\_\_\_\_

New business: \_\_\_\_\_

\_\_\_\_\_

Next Meeting Date: \_\_\_\_\_

\*Construction Issues, Change Order, Quality Assurance, Utility Issues, Inter-Agency, Railroad Issues, Safety Issues, Community Issues, etc.



## HAZARDOUS WASTE MANAGEMENT

### DESCRIPTION OF WORK

Under this item the Consultant shall provide a Hazardous Waste Management Team (HWMT) which shall be responsible for but not limited to the following:

#### I. GENERAL REQUIREMENTS

##### A. Personnel

1. The HWMT shall have on site at all times during abrasive blasting paint removal:
  - a. an individual with a bachelors degree in Environmental Engineering and at least one year of experience in hazardous material abatement supervision to oversee testing and monitoring;
  - b. an individual with a bachelors degree in Industrial Hygiene, Environmental Health Science, or equivalent, and one year of experience in hazardous material abatement worker safety to observe contractor compliance with United States Occupational Safety and Health Administration (OSHA); and
  - c. an individual, possibly one of the two above mentioned, trained to detect visible emissions as per 40 CFR 60.
2. The HWMT shall provide a competent person to be on site during hazardous material transportation pick-up, and to be on site at least once every twenty cumulative days of activity during non-“abrasive blasting” paint removal activities to spot check contractor compliance with OSHA, conduct real time monitoring, and perform other HWMT tasks as directed by the NYCDOT.

##### B. Oversight of Contractor's paint removal operations

1. The HWMT shall review and be responsible for the approval of the Contractor's proposed Worker Health and Safety Plan, containment System Plan, and Decontamination Measures.
2. The HWMT shall observe the Contractor's compliance with all applicable OSHA requirements during abrasive blasting, spot check compliance during any non-“abrasive blasting” paint removal activity at least once every twenty cumulative days of activity, and promptly notify the New York City Department of Transportation (NYCDOT) of compliance problems.
3. The HWMT shall observe decontamination of all abrasive blasting containment structures, removal and disposal of lead paint debris, and promptly notify the NYCDOT of any violations of applicable federal, state, and local laws, rules, regulations and codes.
4. The HWMT shall order the contractor to temporarily halt abrasive blasting activities if the containment fails to perform as it was designed until such time as those activities may be properly continued.
5. The HWMT shall inspect and document the number and locations of the blasting guns and their hours of operation, and the condition of the containment structure throughout the abrasive blasting operation.
6. The HWMT shall maintain records of all hazardous waste associated identification numbers, certificates, manifests and other incidentals necessary pursuant to all applicable statutes, regulations, and contract specifications and submit them to the NYCDOT.
7. The Resident Engineer will be responsible for implementation of “Final Environmental Impact Statement (FEIS).

##### C. The HWMT shall be required to attend a Pre-Construction Meeting (to be scheduled by the NYCDOT) and notify representatives from the following regulatory bodies so that they may be aware of the meeting and have the option to attend.

1. United States Environmental Protection Agency (USEPA)
2. United States Occupational Safety and Health Administration (OSHA)
3. New York State Department of Environmental Conservation (NYSDEC)
4. New York City Department of Environmental Conservation (NYCDEC)
5. New York State Department of Health (NYCDOH)
6. Mayor's Office of City Wide Occupational Safety and Health (COSH)

- D. The HWMT shall conduct all work, including quality assurance and quality control procedures, monitor preparation, installation, operation, inspection, analysis and the reporting of all results in compliance with all local, state, and federal regulations related to air monitoring and analysis, and shall adhere to national hygiene standards.
- E. The HWMT shall certify to the Commissioner that all abrasive blasting paint removal containment structures, paint waste storage, paint waste disposal and abrasive blasting paint removal worker safety work were accomplished in accordance with the contracts, plans, and specifications that are associated with this agreement. All contracts, plans, and specifications associated with this agreement are available for review at the office of the NYCDOT.

## **II TESTING AND MONITORING REQUIREMENTS**

The HWMT shall perform paint testing, paint residue testing, real time air monitoring, visible emissions observation, ambient air monitoring, and surface soil sampling as described below. The HWMT will provide a detailed quality assurance plan for NYCDOT approval prior to conducting any sampling.

### **A. Testing of paint and paint residue.**

The HWMT shall be required to test for lead in the existing paint on the bridge (as per method 6010 in EPA SW-486) and to conduct Toxic Characteristic Leaching Procedure [TCLP] tests (as per Appendix II of 40 CFR 261) of the paint residue generated, contained, and disposed of as a result of the paint removal activities associated with this agreement.

1. The sampling and testing of paint chips prior to the beginning of the paint removal activities, is to establish whether the paint is lead containing by analyzing the sample for total lead. At least three samples of the existing paint shall be taken in order to provide representative samples that will characterize the bridge paint. The HWMT may request additional tests if required in order to achieve a representative test. When removing paint samples from a bridge, it is essential that the total thickness of paint be removed without including rust or mill scale in the samples sent to the laboratory.
2. The TCLP tests shall be conducted to determine if the waste contains hazardous levels of contaminants as per 40 CFR 262.11 with the procedures found in 40 CFR 261. A minimum of four composite samples shall be taken per bridge, selected randomly from the residue material deposited into storage drums on a daily basis during the projected time frame of the paint removal project. The HWMT shall confirm the validity of the sample selection process at each individual site and may request additional samples.
3. The HWMT shall deliver a report to the NYCDOT promptly after the analysis of each sample taken. The reports shall detail at minimum, the following:
  - a. name and address of the laboratory
  - b. sampling and laboratory analysis procedures and results, contaminant, USEPA Hazardous Waste number, Chemical abstracts service number, and regulatory level.

### **B. Real Time Monitoring**

1. The HWMT shall perform real time air monitoring with an instrument such as the hand-held air monitor (HAM) or the MINIRAM during abrasive blasting lead paint removal operations.

2. Background readings will be taken around the work site each day at least one half hour before blasting begins to determine background. On at least an hourly basis, readings will be taken of the entire perimeter of the worksite. A minimum of five ten-second readings per hour shall be taken at the air filtration and/or dust collection filters. Readings will be taken whenever and wherever any suspected or visible lapses in the containment occur.
3. Readings by the hand-held instruments should not exceed three times the background. If such readings are observed, immediate assessment of the cause, development of solutions, ordering of the correction, and observation of the correction of conditions causing the exceedance will be done by the HWMT. If a particulate level of greater than 450 ug/m<sup>3</sup> is observed, and the cause is not found and corrected so that the level is not reduced to below 450 ug/m<sup>3</sup> within one half hour, the HWMT will order that blasting be suspended until the cause is found and corrected. In addition, any reading in excess of 250 ug/m<sup>3</sup> will require assessment.
4. Records of any exceedances and associated corrective measures shall be kept by the HWMT and submitted to the NYCDOT as soon as possible. Results for this parameter will be expressed as concentrations in micrograms per cubic meter (ug/m<sup>3</sup>).
5. Particulate levels and the time and place of the readings shall be recorded in a daily log. A written report documenting the results of each days air monitoring activity shall be provided to the NYCDOT, NYCDEP Deputy Commissioner of the Bureau of Air Policy and Programs, NYCDOH Deputy Commissioner of Environmental Health Services, Director of the Mayor's Office of Construction, affected Community Boards, affected Borough Presidents, and affected Council Districts within four days of the monitoring Reports shall begin with a summary page high-lighting any exceedances, problems, and associated corrections. The reports shall be submitted to the NYCDOT first, with a delay, not to exceed 24 hours before submittal to the remainder of the recipients listed above. Reports shall detail at minimum, for each instance of monitoring:
  - a. date, name and location of job site, time monitoring begins and ends
  - b. identification and serial number of monitoring unit
  - c. specific location of monitoring unit on a map, not to scale
  - d. specific location of lead paint removal activity on a map, not to scale
  - e. equalitative estimate of wind direction/velocity (as observed on-site)
  - f. the flow chart that records the rate of air flow across the filter throughout the sampling period, and the signature of the data collector.

### **C. Visible Emissions**

1. The HWMT will be required to maintain records of any observed visible emissions during abrasive blasting lead paint removal operations. All visible emissions, not just those that exceed the New York State Standard (the standard) listed below will result in the HWMT conducting prompt assessment, developing solutions and observing corrective action. If corrective action is not completed within five minutes, or if the standards are exceeded, the HWMT shall order blasting suspended until corrections are made. New York State regulations (see NYCRR Part 211) prohibit visible emissions of 20 percent or greater average opacity for more than one six minute period in an hour. The opacity must not exceed 57 percent during that period.
2. In the event that fugitive particulate emissions are observed, at minimum, the HWMT shall note:
  - a. Emission Frequency – the percentage of time that emissions are visible during the observation period.
  - b. Emission Time – the accumulated amount of time that emissions are visible during the observation period.
  - c. Opacity of Emission – percent blockage of light as determined by a trained observer.

- d. Source of Emissions – location on the containment structure or the structure being cleaned.
  - e. Observer's name: organization.
  - f. Qualitative estimate of wind velocity/direction (determined on-site by visual observation), and Sky (weather) condition.
  - g. Observer location relative to the source of the emission and the sun.
3. Each observation period, during a visible emission shall not be less than six minutes in duration. The observers shall be located at a position which enables a clear view of the potential emission points of the affected operation (A position at least 15 feet, but not more than 0.25 miles from the emission source is recommended). The position shall be selected so that the sun is not directly in the observer's eyes.
- A written report documenting the results of each day's air monitoring activity shall be provided to the NYCDOT, NYCDEP Deputy Commissioner of the Bureau of Air Policy and Programs, NYCDOH Deputy Commissioner of Environmental Health Services, Director of the Mayor's Office of Construction, affected Community Boards, affected Borough Presidents, and affected Council Districts within four days of the monitoring. Reports shall begin with a summary page high-lighting any exceedances, problems, and associated corrections. The reports shall be submitted to the NYCDOT first with a delay not to exceed 24 hours, before submittal to the remainder of the recipients listed above.

#### **D. Ambient Air Monitoring**

1. The HWMT shall conduct ambient air monitoring for particulates and lead emissions during abrasive blasting lead paint removal operations using high volume air samplers. The HWMT will collect nominal eight-hour air filter samples at fixed locations that will be analyzed for all particulate matters less than ten micrometers in diameter (PM10) and for the lead content of total suspended particulate matter (TSP). PM 10 is the mass concentration of particulate matter with an aerodynamic diameter less than or equal to a nominal ten micrometers. TSP is the Total Suspended Particulate matter to determine lead levels. Results for both of these parameters will be expressed as concentrations in micrograms per cubic meter (ug/m3).
2. Ambient air monitoring will be performed on a continuous basis for a nominal eight hour period, beginning at least ½ hour prior to abrasive blasting and continuing for a minimum of ½ hour after abrasive blasting has ended, including clean up activities and dismantling of the containment structure. If these activities take longer than eight hours on any day, the sampling period will be extended to include all blasting, clean up and disassembly. Air monitoring will be evaluated on a continuous basis.
3. Information recorded for each monitor on each day of operation shall include the following at a minimum:
  - a. date, name and location of job site, and time monitoring begins and ends
  - b. identification and serial number of monitoring unit
  - c. specific location of monitoring unit on a map, not to scale
  - d. specific location of lead paint removal activity on a map, not to scale
  - e. qualitative estimate of wind direction/velocity (as observed on-site)
  - f. the flow chart that records the rate of air flow across the filter throughout the sampling period, and the signature of the data collector.
4. A written report documenting the results of each day's air monitoring activity shall be provided to the NYCDOT, NYCDEP Deputy Commissioner of the Bureau of Air Policy and Programs, NYCDOH Deputy Commissioner of Environmental Health Services, Director of the Mayor's Office of Construction, affected Community Boards, affected Borough Presidents, and affected Council Districts within four days of the monitoring. Reports shall begin with a summary page high-lighting any exceedances, problems, and associated corrections.

The reports shall be submitted to the NYCDOT first, with a delay not to exceed 24 hours, before submittal to the remainder of the recipients listed above. Reports shall detail at minimum the information recorded for each monitor as listed above and the analysis results for both lead and particulates.

5. To collect samples for the analysis of both lead and particulate matter, a minimum of five sets of high volume air monitors shall be used. At each sampling station, a minimum of two monitors shall be required, one for the collection of PM<sub>10</sub> and one for the collection of TSP. The ultimate placement of each monitoring station shall be subject to approval by the NYCDOT. The placement of the monitors shall be as follows:
  - a. Four sampling stations located in the closest public access areas to the work area and positioned in such a way as to measure community exposure to any matter escaping from the containment. The four monitoring stations should roughly surround the work area when possible. The determination of where to place monitors at any particular work site must be based on a combination of factors, including wind direction, size and position of the structure and containment, and proximity to the surrounding community.
  - b. A fifth sampling station to measure background lead and particulate levels should be located approximately one-half mile from the work site. At this sampling station, both PM<sub>10</sub> and TSP will be monitored. This sampling station shall be located in a location not in the vicinity of a local source of lead/dust emissions.
6. Air samples shall be collected using sampling apparatus that meet USEPA specifications for TSP and PM<sub>10</sub> analysis outlined in 40 CFR 50, Appendices B, G, J for TSP and PM<sub>10</sub> analysis. Samples shall be collected with high volume air pumps and 20.3 +/-0.2 X 25.4 +/-0.2 cm (nominal 8 x 10 in.) glass fiber (or relatively inert, nonhygroscopic material) filters. The laboratory shall be a New York State Department of Health certified laboratory and shall meet USEPA certified laboratory protocol (CLP) for this type of analysis.
7. The filters shall be pre-weighed for gravimetric sampling. The sampling train shall be pre-calibrated. Minimum sample flow rate, heavily loaded filter: 39 cubic feet/minute. Maximum sample flow rate. Clean filter: 60 cubic feet/minute. (Note: filters shall be replaced as often as necessary to ensure a constant flow rate and to prevent caking of material on the filter face.) Post calibration shall be performed at the end of each day.
8. The monitoring levels for PM<sub>10</sub> are based on the 24-hour National Ambient Air Quality Standard for particulate matter, which is 150 ug/m<sup>3</sup> as a 24-hour average. The criterion of 450 ug/m<sup>3</sup> minus two times background is a mathematical expression of compliance with that National Ambient Air Quality Standard, based on an eight-hour worksite sample. The lead criteria are derived from the National Ambient Air Quality Standard for lead which is 1.5 ug/m<sup>3</sup> averaged over 90 days. The criterion of 4.5 ug/m<sup>3</sup> minus twice background for TSP is the mathematical expression of achieving 1.5 ug/m<sup>3</sup> as a 24-hour averaged based on an eight-hour worksite sample.
9. TSP in the ambient air that may be affected by emissions from the operations shall not exceed 4.5 ug/m<sup>3</sup> minus twice the background level during any eight-hour period on each day of lead paint removal and PM<sub>10</sub> in the ambient air that may be affected by emissions from the operation shall not exceed 450 ug/m<sup>3</sup> minus two times the background level during any eight-hour period on each day of lead paint removal (as recorded using the methodology herein). The HWMT shall promptly notify the NYCDOT of any exceedance.
10. The TSP action level for an 8-hour period is 13.5 ug/m<sup>3</sup> minus twice the background, the TSP basic criterion is 4.5 ug/m<sup>3</sup> minus twice background:

- a. If an action level for 8-hour samples is exceeded at any monitor, the HWMT will promptly notify the NYCDOT and attempt to identify a cause.
  - b. If sampling results for any monitor exceed the basic criterion, the HWMT will assess all field data for that day, develop solutions, observe and make note of all corrective measures.
  - c. If the basic criterion is exceeded on two days of blasting at the same location, the HWMT will order blasting suspended, conduct a full assessment, develop solutions, and observe corrections.
  - d. Should the results of any monitoring indicate an ongoing problem with the lead paint removal activity not meeting all Federal, State and local regulations/guidelines, the HWMT will order blasting suspended until a cause is identified and corrected.
11. Upon delivering the air monitoring results to the NYCDOT, the HWMT shall inform the NYCDOT if air monitoring results indicate particulate or lead emissions above federal, state or local regulations or guidelines, or national industrial hygiene standards and outline recommended specific modifications in the operation which will bring the operation into compliance with all of the appropriate ambient air regulations, guidelines and standards, including, but not limited to, modifications in the installation and maintenance of containment systems.

## **E. Surface Soil Sampling**

1. Surface soil samples shall be taken by the HWMT and analyzed for lead before, during, and upon completion of the lead paint removal project if appropriate soil sampling locations exist, and if abrasive blasting paint removal occurs during the project. The HWMT shall submit a sampling plan in draft form to the NYCDOT for approval prior to implementation. This sampling plan shall include the positions of the proposed test locations, analysis and evaluation description, and a site map with enough detail to accurately position test locations.
2. The specific position of soil sampling locations in every case will be selected on the basis of whether there is bare soil present in any of the general areas specified. A test location shall be eliminated if there is no suitable bare soil within 50 feet. Locations should be selected to reflect areas of high potential public exposure such as bare soil in playground areas or bare pathways in open areas such as parks. Selecting a location under a tree, under sod in a well manicured lawn, in dirt on pavement or in pavement cracks, on private property, or in isolated and inaccessible areas would not be appropriate and should not be done. If there are no appropriate soil test locations, the HWMT will prepare a report detailing the reasons why no soil tests are proposed, using descriptions and photographs.
3. The number of samples taken at each project site and the distance away from the structure shall be dependent upon factors such as height and length of the structure, wind conditions, other obstacles, and the topography of the land. The specific location of each sampling location shall be measured and photographed at the time of sampling to allow re-sampling of the same location.
  - a. For structures for which the length of the overland portion of the lead paint removal activity is less than or equal to 50 feet, soil test locations shall be selected as follows, unless otherwise directed by the NYCDOT:
    - 1) directly beneath the structure (if bare soil is present);
    - 2) in each of four directions (or directions in which bare soil is present), at 50 foot intervals up to a distance of 200 feet (300 feet if any part of the containment structure is more than 50 feet above the ground). The soil test locations shall be on lines starting at midpoints of each side of the structure upon which lead paint removal is conducted and radiating out from the site at angles of 60 degrees (or directions in which bare soil is present).

- b. For structures for which the length of the overland portion of the lead paint removal activity is greater than 50 feet soil test locations shall be selected as follows, unless otherwise directed by the NYCDOT:
    - 1) directly beneath the structure (if bare soil is present);
    - 2) on lines parallel to the structure at approximate intervals of 50 feet from the structure, out to 200 feet (300 feet if any part of the containment structure is more than 50 feet above the ground). On the first line, there shall be test locations at the middle of the length of the repainting sections and 25 feet beyond each end. There shall be additional test locations on this line as necessary to ensure that there is not more than 75 feet between test locations. There shall also be test locations with the same spacing along lines at 100, 150, 200 (in some cases 250 and 300 feet) from the structure, on each side of the structure (or the sides on which bare soil is present).
4. The sampling procedures and documentation shall include, at a minimum:
- a. Measure and record the specific position of each of the locations. The documentation must be of sufficient accuracy to allow a technician to return to the precise locations at mid-project and upon project completion.
  - b. At each location, center and align a composite 50 foot grid. Surface soil taken from a template area within the 40 foot grid shall make up each sample.
  - c. Remove a sample of soil  $\frac{3}{4}$  inch in diameter and one inch (or two centimeters) deep at the center of a one meter square template and at each of the four corners of the template. Place each of the five plugs in a single bag. This represents the sample at the specific location.
  - d. Seal each bag/container and record the date of testing, specific location, name of technician removing the sample, names of others present, and signatures. The following information shall also be recorded by the sampling technician: presence or absence of vegetative cover or paint chips, and other relevant data.
  - e. Enter the sample information into a log book, and record the name of the laboratory to which the samples are sent for testing, and the date of shipment. If the samples are stored, identify the name of the facility.
  - f. Upon receipt of the results from the laboratory, enter them into the same logbook.
  - g. Chain of custody shall be initiated at the time of sample collection and maintained throughout the sample handling process.
  - h. At the sampling intervals outlined herein, return to the precise locations and repeat the process. Upon re-sampling at specific locations, the center of the sampling template shall be shifted several inches from its previous position and the template shall be rotated roughly 45 degrees relative to its previous sampling orientation. This technique prevents re-sampling of the same exact spot where topsoil had previously been removed by earlier sampling.
5. If there are visible paint chips at the soil sampling locations, two separate samples should be collected at that location. One sample should include paint chips but no vegetation, litter or other large objects such as stones. The second sample should not include paint chips, vegetation, litter or large objects such as stones. The samples should be air dried and stored in sealed containers until analyzed. In the laboratory, the sample containing paint chips should be weighed before removing the paint chips; then the paint chips should be removed and the paint chips and remaining material weighted separately. Then the lead content of the paint chips should be determined. The results for that sample should be expressed in the general form: "Paint chips were found to comprise \_\_\_\_\_ percent by weight of the top one inch of soil at this location; the lead content of those paint chips was found to be \_\_\_\_\_ percent by weight." The sample from which paint chips and other material has been removed should be analyzed in the ordinary fashion.

6. Prior to taking each soil sample, the field sampling technician shall don a pair of new, clean disposable gloves and wash the sampling apparatus (or surface soil sampling spoon) using dilute Nitric Acid and a rinse of distilled deionized water. During sampling rounds, field blank-rinse samples of the stainless steel sampling apparatus (or spoon) shall be obtained by rinsing the apparatus with distilled deionized water. Rinse waters shall be collected in 250 millimeter pre-cleaned collection vials that contain nitric acid preservative, and analyzed for lead content expressed as micrograms of lead per liter of water (ug/l).

7. Samples shall be taken in accordance with the following schedule, unless directed by the NYCDOT, based on project size and determined need:

- a. One week prior to the start of the lead paint removal activity, to determine background levels;
- b. Upon 50 percent completion of the lead paint removal activity,
- c. Upon 100 percent completion of the lead paint removal activity, and
- d. Within 24 hours of suspension of work based on observation of a visible emission and/or the NYCDOT's receipt of ambient air monitoring results which indicate an exceedance of lead concentrations above the action level.

8. The sampling results shall be used to determine if the lead paint removal activity conducted during sampling has contributed to increased concentrations of lead in the soil. The HWMT shall provide reports of sampling results (taken at intervals outlined above) which contain all information recorded, test results, and which detail all indications of statistically significant differences in lead concentrations at the project site as compared to previous findings, using paired differences and a one-sided t-test. The significance level shall be determined by comparing average increases in soil lead. If a paired difference t-test is performed with a one-sided 0.05 significance level and a standard deviation of the difference of 500, an average increase above 170 ppm would be considered significant. The test is dependent not only on the average difference in lead concentration but also on the standard deviation of the differences and the number of samples taken. As the standard deviation of the differences increases the average increase in lead concentration that is considered statistically significant also increases. As the number of samples decreases, the average difference in lead concentration that is considered statistically significant increases. For example, if only 5 samples were taken and all the other parameters used above remain the same, an average increase in lead concentration of 477 ppm would be considered statistically significant. Also, if the standard deviation of the difference was 1000 and everything else remained the same, an increase of 340 ppm would be considered statistically significant. However, if the standard deviation of the difference was only 250, an average difference of just 85.5 ppm would be considered statistically significant. Alternative methods of determining statistical significance should be proposed by the HWMT if appropriate. A written report documenting the results of each sampling interval shall be provided to the NYCDOT, NYCDEP Deputy Commissioner of the Bureau of Air Policy and Programs, NYCDOH Deputy Commissioner of Environmental Health Services, Director of the Mayor's Office of Construction, and the NYSDEC promptly after each sampling interval. The final report of surface soil sampling results shall also be distributed to the affected Community Boards, Council Districts, and Borough Presidents. Reports shall begin with a summary page high-lighting any exceedances, problems, and associated corrections. The reports shall be submitted to the NYCDOT first, with a delay, not to exceed 24 hours before submittal to the remainder of the recipients listed above.

9. The laboratory analysis for lead in the surface soil samples shall be accomplished in accordance with EPA Method 3050, "Acid Digestion of Sediments, Sludges and Soils." Laboratory analysis must be performed by a laboratory that is accredited by the American Industrial Hygiene Association for analysis of environmental samples for metals. USEPA SW-846, Method 6010 shall be utilized to analyze lead content of samples. The laboratory utilized shall be approved for analysis of lead in soil by the Environmental Laboratory Approval Program of the New York state Department of Health. A portion of each sample will be saved for at least six months after completion of the abrasive blasting work to permit confirmation of any soil sampling results. Lead is the only contaminant to be tested for, unless specified otherwise by the NYCDOT.

10. Should any soil sampling results indicate an ongoing problem with lead paint removal activities not meeting Federal, State & Local regulations/guidelines, the HWMT will notify NYCDOT immediately in writing.



4. The Consultant shall prepare a "Shop Drawing Index Sheet," which shall list in tabular form the Drawing Numbers, Titles and Microfilm Identification Numbers. When drawing titles are insufficient, descriptions shall be added. The legend "RECORD SHOP DRAWINGS" in letters 7mm (9/32") minimum high shall be placed thereon.
5. Whenever sample(s) of drawings are submitted for review or acceptance as to type, quality, format, etc., said sample(s) shall be retained by the NYCDOT, unless corrections are indicated.
6. The Consultant shall, at the completion of the project submit two (2) sets of half-sized record as-built drawings to the Engineer for distribution to Bridge Inspection (one set) and NYSDOT's Region 11 Office (one set).

**C. CERTIFICATION BLOCK**

1. Adjacent to the title block of each record as-built drawing and each final approved shop drawing the Consultant shall place, in heavy block lettering of 7mm (9/32") minimum height, the words "RECORD AS-BUILT DRAWING," or "RECORD SHOP DRAWING," as appropriate, together with the following information (2.4mm (3/32") high typed, 3.2mm (1/8") high otherwise.)

**SAMPLE CERTIFICATION BLOCK FOR CONSTRUCTION CONSULTANT RESIDENT**

**RECORD AS-BUILT DRAWING  
(OR RECORD SHOP DRAWING)**

**1. CONTRACTOR**  
**ADDRESS:**  
**CERTIFIED CORRECT BY** \_\_\_\_\_ **DATE:** \_\_\_\_\_

**2. COMMISSIONER'S REPRESENTATIVE - RESIDENT ENGINEER  
OR CONSTRUCTION SUPERVISION CONSULTANT**  
**ADDRESS:**  
**CERTIFIED CORRECT BY** \_\_\_\_\_ **DATE:** \_\_\_\_\_

- 2. ALL SIGNATURES AND ENTRIES ON CERTIFICATION BLOCKS SHALL BE MADE WITH PERMANENT BLACK OPAQUE WATERPROOF DRAWING INK SPECIFICALLY FORMULATED FOR USE ON MYLARS/VELLUMS.
- 3. ALL SIGNATURES SHALL BE CLEARLY LEGIBLE. WHERE SIGNATURES ARE NOT LEGIBLE, IN THE SOLE OPINION OF THE ENGINEER, THE SIGNER'S NAME SHALL BE PRINTED IN ADDITION TO THE SIGNATURE.

**D. SUMMARY OF PREPARATION REQUIREMENTS**

Drawing preparation requirements include, but are not limited to, the following:

- 1. All lettering and linework must be easily legible, in full or reduced size copy and any accepted method of reproduction, including microfilming.
- 2. All final drawings shall be right-reading. Reverse or wrong reading reproducibles are prohibited.
- 3. All final drawings shall be in black ink on vellum (if the final output shall be in the form of CDmedia and digital microfilm) or on 2-step wash-off mylar (if the final output shall be in form of conventional/non-digital microfilm). The mylar shall be base 4 mil thick (Dupont Crovex DraftingFilm or approved equivalent) or camera photo wash-off mylar 4 mil thick (Dupont Crovex Erasable Reproduction Films or approved equivalent), produced from full-size film negatives. ALL ENTRIES AND SIGNATURES ON FINAL MYLAR REPRODUCIBLES SHALL BE MADE WITH PERMANENT BLACK OPAQUE WATERPROOF DRAWING INK SPECIFICALLY FORMULATED FOR USE ON MYLAR/VELLUM.

4. Use of the diazo-print, diazo-sepia reproduction process and use of the electrostatic process to produce final original equivalent drawings (tracings, reproducibles) is prohibited. The use of a decal made by these processes on the final drawings is prohibited.
5. All lettering and linework shall be opaque black, uniform, cleancut and properly spaced.
6. All lettering shall be upper case gothic style. Condensed lettering is prohibited.
7. All linework and lettering shall conform to ANSI (American National Standards Institute) Standards Y 14.2m. The minimum character height of ANSI Y 14.2M may be reduced to 3.2mm (1/8") minimum.
8. Typewritten characters shall be gothic style, oversized type, bold, 2.4mm (3/32") minimum height ten (10) pitch maximum, opaque dense black, properly spaced.
9. All fractions shall have horizontal division lines. When horizontal division lines are not appropriate diagonal fraction lines may be used, providing maximum slope from the horizontal is not more than forty-five degrees.
10. When non-standard abbreviations are used, an abbreviation legend is to be provided on each drawing.
11. When non-standard symbols are used, a symbol legend is to be provided on each drawing.
12. Halftone or dot pattern drawings are prohibited.
13. The use of screening, shading, or color designation is prohibited.
14. Drawing on both sides of a sheet is prohibited. All drawings shall be right reading, (when reading the drawing, the surface upon which the intelligence is produced is facing the reader). There shall be no intelligence on the surface away from the reader.
15. The use of rubber stamps on mylar/vellum is prohibited. Stanpat Decals, or equivalent, may be used instead of rubber stamps. Rubber stamps are permitted on paper prints only (example: approvals, inspections). The rubber stamp impression shall be ANSI drafting standard letter size, clean, clear and opaque black. Decals on final reproducibles or tracings shall not be reproduced by diazo or electrostatic process.
16. On the final ink on mylar/vellum or camera photo wash-off mylar, decals may be used solely for the certification blocks and microfilm identification numbers.
17. Decals shall be preprinted, permanent adhesive type, as manufactured by the Stanpat Corporation, or an approved equal.
18. On final mylar/vellum, ink or wash-off drawings, decals shall not be used in the body of the drawings.
19. Drawing format shall be modified in compliance with the "DOT DRAFTING AND MICROFILMING SPECIFICATIONS".
20. Drawings shall be zoned horizontally and vertically.
21. Drawings shall have vertical and horizontal microfilm alignment arrowheads or marks.
22. The use of sprays and/or coatings on the final approved mylar/vellum reproducibles is prohibited.

**E. MAINTENANCE MANUALS, OPERATING MANUALS, CATALOG SHEET, TECHNICAL BULLETINS, ETC.**

1. Maintenance manuals, operating manuals, catalog sheets, technical bulletins and other printed matter submitted as shop drawings in lieu of prepared drawings shall be accurate, complete and clearly legible, and shall possess suitable line work, character size, color and contrast characteristics to produce acceptable microfilm and microfilm reproduction in accordance with the "DOT DRAFTING AND MICROFILMING SPECIFICATIONS." For those manuals, catalog sheets, technical bulletins and other printed matter which, in the sole opinion of the City, fail to meet these criteria, the Contractor shall prepare and submit shop drawings which shall completely show all pertinent data.

2. For those manuals, catalog sheets, technical bulletins and other printed matter approved for scanning or microfilming, sufficiently large paper tabs containing description, approval, certification and identification data shall be permanently attached thereto, all as directed by the Engineer. Prior to scanning or microfilming, the Consultant shall submit the aforementioned, with completed tabs, to the Engineer for approval. After CD(s) or master and duplicate microfilm(s) have been approved, the aforementioned manuals, catalog sheets, technical bulletins and other printed matter shall be transmitted to the Engineer.
3. The Consultant shall digitize or microfilm and index the operational and maintenance manuals and such other printed materials, drawings, charts, diagrams, etc., which the Contractor is required to furnish as part of his contractual requirements. Digitizing and microfilming shall be performed in compliance with the "DOT DRAFTING AND MICROFILMING SPECIFICATIONS" submissions, and the requirements shall be the same as these stated for the record as-built and shop drawings.

#### **F. COMPUTERIZED INDEXING AND MICROFILMING**

1. The Consultant shall digitize or microfilm and index all as-built and shop drawings and prepare Contract and Drawing Record Pages in compliance with the "DOT DRAFTING AND MICROFILMING SPECIFICATIONS." This shall include, when applicable, all printed mattersubmitted such as manuals, bulletins, catalog sheets, charts, diagrams, etc., which are required to be submitted, or which the Contractor submits, in accordance with the contract specifications.
2. The Consultant shall prepare Contract and Drawing Record Pages which shall describe the work as actually executed, together with a summary of major changes (as solely determined by the Engineer) from the original design shown on the contract drawings, in compliance with the "DOT DRAFTING AND MICROFILMING SPECIFICATIONS". Contract and Drawing Record Pages shall, when applicable, include descriptions of operating and maintenance manuals with microfilm roll numbers.
3. The Consultant shall permanently apply to each shop drawing, catalog sheet, bulletin, etc., a microfilm identification number, in accordance with the requirements of the "DOT DRAFTING AND MICROFILMING SPECIFICATIONS." This number shall consist of the Bridge Identification Number (BIN), the microfilm roll number, and the frame number. The roll number and starting frame number will be assigned by the NYC DOT – Division of Design-Bridges.
4. The Consultant shall prepare the Contract and Drawing Record Pages of all printed matter, all record as-built drawings, all record shop drawings, all bulletins, all catalog sheets, etc. in strict compliance with the "DOT DRAFTING AND MICROFILMING SPECIFICATIONS".
5. The Consultant shall furnish, as his submissions prior to the final accepted submission, one copy of a 3 ½" indexing diskette listing of the Contract and Drawing Record Pages and one copy of the computer printout of both indices. The Contract Record will contain a description of the work as actually executed.
6. All submissions shall include both the "CONTRACT RECORD PAGES" and the "DRAWING RECORD PAGES".

#### **G. COMPLIANCE**

1. The Consultant is hereby notified that if the drawing preparation at the time of the initial submission of any record as-built and shop drawing does not comply with the drawing preparation requirements as prescribed hereinabove, all costs to the City for the review of all subsequent submissions of said record as-built and shop drawings will be charged to the Consultant, as liquidated damages and not as a penalty, and the city will deduct from the final payment due to the Consultant the amount of all such charges. Such charges to the Consultant shall be based on the sum of direct labor, labor overhead, indirect overhead, and expenses incurred to properly execute the review and check of the said resubmissions.

## APPENDIX A - II

**STANDARD CLAUSES FOR ALL NEW YORK STATE CONTRACTS**

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

1. **EXECUTORY CLAUSE.** In accordance with Section 41 of the State Finance Law, the State shall have no liability under this contract to the Contractor or to anyone else beyond funds appropriated and available for this contract.
2. **NON-ASSIGNMENT CLAUSE.** In accordance with Section 138 of the State Finance Law, this contract may not be assigned by the Contractor or its right, title or interest therein assigned, transferred, conveyed, sublet or otherwise disposed of without the previous consent, in writing, of the State and any attempts to assign the contract without the State's written consent are null and void. The Contractor may, however, assign its right to receive payment without the State's prior written consent unless this contract concerns Certificates of Participation pursuant to Article 5-A of the State Finance Law.
3. **COMPTROLLER'S APPROVAL.** In accordance with Section 112 of the State Finance Law (or, if this contract is with the State University or City University of New York, Section 355 or Section 6218 of the Education Law), if this contract exceeds \$10,000 (\$20,000 for certain S.U.N.Y. and C.U.N.Y. contracts), or if this is an amendment for any amount to a contract which, as so amended, exceeds said statutory amount, or if, by this contract, the State agrees to give something other than money, It shall not be valid, effective or binding upon the State until it has been approved by the State Comptroller and filed in his office.
4. **WORKERS' COMPENSATION BENEFITS.** In accordance with Section 142 of the State Finance Law, this contract shall be void and of no force and effect unless the Contractor shall provide and maintain coverage during the life of this contract for the benefit of such employees as are required to be covered by the provisions of the Workers' Compensation Law.
5. **NON-DISCRIMINATION REQUIREMENTS.** The contractor agrees to comply with all applicable Federal, State and local Civil Rights and Human Rights laws with reference to equal employment opportunities and the provision of services. In accordance with Article 15 of the Executive Law (also known as the Human Rights Law) and all other State and Federal statutory and constitutional non-discrimination provisions, the Contractor will not discriminate against any employee or applicant for employment because of race, creed, color, sex, national origin, age, disability or marital status. Furthermore, in accordance with Section 220-e of the Labor Law, if this is a contract for the construction, alteration or repair of any public building or public work or for the manufacture, sale or distribution of materials, equipment or supplies, and to the extent that this contract shall be performed within the State of New York, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, disability, sex or national origin: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. If this is a building service contract as defined in Section 230 of the Labor Law, then, in accordance with Section 239 thereof, Contractor agrees that neither it nor its subcontractors shall, by reason of race, creed, color, national origin, age, sex or disability: (a) discriminate in hiring against any New York State citizen who is qualified and available to perform the work; or (b) discriminate against or intimidate any employee hired for the performance of work under this contract. Contractor is subject to fines of \$50.00 per person per day for any violation of Section 220-e or Section 239 as well as possible termination of this contract and forfeiture of all moneys due hereunder for a second or subsequent violation.
6. **WAGE AND HOURS PROVISIONS.** If this is a public work contract covered by Article 8 of the Labor Law or a building service contract covered by Article 9 thereof, neither Contractor's employees nor the employees of its subcontractors may be required or permitted to work more than the number of hours or days stated in said statutes, except as otherwise provided in the Labor Law and as set forth in prevailing wage and supplement schedules issued by the State Labor Department. Furthermore, Contractor and its subcontractors must pay at least the prevailing wage rate and pay or provide the prevailing supplements, including the premium rates for overtime pay, as determined by the State Labor Department in accordance with the Labor Law.
7. **NON-COLLUSIVE BIDDING REQUIREMENTS.** In accordance with Section 139-d of the State Finance Law. If this contract was awarded based upon the submission of bids, Contractor warrants, under penalty of perjury, that its bid was arrived at independently and without collusion aimed at restricting competition. Contractor further warrants that at the time Contractor submitted its bid, an authorized and responsible person executed and delivered to the State a

non-collusive bidding certification on Contractors behalf.

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

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

10. **RECORDS.** The Contractor shall establish and maintain complete and accurate books, records, documents, accounts and other evidence directly pertinent to performance under this contract (hereinafter, collectively the "Records"). The Records must be kept for a minimum of six (6) years or three (3) years after final payment, whichever is later. The State Comptroller, the Attorney General and any other person or entity authorized to conduct an examination, as well as the agency or agencies involved in this contract, shall have access to the Records during normal business hours at an office of the Contractor within the State of New York or, if no such office is available, at a mutually agreeable and reasonable venue within the State, for the term specified above for the purposes of inspection, auditing and copying. The State shall take reasonable steps to protect from public disclosure any of the Records which are exempt from disclosure under Section 87 of the Public Officers Law (the statute") provided that: (i) the

Contractor shall timely inform an appropriate State official, in writing, that said records should not be disclosed; and (ii) said records shall be sufficiently identified; and (iii) designation of said records as exempt under the Statute is reasonable. Nothing contained herein shall diminish, or in any way adversely affect, the State's right to discovery in any pending or future litigation.

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

(a) **FEDERAL EMPLOYER IDENTIFICATION NUMBER and/or FEDERAL SOCIAL SECURITY NUMBER.** All invoices or New York State standard vouchers submitted for payment for the sale of goods or services or the lease of real or personal property to a New York State agency must include the payee's identification number, i.e., the seller's or lessor's identification number.

The number is either the payee's Federal employer identification number or Federal social security number, or both such numbers when the payee has both such numbers. Failure to include this number or numbers may delay payment. Where the payee does not have such number or numbers, the payee, on his invoice or New York State standard voucher, must give the reason or reasons why the payee does not have such number or numbers.

(b) **PRIVACY NOTIFICATION.**

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

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

12. **EQUAL EMPLOYMENT OPPORTUNITIES FOR MINORITIES AND WOMEN:** In accordance with Section

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

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

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

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

Contractor will include the provisions of "a", "b" and "c", above, in every subcontract over \$25,000.00 for the construction, demolition, replacement, major repair, renovation, planning or design of real property and improvements thereon (the "Work") except where the Work is for the beneficial use of the Contractor. Section 312 does not apply to: (i) work, goods or services unrelated to this contract; or (ii) employment outside New York State; or (iii)

(a) Equal employment opportunity requirements not to

discriminate and to take affirmative action to assure banking services, insurance policies or the sale of securities. The State shall consider compliance by a contractor or subcontractor with the requirements of any federal law concerning equal employment opportunity which effectuates the purpose of this section. The contracting agency shall determine whether the imposition of the requirements of the provisions hereof duplicate or conflict with any such federal law and if such duplication or conflict exists, the contracting agency shall waive the applicability of Section 312 to the extent of such duplication or conflict. Contractor will comply with all duly promulgated and lawful rules and regulations of the Governor's Office of Minority and Women's Business Development pertaining hereto.

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

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

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

16. **NO ARBITRATION.** Disputes involving this contract, including the breach or alleged breach thereof, may not be submitted to binding arbitration (except where statutorily authorized).

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

### **Specific Equal Employment Opportunity Provisions**

#### **Specific Equal Employment Opportunity Responsibilities**

##### **1. GENERAL**

equal employment opportunity, as required by Federal Executive Order 11246, Federal Executive Order

11375, and NYS Executive Order 45, are set forth in required Contract Provisions (Form PR-1273 or 1316, as appropriate) and those Special Provisions which are imposed pursuant to Section 140 of Title 23, U.S.C., as established by Section 22 of the Federal-Aid Highway Act of 1968. Non-discrimination and affirmative action are also required by the State labor Law. Section 220-e, as amended, and the Regulations of the NYS Department of Transportation relative to federally-assisted programs (Title 49, Code of Federal Regulations, Part 21 and Section 21.5), including employment practices when the agreement covers a program set forth in Appendix B of the Regulations. The requirements set forth in these Special Provisions shall constitute the specific affirmative action requirements for projects activities under this contract.

(b) The CONSULTANT will work with the STATE and the Federal Government in carrying out equal employment opportunity obligations and in their review of their activities under this contract.

(c) The CONSULTANT and all their sub-consultants and/or sub-contractors holding sub-contracts of \$10,000 or more will comply with the following minimum specific requirements of equal employment opportunity: (The equal employment opportunity requirements of Executive Order 11246, as set forth in Volume 6, Chapter 4, Section 1, Subsection 1 of the Federal-Aid Highway Program Manual, are applicable to contractors and sub-contractors.) The CONSULTANT will include these requirements in every sub-contract with such modification of language as is necessary to make them binding on the sub-contractor.

## 2. EQUAL EMPLOYMENT OPPORTUNITY POLICY

The CONSULTANT, their sub-consultant and/or sub-contractor or any person acting on behalf of the CONSULTANT or sub-consultant and/or subcontractor will accept as their operating policy the following statement which is designed to further the provision of equal employment opportunity to all persons without regard to their race, color, religion, sex, national origin, age, disability or marital status, and to promote the full realization of equal employment opportunity through a positive continuing program.

"It is the policy of this Company to assure that applicants are employed, and that employees are treated during employment, or during consideration for employment, without regard to their race, religion, sex, or color, national origin, age, disability or marital status. Such non-discriminatory action shall include, but not be limited to: employment, job assignment, upgrading, demotion, or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensation; and selection for training, including apprenticeship, pre-

apprenticeship, and/or on-the-job training."

## 3. EQUAL EMPLOYMENT OPPORTUNITY OFFICER

The CONSULTANT will designate and make known to the New York State Department of Transportation contracting officers an Equal Employment Opportunity Officer and a Minority Business Enterprise officer (hereinafter referred to as the EEO Officer and M.B.E. Officer) who will have the responsibility for and must be capable of effectively administering and promoting an active equal employment opportunity program and who must be assigned adequate authority and responsibility to do so.

## 4. DISSEMINATION OF POLICY

(a) All members of the CONSULTANT'S staff who are authorized to hire, supervise, promote, and discharge employees, or who recommend such action, or who are substantially involved in such action, will be made fully cognizant of, and will implement, the CONSULTANT'S equal employment opportunity policy and contractual responsibilities to provide equal employment opportunity in each grade and classification of employment. To insure that the above agreement will be met, the following actions will be taken as a minimum:

(1) Periodic meetings of supervisory and personnel office employees will be conducted before the start of work and then not less than once every six months, at which time the CONSULTANT'S equal employment opportunity policy and its implementation will be reviewed and explained. The meetings will be conducted by the EEO Officer or other knowledgeable company official.

(2) All new supervisory (first level of supervision and above) or personnel office employees will be given a thorough indoctrination by the EEO Officer or other knowledgeable company official covering all major aspects of the CONSULTANT'S equal employment opportunity obligations within thirty days following their reporting for duty with the CONSULTANT.

(3) All personnel who are engaged in direct recruitment for the project will be instructed in the CONSULTANT'S procedures for locating and hiring minority group employees by the EEO Officer or appropriate company official. (Minority group referred to herein shall mean Black, Hispanic, Asian/Pacific Islander, American Indian/Alaskan.)

(b) In order to make the CONSULTANT'S equal employment opportunity policy known to all employees, prospective employees and potential sources of employees, i.e., schools, employment agencies, labor unions (where appropriate), college placement officers, etc., the CONSULTANT will take the following actions:

(1) Notices and posters setting forth the

CONSULTANT'S equal employment opportunity policy will be placed in areas readily accessible to employees, applicants for employment and potential employees.

(2) The CONSULTANT'S equal employment opportunity policy and the procedures to implement such policy will be brought to the attention of employees by means of meetings, employee handbooks, or other appropriate means.

(c) In all solicitations either by competitive bidding or negotiation made by the CONSULTANT for work to be performed under a sub-contract, including procurements of materials or equipment, each potential sub-contractor or supplier shall be notified by the CONSULTANT of the CONSULTANT'S obligations under this agreement and the Regulations relative to non-discrimination.

## 5. RECRUITMENT

(a) When advertising for employees, the CONSULTANT will include in all advertisements for employees the notation: "An Equal Opportunity Employer." All such advertisements will be published in newspapers or other publications having a large circulation among minority groups in the area from which the project work force would normally be derived. These advertisements shall state that all qualified applicants will be afforded equal employment opportunity without regard to race, religion, sex, color, national origin, age, disability or marital status.

(b) The CONSULTANT will, unless precluded by a valid bargaining agreement, conduct systematic and direct recruitment through public and private employee referral sources likely to yield qualified minority group applicants, including, but not limited to, State employment agencies, schools, colleges and minority group organizations. To meet this requirement, the CONSULTANT'S EEO Officer will identify sources of potential minority group employees, and establish with such identified sources procedures whereby minority group applicants may be referred to the CONSULTANT for employment consideration.

In the event the CONSULTANT has a valid bargaining agreement providing for exclusive hiring hall referrals, the CONSULTANT is expected to observe the provisions of that agreement to the extent that the system permits the CONSULTANT'S compliance with equal employment opportunity contract provisions. (The U.S. Department of Labor has held that where implementation of such agreements have the effect of discriminating against minorities or women, or obligates the CONSULTANT to do the same, such implementation violates Executive Order 11246.

(c) The CONSULTANT will encourage present employees to refer minority group applicants for employment by posting appropriate notices or bulletins in areas accessible to all such employees. In addition, information and

procedures with regard to referring minority group applicants will be discussed with employees.

6. *PERSONNEL ACTIONS* Wages, working conditions, and employee benefits shall be established and administered, and personnel actions of every type, including hiring, upgrading, promotion, transfer, demotion, layoff, and termination, shall be taken without regard to race, color, religion, sex, national origin, age, disability or marital status. The following procedures shall be followed:

(a) The CONSULTANT will conduct periodic inspections of project sites to insure that working conditions and employee facilities do not indicate discriminatory treatment of project site personnel.

(b) The CONSULTANT will periodically evaluate the spread of wages paid within each classification to determine any evidence of discriminatory practices.

(c) The CONSULTANT will periodically review selected personnel actions in depth to determine whether there is evidence of discrimination. Where evidence is found, the CONSULTANT will promptly take corrective action. If the review indicated that the discrimination may extend beyond the actions reviewed, such corrective action shall include all affected persons.

(d) The CONSULTANT will promptly investigate all complaints of alleged discrimination made in connection with obligations under this agreement, will attempt to resolve such complaints, and will take appropriate corrective action within 15 days. All subsequent corrective actions or decisions will also be documented and forwarded to the NYS Department of Transportation Compliance Officer within 7 days after such action has taken place. If the investigation indicates that the discrimination may affect persons other than the complainant, such corrective action shall include such other persons. Upon completion of each investigation, the CONSULTANT will inform every complainant of the results and all of their avenues of appeal should the complaint be denied.

## 7. TRAINING AND PROMOTION

(a) The CONSULTANT will assist in locating, qualifying and increasing the skills of minority group and women employees, and applicants for employment.

(b) Consistent with the CONSULTANT'S work force requirements and as permissible under the Federal and State regulations, the CONSULTANT shall make full use of training programs; i.e., apprenticeship and on-the-job training programs for the geographical area of contract performance. In the event the Training Special Provision is provided under this contract, this subparagraph is superseded thereby.

(c) The CONSULTANT will advise employees and applicants for employment of available training programs and entrance requirements for each.

(d) The CONSULTANT will periodically review the training and promotion potential of minority group and women employees and will encourage eligible employees to apply for such training and promotion.

8. *UNIONS* If the CONSULTANT relies in whole or in part upon unions as a source of employees, the CONSULTANT will use their best effort to obtain the cooperation of such unions to increase opportunities for minority groups and women within the unions, and, to effect referrals by such unions of minority and female employees. The CONSULTANT will send to each labor union or representative of workers with which he has or is bound by a collective bargaining or other agreement or understanding, a notice to be provided by the State Division of Human Rights, advising such labor union or representative of the CONSULTANT'S compliance and with the nondiscrimination clauses. Actions by the CONSULTANT, either directly or through a CONSULTANT'S association acting as agent, will include the procedures set forth below:

(a) The CONSULTANT will use their best efforts to develop, in cooperation with the unions, joint training programs aimed toward qualifying more minority group members and women for membership in the unions and increasing the skills of minority group employees and women so that they may qualify for higher paying employment.

(b) The CONSULTANT will use their best efforts to incorporate an equal employment opportunity clause into each union agreement to the end that such union will be contractually bound to refer applicants without regard to their race, color, religion, sex, national origin, age, disability or marital status.

(c) The CONSULTANT is to obtain information as to the referral practices and policies of the labor union except that to the extent such information is within the exclusive possession of the labor union, and such labor union refuses to furnish such information to the CONSULTANT. The CONSULTANT shall so certify to the STATE and shall set forth what efforts have been made to obtain such information. Further, if the CONSULTANT was directed to do so by the contracting agency as part of the bid or negotiations of this contract, the CONSULTANT shall request such labor union or

representative to furnish him with a written statement that such labor union or representative accepts the non-discrimination clauses and will affirmatively cooperate, within the limits of its Legal and contractual authority, in the implementation of the policy and provisions of these non-discrimination clauses or that it consents and agrees that recruitment, employment and the terms and conditions of employment under this contract shall be in accordance with the purposes and provisions of these non-discrimination clauses. If such labor union or representative fails or refuses to comply with such a request that it furnish such a statement, the CONSULTANT shall promptly notify the State Division of Human Rights and set forth what efforts have been made to obtain such information.

(d) In the event the union is unable to provide the CONSULTANT with a reasonable flow of minority and women referrals within the time limit set forth in the collective bargaining agreement, the CONSULTANT will, through independent recruitment efforts, fill the employment vacancies without regard to race, color, religion, sex, national origin, age, disability or marital status, making full efforts to obtain qualified and/or qualifiable minority group persons and women. (The U.S. Department of Labor has held that it shall be no excuse that the union with which the CONSULTANT has a collective bargaining agreement providing for exclusive referral failed to refer minority employees.) In the event the union referral practice prevents the CONSULTANT from meeting the obligations pursuant to Executive Order 11246, as amended, and these special provisions, such CONSULTANT shall immediately notify the New York State Department of Transportation.

#### *9. AFFIRMATIVE ACTION IN SUBCONTRACTING*

(a) The CONSULTANT will not discriminate on the grounds of race, religion, sex, color, national origin, age, disability or marital status in the selection of subcontractors, including procurements and leases of equipment.

(b) If the CONSULTANT determines to use a subcontractor as part of this agreement, affirmative action shall be taken to increase the participation of minority business firms in that work. As part of that affirmative action, the CONSULTANT will identify and contact minority business firms and solicit proposals for the work to be subcontracted. The STATE will provide a list of names of minority business firms to the CONSULTANT. Another source that should be contacted for a list of minority business firms is the Governor's Office of Minority & Women's Business Development (GOMWBD).

(c) The CONSULTANT will document the affirmative action steps taken to comply with paragraph 9b. Such documentation will be provided at the time or submittal of a formal proposal to the State's Contracts Bureau.

(d) By execution of this agreement, the CONSULTANT certifies that the affirmative action steps in 9a, 9b & 9c above were taken when soliciting proposals for the work in this agreement indicated to be subcontracted and that these steps will be taken should any work be subcontracted in the future.

(e) The CONSULTANT will insure binding subcontractor and vendor compliance with their EEO obligations. The CONSULTANT will take such actions in enforcing such provisions of such subcontract or purchase order as the contracting agency may direct, including sanctions or remedies for non-compliance. If the CONSULTANT becomes involved in or is threatened with litigation with a subcontractor or a vendor as a result of such direction by the contracting agency, the CONSULTANT shall promptly so notify the Attorney General, requesting him to intervene and protect the interest of the State of New York.

#### 10. RECORDS AND REPORTS

(a) The CONSULTANT will keep such records as are necessary to determine compliance with the CONSULTANT'S equal employment opportunity obligations. The records kept by the CONSULTANT will be designed to indicate:

- (1) The number of minority and non-minority group members and women employed in each work classification on the project, where required by the NYS D.O.T. Compliance Officer.
- (2) The progress and efforts being made in cooperation with unions to increase employment opportunities for minorities and women (applicable only to CONSULTANTS who rely in whole or in part on unions as a source of their work force).
- (3) The progress and efforts being made in locating, hiring training qualifying, and upgrading minority and female employees.
- (4) The progress and efforts being made in securing the services of minority group subcontractors or subcontractors with meaningful minority and female representation among their employees.
- (5) Compliance with all other requirements in these provisions such as meetings, instructions, employment efforts, etc.

(b) The CONSULTANT will comply with Sections 291-299 of the Executive Law and Civil Rights Law

and will provide all information and reports required by the Regulations, or orders and instructions issued pursuant thereto, and will permit access to its books, records, accounts other sources of information, and its facilities as may be determined by State or Federal officials to be pertinent to ascertain compliance with such Regulations, orders and instructions. All such records must be retained for a period of three years following completion of the contract work and shall be available at reasonable times and places for inspection by authorized representatives of the State and the Federal Highway Administration.

(c) The CONSULTANT will submit to the New York State Department of Transportation, a monthly report for the first three months after beginning work, thereafter upon request, and each month of July following the initial submission for the duration of the project indicating the number of minority, women and non-minority group employees currently engaged in each work classification required by the contract work. This information is to be reported on Form PR-1391, Federal-Aid Highway Construction Contractor's Monthly EEO Report. If on-the-job training is being required by "Training Special Provision", the CONSULTANT will be required to furnish Form FHWA-1409, Federal-Aid Highway Construction Contractor's Semi-Annual Training Report.

(d) Failure to comply with these Special EEO Provisions may be considered unsatisfactory performance and may subject the agreement to termination under the termination article of this agreement. Non-compliance may result in the CONSULTANT'S being declared ineligible for future agreements made by or on behalf of the STATE or a public authority or agency of the STATE, until he satisfies the State Commissioner of Human Rights that he has established and is carrying out a program in conformity with the provisions of these non-discrimination clauses. Such finding shall be made by the State Commissioner of Human Rights after conciliation efforts by the State Division of Human Rights have failed to achieve compliance with these non-discrimination clauses and after a verified complaint has been filed with the State Division of Human Rights, notice thereof has been given to the CONSULTANT and an opportunity has been afforded them to be heard publicly before the State Commissioner of Human Rights or official designee. Such sanctions may be imposed and remedies invoked independently of or in addition to sanctions and remedies otherwise provided for by law. These may include, but are not limited to:

- (1) withholding of payments to the CONSULTANT under the agreement until the CONSULTANT complies, and/or
- (2) cancellation, termination or suspensions of the agreement in whole or in part.

11. **TRAINING SPECIAL PROVISIONS** This Training Special Provision supersedes paragraph 7b above and is in implementation of 23 CFR Subpart A, Section 230.111 & Executive Order 11246.

As part of the CONSULTANT'S equal employment opportunity affirmative action program training shall be provided as follows:

The CONSULTANT shall provide on-the-job training aimed at developing full competence in the job classification involved.

The number of months of training to be provided under these special provisions is previously stated in Article II, Item VII.

In the event that the CONSULTANT subcontracts a portion of the contract work, it shall be determined how many, if any, of the trainees are to be trained by the subcontractor, provided however, that the CONSULTANT shall retain the primary responsibility for meeting the training requirements imposed by this special provision. The CONSULTANT shall also insure that this training special provision is made applicable to such subcontract.

The number of trainees shall be distributed among the work classifications on the basis of the CONSULTANT'S needs. Along with their proposal, the CONSULTANT shall submit to the New York State Department of Transportation for approval the proposed number of trainees to be trained in each selected classification, their estimated salaries and a training schedule. The salaries to be paid trainees shall not be less than 75 percent of the average hourly rate approved in the agreement for the classification to be trained. During the period from the beginning of the project to its completion, the trainee shall receive reasonable salary increases commensurate to the abilities and effort exerted by the trainee. The training schedule required should indicate the start of work and appropriate incremental salary steps in accord with the above.

Training and upgrading the proficiency of minorities and women is a primary objective of this Training Special Provision. Accordingly, the CONSULTANT shall make every effort to enroll minority trainees and women (e.g., by conducting systematic and direct recruitment through public and private sources likely to yield minority and women trainees) to the extent that such persons are available within a reasonable area of recruitment. The CONSULTANT will be responsible for demonstrating the steps that have been taken in pursuance thereof, prior to a determination as to whether the CONSULTANT is in compliance with this

Training Special Provision. This training commitment is not intended, and shall not be used, to discriminate against any applicant for training, whether a member of a minority group or not.

No employee shall be employed as a trainee in any classification in which they have successfully completed a training program or in a classification in which they have been employed. The CONSULTANT should satisfy this requirement by including appropriate questions in the employee application or by other suitable means. Regardless of the method used, the CONSULTANT'S records should document the findings in each case.

The minimum length and type of training for each classification will be as established in the training schedule developed by the CONSULTANT and approved by the State and Federal Highway Administration. The State and the Federal Highway Administration shall approve a program if it reasonably calculated to meet the equal employment opportunity obligations of the CONSULTANT and to assist in qualifying the average trainee toward proficiency in the classification concerned by the end of the training period. Approval of a training program shall be obtained from the State prior to commencing work on the classification covered by the program. Training is permissible in lower level management positions. Some offsite training is permissible as long as the training is an integral part of an approved training program and does not comprise a significant part of the overall training.

The CONSULTANT will be reimbursed for the cost of any and all training under the payment terms of this agreement. This can include offsite training cost as discussed above. All offsite training must be defined in the training schedule. All costs claimed or calculated for training must be directly related to the work defined in the scope of this agreement and/or added by supplemental agreement.

The CONSULTANT must demonstrate their best efforts and evidence good faith in hiring trainees for positions in the classification in which they have completed training.

The CONSULTANT shall furnish the trainee a copy of the program they will follow in the training. The CONSULTANT shall provide each trainee with a certification showing the type and length of training satisfactorily completed.

The CONSULTANT will provide for the maintenance of records and furnish periodic reports, documenting their performance under this Training Special Provision.

## 12. Federal Single Audit Requirements

Non-Federal entities that expend \$300,000 or more in a year in Federal awards from all sources are required to comply with the Federal Single Audit Act provisions contained in U.S. Office of Management and Budget (OMB) Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations". Non-Federal entities that expend Federal awards from a single source may provide a program specific audit, as defined in the Circular. Non-Federal entities that expend less than \$300,000 in a year in Federal awards from all sources are exempt from Federal audit requirements for that year, except as noted in §3052.215(a), but records must be available for review or audit by appropriate officials of the Federal agency, the New York State Department of Transportation, the New York State Comptroller's Office and the U.S. General Accounting Office (GAO).

Non-Federal entities are required to submit a copy of all audits, as described above, within 30 days of issuance, to the New York State Department of Transportation, Contract Audit Bureau, 1220 Washington Avenue, Albany, NY 12232.

APPA.ENH

**CERTIFICATION REGARDING LOBBYING**

**Certification For Contracts, Grants, Loans, And Cooperative Agreements**

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement
  
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
  
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

\_\_\_\_\_  
Signature/Authorized Certifying Official

\_\_\_\_\_  
Typed Name and Title

\_\_\_\_\_  
Applicant/Organization

\_\_\_\_\_  
Date Signed

**Statement for Loan Guarantees and Loan Insurance**

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

\_\_\_\_\_  
Signature/Authorized Certifying Official

\_\_\_\_\_  
Typed Name and Title

\_\_\_\_\_  
Applicant/Organization

\_\_\_\_\_  
Date Signed



## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLLA Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box(es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box(es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLLA Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503.

## 49 CFR Part 29 - Appendix A

### **CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS—PRIMARY COVERED TRANSACTIONS**

#### **Instructions for Certification**

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER  
RESPONSIBILITY MATTERS—PRIMARY COVERED TRANSACTIONS**

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
  - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

\_\_\_\_\_  
Signature/Authorized Certifying Official

\_\_\_\_\_  
Typed Name and Title

\_\_\_\_\_  
Applicant/Organization

\_\_\_\_\_  
Date Signed

## **49 CFR Part 29 - Appendix B**

### **CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION—LOWER TIER COVERED TRANSACTIONS**

#### **Instructions for Certification**

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled “Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction,” without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AN  
VOLUNTARY EXCLUSION—LOWER TIER COVERED TRANSACTIONS**

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
  
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

\_\_\_\_\_  
Signature/Authorized Certifying Official

\_\_\_\_\_  
Typed Name and Title

\_\_\_\_\_  
Applicant/Organization

\_\_\_\_\_  
Date Signed

## **SECTION VII**

### **C) PROCEDURAL FORMS PACKET**

#### **CONTENTS**

- 1. FORM 1P - PROPOSAL COVER LETTER**
- 2. FORM 2P - ACKNOWLEDGEMENT OF ADDENDA**
- 3. FORM 3P - AFFIRMATION FORM**

**Note:** Please copy and use separate sheets for each subconsultant (if any).  
Make copies of format sheets as needed

# FORM 1P

## PROPOSAL COVER LETTER

**Request for Proposals for Reconstruction of Willis Avenue Bridge over the Harlem River and  
Willis Avenue Bridge over Major Deegan Expressway (I-87)**

**Boroughs of Manhattan & the Bronx**

**Contract No. BRCR076A      PIN 84106MBBR101**

**Proposer:**

**Name:** \_\_\_\_\_

**Address:** \_\_\_\_\_  
\_\_\_\_\_

**Tax Identification #:** \_\_\_\_\_

**Proposer's Contact Person:**

**Name:** \_\_\_\_\_

**Title:** \_\_\_\_\_

**Telephone #:** \_\_\_\_\_ **Fax #:** \_\_\_\_\_

**Proposer's Authorized Representative:**

**Name:** \_\_\_\_\_

**Title:** \_\_\_\_\_

**Signature:** \_\_\_\_\_

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

# FORM 2P

## ACKNOWLEDGEMENT OF ADDENDA

RFP TITLE: \_\_\_\_\_

PIN: \_\_\_\_\_

COMPLETE PART I OR PART II, WHICHEVER IS APPLICABLE.

### PART I:

Listed below are the dates of issue for each addendum received in connection with this RFP.

Addendum # 1 Dated \_\_\_\_\_

Addendum # 2 Dated \_\_\_\_\_

Addendum # 3 Dated \_\_\_\_\_

Addendum # 4 Dated \_\_\_\_\_

Addendum # 5 Dated \_\_\_\_\_

Addendum # 6 Dated \_\_\_\_\_

Addendum # 7 Dated \_\_\_\_\_

Addendum # 8 Dated \_\_\_\_\_

Addendum # 9 Dated \_\_\_\_\_

Addendum # 10 Dated \_\_\_\_\_

### PART II:

\_\_\_\_\_ No addendum was received in connection with this RFP.

Proposer (Print) \_\_\_\_\_

Signature \_\_\_\_\_

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

# FORM 3P

## AFFIRMATION FORM

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 contracts

Except \_\_\_\_\_

\_\_\_\_\_  
Full Name of Proposer or Bidder

\_\_\_\_\_  
Address

\_\_\_\_\_  
City

\_\_\_\_\_  
State

\_\_\_\_\_  
Zip Code

Check below and include appropriate number:

\_\_\_\_ Individual or Sole Proprietorship \*  
Social Security Number      \_ \_ - \_ \_ - \_ \_ \_ \_

\_\_\_\_ Partnership, Joint Venture or unincorporated company  
Employer Identification Number      \_ \_ - \_ \_ - \_ \_ \_ \_

\_\_\_\_ Corporation  
Employer Identification Number      \_ \_ - \_ \_ - \_ \_ \_ \_

If a corporation, place seal here:

by    Signature      \_\_\_\_\_

Print Name      \_\_\_\_\_

Title      \_\_\_\_\_

Must be signed by an officer or duly authorized representative.

\* Under the Federal Privacy Act the furnishing of Social Security Numbers by bidders on City contracts is voluntary. Failure to provide a Social Security Number will not result in a bidder'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 of businesses which seek City contracts.

# **SECTION VII**

## **D) PROPOSAL FORMS PACKET**

### **CONTENTS**

1. FORM 1T - QUALITY & RELEVANCE OF PRIOR EXPERIENCE  
(FIRM IN GENERAL)
2. FORM 2T - PROPOSED STAFF (RESUMES)
3. FORM 3T - STAFF EXPERIENCE
4. FORM 4T - JOB TITLES AND HOURS PROPOSED
5. FORM 5T - OVERALL APPROACH
6. FORM 6T - NYCDOT CURRENT WORKLOAD DISCLOSURE (2 PGS)
7. FORM 7T - DBE PARTICIPATION
8. FORM 254 - STANDARD FORM
9. FORM 255 - STANDARD FORM

**Note:** Please copy and use separate sheets for each subconsultant (if any)  
Principal's Time (if any) is charged direct without multiplier.  
Make copies of format sheets as needed

**FORM IT**

**QUALITY & RELEVANCE OF PRIOR EXPERIENCE**  
**(FIRM IN GENERAL)**

**PIN:** \_\_\_\_\_

**PROJECT NAME:** \_\_\_\_\_

CONTRACT NO.: \_\_\_\_\_

CONSULTANT: \_\_\_\_\_

PROFESSIONAL ENGINEERING/  
ARCHITECTURAL SERVICES

OTHER/ \_\_\_\_\_

DESCRIBE

**QUALITY & RELEVANCE OF PRIOR EXPERIENCE – (FIRM IN GENERAL)**

**FORM 2T**

**PROPOSED STAFF (RESUMES)**

**PIN:** \_\_\_\_\_

**PROJECT NAME:** \_\_\_\_\_

**CONTRACT NO.:** \_\_\_\_\_

**CONSULTANT:** \_\_\_\_\_

**PROPOSED STAFF:**

**Show organization chart for staffing this project below and attach resumes of key personnel.**

# FORM 3T

## STAFF EXPERIENCE

**PIN:** \_\_\_\_\_

**PROJECT NAME:** \_\_\_\_\_

**CONTRACT NO.:** \_\_\_\_\_

**CONSULTANT:** \_\_\_\_\_

### DESCRIBE STAFF EXPERIENCE:

**List current projects with NYCDOT and NYSDOT, including Project Manager and Project Engineer/Resident Engineer for each, as well as construction dollar value, start date. And contract time duration of each.**

**FORM 4T – PROPOSED STAFFING**

**PROJECT NAME:** REI Services for the Reconstruction of Willis Avenue Bridge over the Harlem River and Willis Avenue Bridge over the Major Deegan Expressway

**PIN:** 84106MBBR101

**PRIME CONSULTANT:** \_\_\_\_\_

**CONSULTANT ON THIS FORM:** \_\_\_\_\_

PROFESSIONAL ENGINEERING/  
ARCHITECTURAL SERVICES  OTHER/\_\_\_\_\_

| (COLUMN 1)<br>JOB TITLES | (COLUMN 2)<br>TOTAL HOURS |
|--------------------------|---------------------------|
| 1.                       |                           |
| 2.                       |                           |
| 3.                       |                           |
| 4.                       |                           |
| 5.                       |                           |
| 6.                       |                           |
| 7.                       |                           |
| 8.                       |                           |
| 9.                       |                           |
| 10.                      |                           |

**DO NOT INCLUDE SALARIES ON THIS FORM**

1. Job titles and hours proposed should be the same as those proposed on the Labor Cost Proposal forms 4T1.
2. No salary information should be included on this form.

# FORM 5T

## OVERALL APPROACH

**PIN:** \_\_\_\_\_

**PROJECT NAME:** \_\_\_\_\_

**CONTRACT NO.:** \_\_\_\_\_

**CONSULTANT:** \_\_\_\_\_

OVERALL APPROACH TO PROJECT:

(Staffing Sheet)

1. Tasks Anticipated
2. Duration of Tasks
3. Positions Assigned

# FORM 6T NYCDOT CURRENT WORKLOAD DISCLOSURE

The purpose of this form is to provide information concerning the current workload of the firms interested in the project for which the proposal is being submitted. The information provided should be for the office(s) which would perform the work of this contract. The values shown **should not** include fees to be paid to subconsultants and subcontractors or for rentals or purchases of equipment.

PIN: \_\_\_\_\_ FIRM NAME: \_\_\_\_\_  
 CONTRACT NO.: \_\_\_\_\_ CONTACT PERSON: \_\_\_\_\_  
 PROJECT NAME: \_\_\_\_\_ PHONE NUMBER \_\_\_\_\_  
 BIN: \_\_\_\_\_ ADDRESS OF OFFICE(S) TO PERFORM WORK \_\_\_\_\_  
 DATE OF RFP: \_\_\_\_\_  
 IS YOUR FIRM A: DBE? (YES/NO) \_\_\_\_\_

Name of Personnel (Proposed Office(s)): Administration \_\_\_\_\_ Total Personnel \_\_\_\_\_

I. Remaining NYC-DOT work of proposed office(s) (from back of sheet) with:  
 All NYC-DOT \$ \_\_\_\_\_ Bureau of Bridges ONLY \$ \_\_\_\_\_

II. Expected billings for next 18 months:

A. NYC-DOT WORK: total expected billings in next 18 months. \$ \_\_\_\_\_

B. WORK WITH OTHER PUBLIC AGENCIES: total expected in the next 18 months \$ \_\_\_\_\_

C. PRIVATE WORK: total expected billings on projects in next 18 months. \$ \_\_\_\_\_

TOTAL (A + B + C) \$ \_\_\_\_\_

III. Certified Disadvantaged Business Enterprise (DBE) firm(s) for Federal Aid Projects or for Non-Federal air Projects proposed for use on this project:

| SUBCONSULTANT FIRM NAME | PROPOSED % OF PROJECT | # OF TECHNICAL PERSONNEL | WORKLOAD |
|-------------------------|-----------------------|--------------------------|----------|
| _____                   | _____ %               | _____                    | \$ _____ |
| _____                   | _____ %               | _____                    | \$ _____ |
| _____                   | _____ %               | _____                    | \$ _____ |

IV. Other firm(s) proposed for use on this project

\_\_\_\_\_ % \_\_\_\_\_ \$ \_\_\_\_\_

\_\_\_\_\_ % \_\_\_\_\_ \$ \_\_\_\_\_

### CERTIFICATION

I hereby certify that the above figures are actual contract amounts (when available) or my best estimate of expected billings.

\_\_\_\_\_  
DATE

\_\_\_\_\_  
SIGNATURE (OFFICER OR PARTNER)

# FORM 6T

## Remaining work with NYCDOT (within Department)

List all projects on which you are currently working for the Department and those which you have been designated to perform. These shall be categorized as indicated below (Design, Construction Inspection or Miscellaneous).

| Type of work –<br>Highway, Bridge, Planning | Contract Number | Remaining \$ Value<br>(include anticipated<br>Supplemental Agreement<br>for this Project<br>(a) | Percentage of Project<br>performed at Office(s)<br>proposed for this Project<br>(b) | Pro-rated Workload of<br>proposed office(s)<br><br>(a x b) |
|---|-----------------|---|---|--|
|---|-----------------|---|---|--|

|  |  |  |  |  |
|--|--|--|--|--|
| Design Division (includes Highway Design, Bridge Design and Construction Support Services) |  |  |  |  |
|  |  |  |  |  |

Total Firmwide Design Workload \$ \_\_\_\_\_

Assigned Office(s) Miscellaneous Workload \$ \_\_\_\_\_

|   |  |  |  |  |
|---|--|--|--|--|
| Construction Division (includes only Resident Engineering Inspection) |  |  |  |  |
|   |  |  |  |  |

Total Firmwide REI Workload \$ \_\_\_\_\_

Assigned Office(s) REI Workload \$ \_\_\_\_\_

|  |  |  |  |  |
|--|--|--|--|--|
| Miscellaneous (includes Planning and any other agreements not covered above) |  |  |  |  |
|  |  |  |  |  |

**TOTAL FIRMWIDE MISCELLANEOUS WORKLOAD \$ \_\_\_\_\_**  
**OFFICE(S) MISCELLANEOUS WORKLOAD \$ \_\_\_\_\_**

**ASSIGNED**

Total Firmwide Overall  
Workload with NYC-DOT \$ \_\_\_\_\_

Assigned Office(s) Overall  
Workload with NYC-DOT \$ \_\_\_\_\_

YOU MAY ATTACH ADDITIONAL SHEETS OF REMAINING WORK FOLLOWING THE SAME FORMAT AS USED ABOVE.

**FORM 7T**

**DBE PARTICIPATION**

**PIN:** \_\_\_\_\_

**PROJECT NAME:** \_\_\_\_\_

CONTRACT NO.: \_\_\_\_\_

CONSULTANT: \_\_\_\_\_

Participation by DBE Consultants:

Is being proposed

Participation by DBE Consultants:

Is being not proposed

If being proposed, attach the following:

1. Name(s) and Address(es) of proposed DBE firms.
2. Percentage(s) of assigned participation.
3. NYS DBE Certification(s)\*.

\* An approved letter from the New York State Department of Transportation Office of Equal Opportunity Development and Compliance is required as proof of DBE certification for any DBE prim or subconsultant. The certification must be in effect on the RFP response date.

STANDARD  
FORM (SF)  
**254**

**Architect-Engineer  
and Related Services  
Questionnaire**

Form Approved  
OMB No. 9000-0004

Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the FAR Secretariat (VRS), Office of Federal Acquisition and Regulatory Policy, GSA, Washington, D.C. 20405; and to the Office of Management and Budget, Paperwork Reduction Project (9000-0004), Washington, D.C. 20503.

**Purpose:**

The policy of the Federal Government in acquiring architectural, engineering, and related professional services is to encourage firms lawfully engaged in the practice of those professions to submit annually a statement of qualifications and performance data. Standard Form 254, "Architect-Engineer and Related Services Questionnaire," is provided for that purpose. Interested A-E firms (including new, small, and/or minority firms) should complete and file SF 254's with each Federal agency and with appropriate regional or district offices for which the A-E is Qualified to perform services. The agency head for each proposed project shall evaluate these qualification resumes, together with any other performance data on file or requested by the agency, in relation to the proposed project. The SF 254 may be used as a basis for selecting firms for discussions, or for screening firms preliminary to inviting submission of additional information.

**Definitions:**

"**Architect-Engineer Services**" are defined in Part 36 of the Federal Acquisition Regulation.

"**Parent Company**" is that firm, company, corporation, association or conglomerate which is the major stockholder or highest tier owner of the firm completing this questionnaire, i.e., Firm A is owned by Firm B which is, in turn, a subsidiary of Corporation C. The "parent company" of Firm A is Corporation C.

"**Principals**" are those individuals in a firm who possess legal responsibility for its management. They may be owners, partners, corporate officers, associates, administrators, etc.

"**Discipline**" as used in this questionnaire, refers to the primary technological capability of individuals in the responding firm. Possession of an academic degree, professional registration, certification, or extensive experience in a particular field of practice normally reflects an individual's primary technical discipline.

"**Joint Venture**" is a collaborative undertaking by two or more firms or individuals for which the participants are both jointly and individually responsible.

"**Consultant**," as used in this questionnaire, is a highly specialized individual or firm having significant input and responsibility for certain aspects of a project and possessing unusual or unique capabilities for assuring success of the finished work.

"**Prime**" refers to that firm which may be coordinating the concerted and complementary inputs of several firms, individuals or related services to produce a completed study or facility. The "prime" would normally be regarded as having full responsibility and liability for quality of performance by itself as well as by subcontractor professionals under its jurisdiction.

"**Branch Office**" is a satellite, or subsidiary extension, of a headquarters office of a company, regardless of any differences in name or legal structure of such a branch due to local or state laws. "Branch offices" are normally subject to the management decisions, bookkeeping, and policies of the main office.

**Instructions of Filing** (Numbers below correspond to numbers contained in form):

1. Type accurate and complete name of submitting firm, its address, and zip code.
  - 1a. Indicate whether form is being submitted in behalf of a parent firm or a branch office. (Branch office submissions should list only personnel in, and experience of, that office.)
2. Provide date the firm was established under the name shown in question 1.
3. Show date on which form is prepared. All information submitted shall be current and accurate as of this date.
4. Enter type of ownership, or legal structure, of firm (sole proprietor, partnership, corporation, joint venture, etc.).

Check appropriate boxes indicating if firm is (a) a small business concern; (b) a small business concern owned and operated by socially and economically disadvantaged individuals; and (c) Woman-owned (See 48 CFR 19.101 and 52.219-9).
5. Branches of subsidiaries of large or parent companies, or conglomerates, should insert name and address of highest-tier owner.
  - 5a. If present firm is the successor to, or outgrowth of, one or more predecessor firms, show name(s) of former entity(ies) and the year(s) of their original establishment.
6. List not more than two principals from submitting firm who may be contacted by the agency receiving this form. (Different principals may be listed on forms going to another agency.) Listed principals must be empowered to speak for the firm on policy and contractual matters.
7. Beginning with the submitting office, list name, location, total number of personnel, and telephone numbers for all associated or branch offices, (including any headquarters or foreign offices) which provide A-E and related services.
  - 7a. Show total personnel in all offices. (Should be sum of all personnel, all branches.)
8. Show total number of employees, by discipline, in submitting office. (\*If form is being submitted by main or headquarters office, form should list total employees, by discipline, in all offices.) While some personnel may be qualified in several disciplines, each person should be counted only once in accord with his or her primary function. Include clerical personnel as "administrative." Write in any additional disciplines -- sociologists, biologists, etc. -- and number of people in each, in blank spaces.

STANDARD  
FORM (SF)  
**254**

**Architect-Engineer  
and Related Services  
Questionnaire**

9. Using chart (below) insert appropriate index number to indicate range of professional services fees received by submitting firm each calendar year for last five years, most recent year first. Fee summaries should be broken down to reflect the fees received each year for (a) work performed directly for the Federal Government (not including grant and loan projects) or as a sub to other professionals performing work directly for the Federal Government; (b) all other domestic work, U.S. and possessions, including Federally-assisted projects, and (c) all other foreign work.

**Ranges of Professional Services Fees**

| INDEX                       | INDEX                          |
|-----------------------------|--------------------------------|
| 1. Less than \$100,000      | 5. \$1 million to \$2 million  |
| 2. \$100,000 to \$250,000   | 6. \$2 million to \$5 million  |
| 3. \$250,000 to \$500,000   | 7. \$5 million to \$10 million |
| 4. \$500,000 to \$1 million | 8. \$10 million or greater     |

10. Select and enter, in numerical sequence, **not more than thirty** (30) "Experience Profile Code" numbers from the listing (next page) which most accurately reflect submitting firm's demonstrated technical capabilities and project experience. **Carefully review list.** (It is recognized some profile codes may be part of other services or projects contained on list; firms are encouraged to select profile codes which best indicate type and scope of services provided on past projects.) For each code number, show total number of projects and gross fees (in thousands) received for profile projects performed by firm during past few years. If firm has on or more capabilities not included on list, insert same in blank spaces at end of list and show numbers in question 10 on the form. In such cases, the filled-in listing **must** accompany the complete SF 254 when submitted to the Federal agencies.

11. Using the "Experience Profile Code" numbers in the same sequence as entered in item 10, give details of at least one recent (within last five years) representative project for each code number, up to a **maximum** of thirty (30) separate projects, or portions of projects, for which firm was responsible. (Project examples may be used more than once to illustrate different services rendered on the same job. Example: a dining hall may be part of an auditorium or educational facility.) Firms which select less than thirty "profile codes" may list two or more project examples (to illustrate specialization) for each code number so long as total of all project examples does not exceed thirty (30). After each code number in question 11, show: (a) whether firm was "P," the prime professional, or "C," a consultant, or "JV," part of a joint venture on that particular project (new firms, in existence less than five (5) years may use the symbol "IE" to indicate "Individual Experience" as opposed to firm experience); (b) provide name and location of the specific project which typifies firm's (or individual's) performance under that code category; (c) give name and address of the owner

of that project (if government agency indicate responsible office); (d) show the estimated construction cost (or other applicable cost) for that portion of the project for which the firm was primarily responsible. (Where no construction was involved, show approximate cost of firm's work); and (e) state year work on that particular project was, or will be, completed.

12. The completed SF 254 should be signed by a principal of the firm, preferably the chief executive officer.

13. Additional data, brochures, photos, etc. should not accompany this form unless specifically requested.

**NEW FIRMS (not reorganized or recently-amalgamated firms) are eligible and encouraged to seek work from the Federal Government in connection with performance of projects for which they are qualified. Such firms are encouraged to complete and submit Standard Form 254 to appropriate agencies. Questions on the form dealing with personnel or experience may be answered by citing experience and capabilities of individuals in the firm, based on performance and responsibility while in the employ of others. In so doing, notation of this fact should be made on the form. In question 9, write in "N/A" to indicate "not applicable" for those years prior to firm's organization.**

Experience Profile Code Numbers  
for use with questions 10 and 11

|     |   |     |  |     |   |
|-----|---|-----|--|-----|---|
| 001 | Acoustics, Noise Abatement                                  | 041 | Graphic Design   | 085 | Product, Machine & Equipment Design                         |
| 002 | Aerial photogrammetry                                       | 042 | Harbors; Jetties; Piers, Ship Terminal Facilities                        | 086 | Radar; Sonar; Radio & Radar Telescopes                      |
| 003 | Agricultural Development; Grain Storage; Farm Mechanization | 043 | Heating; Ventilating; Air Conditioning                                   | 087 | Railroad; Rapid Transit                                     |
| 004 | Air Pollution Control                                       | 044 | Health Systems Planning  | 088 | Recreation Facilities ( <i>Parks, Marinas, Etc.</i> )       |
| 005 | Airports; Nav aids; Airport Lighting; Aircraft Fueling      | 045 | Highrise; Air-Rights-Type Buildings                                      | 089 | Rehabilitation ( <i>Buildings; Structures; Facilities</i> ) |
| 006 | Airports; Terminals & Hangars; Freight Handling             | 046 | Highways; Streets; Airfield Paving Parking Lots                          | 090 | Resource Recover; Recycling                                 |
| 007 | Arctic Facilities   | 047 | Historical Preservation  | 091 | Radio Frequency Systems & Shieldings                        |
| 008 | Auditoriums & Theatres                                      | 048 | Hospital & Medical Facilities  | 092 | Rivers; Canals; Waterways; Flood Control                    |
| 009 | Automation; Controls; Instrumentation                       | 049 | Hotels; Models   | 093 | Safety Engineering; Accident Studies; OSHA Studies          |
| 010 | Barracks; Dormitories                                       | 050 | Housing ( <i>Residential, Multi-Family; Apartments; Condominiums</i> )   | 094 | Security Systems; Intruder & Smoke Detection                |
| 011 | Bridges   | 051 | Hydraulics & Pneumatics  | 095 | Seismic Designs & Studies                                   |
| 012 | Cemeteries ( <i>Planning &amp; Relocation</i> )             | 052 | Industrial Buildings; Manufacturing Plants                               | 096 | Sewage Collection, Treatment and Disposal                   |
| 013 | Chemical Processing & Storage                               | 053 | Industrial Processes; Quality Control                                    | 097 | Soils & Geologic Studies; Foundations                       |
| 014 | Churches; Chapels   | 054 | Industrial Waste Treatment   | 098 | Solar Energy Utilization                                    |
| 015 | Codes; Standards; Ordinances                                | 055 | Interior Design; Space Planning  | 099 | Solid Wastes; Incineration; Land Fill                       |
| 016 | Cold Storage; Refrigeration; Fast Freeze                    | 056 | Irrigation; Drainage   | 100 | Special Environments; Clean Rooms, Etc.                     |
| 017 | Commercial Building ( <i>low rise</i> ); Shopping Centers   | 057 | Judicial and Courtroom facilities  | 101 | Structural Design; Special Structures                       |
| 018 | Communication Systems; TV; Microwave                        | 058 | Laboratories; Medical Research Facilities                                | 102 | Surveying; Platting; Mapping; Flood Plain Studies           |
| 019 | Computer Facilities; Computer Service                       | 059 | Landscape Architecture   | 103 | Swimming Pools  |
| 020 | Conservation and Resource Management                        | 060 | Libraries; Museums; Galleries  | 104 | Storm Water Handling & Facilities                           |
| 021 | Construction Management                                     | 061 | Lighting ( <i>Interiors; Display; Theatre, Etc.</i> )                    | 105 | Telephone Systems ( <i>Rural; Mobile; Intercom, Etc.</i> )  |
| 022 | Corrosion Control; Cathodic Protection; Electrolysis        | 062 | Lighting ( <i>Exteriors; Streets; Memorials; Athletic Fields, Etc.</i> ) | 106 | Testing Inspection Services                                 |
| 023 | Cost Estimating   | 063 | Materials handling Systems; Conveyors; Sorters                           | 107 | Traffic & Transportation Engineering                        |
| 024 | Dams ( <i>Concrete: Arch</i> )                              | 064 | Metallurgy   | 108 | Towers ( <i>Self-Supporting &amp; Guyed Systems</i> )       |
| 025 | Dams ( <i>Earth; Rock</i> ); Dikes; Levees                  | 065 | Microclimatology; Tropical Engineering                                   | 109 | Tunnels & Subways   |
| 026 | Desalinization ( <i>Process &amp; Facilities</i> )          | 066 | Military Design Standards  | 110 | Urban Renewals; Community Development                       |
| 027 | Dining Halls; Clubs; Restaurants                            | 067 | Mining & Mineralogy  | 111 | Utilities ( <i>Gas &amp; Steam</i> )                        |
| 028 | Ecological & Archeological Investigations                   | 068 | Missile Facilities ( <i>Silos; Fuels; Transport</i> )                    | 112 | Value Analysis; Life-Cycle Costing                          |
| 029 | Educational Facilities; Classrooms                          | 069 | Modular Systems Design; Pre-Fabricated Structures or Components          | 113 | Warehouses & Depots   |
| 030 | Electronics   | 070 | Naval Architecture; Off-Shore Platforms                                  | 114 | Water Resources; Hydrology; Ground Water                    |
| 031 | Elevators; Escalators; People-Movers                        | 071 | Nuclear Facilities; Nuclear Shielding                                    | 115 | Water Supply; Treatment and Distribution                    |
| 032 | Energy Conservation; New Energy Sources                     | 072 | Office Building; Industrial Parks  | 116 | Wind Tunnels; Research/Testing Facilities Design            |
| 033 | Environmental Impact Studies, Assessments or Statements     | 073 | Oceanographic Engineering  | 117 | Zoning; Land Use Studies                                    |
| 034 | Fallout Shelters; Blast-Resistant Design                    | 074 | Ordnance; Munitions; Special Weapons                                     | 201 | _____   |
| 035 | Field Houses; Gyms; Stadiums                                | 075 | Petroleum Exploration; Refining  | 202 | _____   |
| 036 | Fire Protection   | 076 | Petroleum and Fuel ( <i>Storage and Distribution</i> )                   | 203 | _____   |
| 037 | Fisheries; Fish Ladders                                     | 077 | Pipelines ( <i>Cross-Country - Liquid &amp; Gas</i> )                    | 204 | _____   |
| 038 | Forestry & Forest Products                                  | 078 | Planning ( <i>Community, Regional Area-wide and State</i> )              | 205 | _____   |
| 039 | Garages; Vehicle Maintenance Facilities Parking Decks       | 079 | Planning ( <i>Site, Installation, and Project</i> )                      |     |   |
| 040 | Gas Systems ( <i>Propane; Natural, Etc.</i> )               | 080 | Plumbing & Piping Design   |     |   |
|     |   | 081 | Pneumatic Structures, Air-Support Buildings                              |     |   |
|     |   | 082 | Postal Facilities  |     |   |
|     |   | 083 | Power Generation, Transmission. Distribution                             |     |   |
|     |   | 084 | Prisons & Correctional Facilities  |     |   |

|   |  |   |   |  |                                  |                   |
|---|--|---|---|--|----------------------------------|-------------------|
| <b>STANDARD FORM (SF) 254</b><br>Architect-Engineer and Related Services Questionnaire                            | 1. Firm Name/Business Address:                               |   |   |  | 2. Year Present Firm Established | 3. Date Prepared: |
|   | 4. Specify type of ownership and check below, if applicable. |   |   |  |                                  |                   |
|   | <input type="checkbox"/> A. Small Business                   |   |   |  |                                  |                   |
|   | <input type="checkbox"/> B. Small Disadvantaged Business     |   |   |  |                                  |                   |
| 1a. Submittal is for <input type="checkbox"/> Parent Company <input type="checkbox"/> Branch or Subsidiary Office |  |   |   |  |                                  |                   |
| 5. Name of Parent Company, if any:  |  |   | 5a. Former Parent Company Name(s), if any, and Year(s) Established: |  |                                  |                   |
| 6. Names of not more than Two Principals to Contact: Title/Telephone<br>1)<br>2)                                  |  |   |   |  |                                  |                   |
| 7. Present Offices: City / State / Telephone / No. Personnel Each Office  |  |   |   |  | 7a. Total Personnel _____        |                   |
| 8. Personnel by Discipline: (List each person only once, by primary function.)                                    |  |   |   |  |                                  |                   |
| <input type="checkbox"/> Administrative   | <input type="checkbox"/> Electrical Engineers                | <input type="checkbox"/> Oceanographers           | _____   | _____                                      | _____                            | _____             |
| <input type="checkbox"/> Architects   | <input type="checkbox"/> Estimators                          | <input type="checkbox"/> Planners: Urban/Regional | _____   | _____                                      | _____                            | _____             |
| <input type="checkbox"/> Chemical Engineers   | <input type="checkbox"/> Geologist                           | <input type="checkbox"/> Sanitary Engineers       | _____   | _____                                      | _____                            | _____             |
| <input type="checkbox"/> Civil Engineers  | <input type="checkbox"/> Hydrologists                        | <input type="checkbox"/> Soils Engineers          | _____   | _____                                      | _____                            | _____             |
| <input type="checkbox"/> Construction Inspectors  | <input type="checkbox"/> Interior Designers                  | <input type="checkbox"/> Specification Writers    | _____   | _____                                      | _____                            | _____             |
| <input type="checkbox"/> Draftsmen  | <input type="checkbox"/> Landscape Architects                | <input type="checkbox"/> Structural Engineers     | _____   | _____                                      | _____                            | _____             |
| <input type="checkbox"/> Ecologists   | <input type="checkbox"/> Mechanical Engineers                | <input type="checkbox"/> Surveyors                | _____   | _____                                      | _____                            | _____             |
| <input type="checkbox"/> Economists   | <input type="checkbox"/> Mining Engineers                    | <input type="checkbox"/> Transportation Engineers | _____   | _____                                      | _____                            | _____             |
| 9. Summary of Professional Services Fees Received: (Insert index number)  |  |   |   | Last 5 Years (most recent year first)      |                                  |                   |
|   |  |   |   | 19   | 19                               | 19                |
| Direct Federal contract work, including overseas  | _____  | _____   | _____   | _____                                      | _____                            | _____             |
| All other domestic work   | _____  | _____   | _____   | _____                                      | _____                            | _____             |
| All other foreign work*   | _____  | _____   | _____   | _____                                      | _____                            | _____             |
| *Firms interested in foreign work, but without such experience, check here: <input type="checkbox"/>              |  |   |   | Ranges of Professional Services Fees INDEX |                                  |                   |
|   |  |   |   | 1. Less than \$100,000                     |                                  |                   |
|   |  |   |   | 2. \$100,000 to \$250,000                  |                                  |                   |
|   |  |   |   | 3. \$250,000 to 500,000                    |                                  |                   |
|   |  |   |   | 4. \$500,000 to \$1 million                |                                  |                   |
|   |  |   |   | 5. \$1 million to \$2 million              |                                  |                   |
|   |  |   |   | 6. \$2 million to \$5 million              |                                  |                   |
|   |  |   |   | 7. \$5 million to \$10 million             |                                  |                   |
|   |  |   |   | 8. \$10 million or greater                 |                                  |                   |

Profile of Firm's Project Experience, Last 5 Years

| Profile | Number of | Total Gross Fees<br>(in thousands) | Profile<br>Code | Number of<br>Projects | Total Gross Fees<br>(in thousands) | Profile<br>Code | Number of<br>Projects | Total Gross Fees<br>(in thousands) |
|---------|-----------|------------------------------------|-----------------|-----------------------|------------------------------------|-----------------|-----------------------|------------------------------------|
| 1)      |           |                                    | 11)             |                       |                                    | 21)             |                       |                                    |
| 2)      |           |                                    | 12)             |                       |                                    | 22)             |                       |                                    |
| 3)      |           |                                    | 13)             |                       |                                    | 23)             |                       |                                    |
| 4)      |           |                                    | 14)             |                       |                                    | 24)             |                       |                                    |
| 5)      |           |                                    | 15)             |                       |                                    | 25)             |                       |                                    |
| 6)      |           |                                    | 16)             |                       |                                    | 26)             |                       |                                    |
| 7)      |           |                                    | 17)             |                       |                                    | 27)             |                       |                                    |
| 8)      |           |                                    | 18)             |                       |                                    | 28)             |                       |                                    |
| 9)      |           |                                    | 19)             |                       |                                    | 29)             |                       |                                    |
| 10)     |           |                                    | 20)             |                       |                                    | 30)             |                       |                                    |

11. Project examples, Last 5 Years

| Profile<br>Code | "P," "C,"<br>"JV," or "IE" | Project Name and Location | Owner Name and Address | Cost of Work<br>(in thousands) | Completion<br>Date (Actual) |
|-----------------|----------------------------|---------------------------|------------------------|--------------------------------|-----------------------------|
|                 |                            | 1                         |                        |                                |                             |
|                 |                            | 2                         |                        |                                |                             |
|                 |                            | 3                         |                        |                                |                             |
|                 |                            | 4                         |                        |                                |                             |
|                 |                            | 5                         |                        |                                |                             |
|                 |                            | 6                         |                        |                                |                             |
|                 |                            | 7                         |                        |                                |                             |

|  |  |    |  |  |  |
|--|--|----|--|--|--|
|  |  | 8  |  |  |  |
|  |  | 9  |  |  |  |
|  |  | 10 |  |  |  |
|  |  | 11 |  |  |  |
|  |  | 12 |  |  |  |
|  |  | 13 |  |  |  |
|  |  | 14 |  |  |  |
|  |  | 15 |  |  |  |
|  |  | 16 |  |  |  |
|  |  | 17 |  |  |  |
|  |  | 18 |  |  |  |
|  |  | 19 |  |  |  |

|  |  |    |  |  |  |
|--|--|----|--|--|--|
|  |  | 20 |  |  |  |
|  |  | 21 |  |  |  |
|  |  | 22 |  |  |  |
|  |  | 23 |  |  |  |
|  |  | 24 |  |  |  |
|  |  | 25 |  |  |  |
|  |  | 26 |  |  |  |
|  |  | 27 |  |  |  |
|  |  | 28 |  |  |  |
|  |  | 29 |  |  |  |
|  |  | 30 |  |  |  |

12. The foregoing is a statement of facts

Date:

\_\_\_\_\_ Typed Name and Title: \_\_\_\_\_

# Architect-Engineer and Related Services Questionnaire for Specific Project

Form Approved  
OMB No. 9000-0005

Public reporting burden for this collection of information is estimated to average 1.2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the FAR Secretarial (VRS), Office of Federal Acquisition and Regulatory Policy, GSA, Washington, D.C. 20405; and to the Office of Management and Budget, Paperwork Reduction Project (9000-0005), Washington, D.C. 20503.

## Purpose:

This form is a supplement to the "Architect-Engineer and Related Services Questionnaire" (SF 254). Its purpose is to provide additional information regarding the qualifications of interested firms to undertake a specific Federal A-E project. Firms, or branch offices of firms, submitting this form should enclose (or already have on file with the appropriate office of the agency) a current (within the past year) and accurate copy of the SF 254 for that office.

The procurement official responsible for each proposed project may request submission of the SF 255 "Architect-Engineer and Related Services Questionnaire for Specific Project" in accord with applicable civilian and military procurement regulations and shall evaluate such submissions, as well as related information contained on the Standard Form 254, and any other performance data on file with the agency, and shall select firms for subsequent discussions leading to contract award in conformance with Public Law 92-582. This form should only be filed by an architect-engineer or related services firm when requested to do so by the agency or by a public announcements. Responses should be as complete and accurate as possible, contain data relative to the specific project for which you wish to be considered, and should be provided, by the required due date, to the office specified in the request or public announcement.

This form will be used only for the specified project. Do not refer to this submittal in response to other requests or public announcements.

## Definitions:

"**Architect-Engineer Services**" are defined in Part 36 of the Federal Acquisition Regulation.

"**Principals**" are those individuals in a firm who possess legal responsibility for its management. They may be owners, partners, corporate officers, associates, administrators, etc.

"**Discipline**," as used in this questionnaire, refers to the primary technological capability of individuals in the responding firm. Possession of an academic degree, professional registration, certification, or extensive experience in a particular field of practice normally reflects an individual's primary technical discipline.

"**Joint Venture**" is a collaborative undertaking by two or more firms or individuals for which the participants are both jointly and individually responsible.

"**Key Persons, Specialists, and Individual Consultants**," as used in this questionnaire, refer to individuals who will have major project responsibility or will provide unusual or unique capabilities for the project under consideration.

## Instructions for Filing (Numbers below correspond to numbers contained in form):

1. Give name and location of the project for which this form is being submitted.
2. Provide appropriated data from the Commerce Business Daily (CBD) identifying the particular project for which this form is being filed.
  - 2a. Give the date of the Commerce Business Daily in which the project announcement appeared, or indicate "not applicable" (N/A) if the source of the announcement is other than the CBD.
  - 2b. Indicate Agency identification or contract number as provided in the CBD announcement
3. Show name and address of the individual or firm (or joint venture) which is submitting this form for the project.
  - 3a. List the name, title, and telephone number of that principal who will serve as the point of contact. Such an individual must be empowered to speak for the firm on policy and contractual matters and should be familiar with the programs and procedures of the agency to which this form is directed.
  - 3b. Give the address of the specific office which will have responsibility for performing the announced work.
4. Insert the number of consultant personnel by discipline proposed for subject project on line (A). Insert the number of in-house personnel by discipline proposed for subject project on line (B). While some personnel may be qualified in several disciplines, each person should be counted only once in accord with his or her primary function. Include clerical personnel as "administrative." Write in any additional disciplines -- sociologists, biologists, etc. -- and number of people in each, in blank spaces.
5. Answer only if this form is being submitted by a joint venture of two or more collaborating firms. Show the names and addresses of all individuals or organizations excepted to be included as part of the joint venture and describe their particular areas of anticipated responsibility (ie., technical disciplines, administration, financial, sociological, environment, etc.).
  - 5a. Indicate, by checking the appropriate box, whether this particular joint venture has worked together on other projects.Each firm participating in the joint venture should have a Standard Form 254 on file with the contracting office receiving this form. Firms which do not have such forms on file should provide same immediately along with a notation at the top of page 1 of the form regarding their association with this joint venture submittal.

# Architect-Engineer and Related Services Questionnaire for Specific Project

Standard Form 255  
General Services Administration  
Washington, D.C. 20405

6. If respondent is not a joint venture, but intends to use outside (as opposed to in-house or permanently and formally affiliated) consultants or associates, he should provide names and addresses of all such individuals or firms, as well as their particular areas of technical/professional expertise, as it relates to this project. Existence of previous working relationships should be noted. If more than eight outside consultants or associates are anticipated, attach an additional sheet containing requested information.

7. Regardless of whether respondent is a joint venture or an independent firm, provide brief resumes of key personnel expected to participate on this project. Care should be taken to limit resumes to only those personnel and specialists who will have major project responsibilities. Each resume must include: (a) name of each key person and specialist and his or her title, (b) the project assignment or role which that person will be expected to fulfill in connection with this project, (c) the name of the firm or organization, if any, with whom that individual is presently associated, (d) years of relevant experience with present firm and other firms, (e) the highest academic degree achieved and the discipline covered (if more than one highest degree, such as two Ph.D.'s, list both), the year received and the particular technical/professional discipline which that individual will bring to the project, (f) if registered as an architect, engineer, surveyor, etc., show only the field of registration and the year that such registration was first acquired. If registered in several states, do not list states, and (g) a synopsis of experience, training, or other qualities which reflect individual's potential contribution to this project. Include such data as: familiarity with Government or agency procedures, similar type of work performed in the past, management abilities, familiarity with the geographic area, relevant foreign language capabilities, etc. Please limit synopsis of experience to directly relevant information.

8. List up to ten projects which demonstrate the firm's or joint venture's competence to perform work similar to that likely to be required on this project. The more recent such projects, the better. Prime consideration will be given to projects which illustrate respondent's capability for performing work similar to that being sought. Required information must include: (a) name and location of project, (b) brief description of type and extent of services provided for each project (submissions by joint ventures should indicate which member of the joint venture was the prime on that particular project and what role it played), (c) name and address of the owner of that project (if Government agency, indicate responsible office), and name and phone number of individual to contact for reference (preferably the project manager), (d) completion date (actual when available, otherwise estimated), (e) total construction cost of completed project (or where no construction was involved, the approximate cost of your work) and that portion of the cost of the project for which the named firm was/is responsible.

9. List only those projects which the A-E firm or joint venture, or members of the joint venture, are currently performing under direct contract with an agency or department of the Federal Government. Exclude any grant or loan projects being financed by the Federal Government but being performed under contract to other non-Federal Government entities. Information provided under each heading is similar to that requested in the preceding Item 8, except for (d) "Percent Complete." Indicate in this item the percentage of A-E work completed upon filing this form.

10. Through narrative discussion, show reason why the firm or joint venture submitting this questionnaire believes it is especially qualified to undertake the project. Information provided should include, but not be limited to, such data as: specialized equipment available for this work, any awards or recognition received by a firm or individuals for similar work, required security clearances, special approaches or concepts developed by the firm relevant to this project, etc. Respondents may say anything they wish in support of their qualifications. When appropriate, respondents may supplement this proposal with graphic material and photographs which best demonstrate design capabilities of the team proposed for this project.

11. Completed forms should be signed by the chief executive officer of the joint venture (thereby attesting to the concurrence and commitment of all members of the joint venture), or by the architect-engineer principal responsible for the conduct of the work in the event it is awarded to the organization submitting this form. Joint ventures selected for subsequent discussions regarding this project must make available a statement of participation signed by a principal of each member of the joint venture. ALL INFORMATION CONTAINED IN THE FORM SHOULD BE CURRENT AND FACTUAL.



6. If respondent is not a joint-venture, list outside key Consultants/Associates anticipated for this project (Attach SF 254 for Consultants/Associates listed, if not already on file with the Contracting Office).

| Name & Address | Specialty | Worked with Prime before (Yes or No) |
|----------------|-----------|--------------------------------------|
| 1)             |           |                                      |
| 2)             |           |                                      |
| 3)             |           |                                      |
| 4)             |           |                                      |
| 5)             |           |                                      |
| 6)             |           |                                      |
| 7)             |           |                                      |
| 8)             |           |                                      |

|   |  |
|---|--|
| 7. Brief resume of key persons, specialists, and individual consultants anticipated for this project. |  |
| a. Name & Title:  | a. Name & Title:   |
| b. Project Assignment:  | b. Project Assignment:   |
| c. Name of Firm with which associated:  | c. Name of Firm with which associated:                                   |
| d. Years experience: With this Firm _____ With Other Firms _____                                      | d. Years experience: With this Firm _____ With Other Firms _____         |
| e. Education: Degree(s)/Year/Specialization   | e. Education: Degree(s)/Year/Specialization                              |
| f. Active Registration: Year First Registered/Discipline  | f. Active Registration: Year First Registered/Discipline                 |
| g. Other Experience and Qualifications relevant to the proposed project:                              | g. Other Experience and Qualifications relevant to the proposed project: |

|   |  |
|---|--|
| 7. Brief resume of key persons, specialists, and individual consultants anticipated for this project. |  |
| a. Name & Title:  | a. Name & Title:   |
| b. Project Assignment:  | b. Project Assignment:   |
| c. Name of Firm with which associated:  | c. Name of Firm with which associated:                                   |
| d. Years experience: With this Firm _____ With Other Firms _____                                      | d. Years experience: With this Firm _____ With Other Firms _____         |
| e. Education: Degree(s)/Year/Specialization   | e. Education: Degree(s)/Year/Specialization                              |
| f. Active Registration: Year First Registered/Discipline  | f. Active Registration: Year First Registered/Discipline                 |
| g. Other Experience and Qualifications relevant to the proposed project:                              | g. Other Experience and Qualifications relevant to the proposed project: |

|   |  |
|---|--|
| 7. Brief resume of key persons, specialists, and individual consultants anticipated for this project. |  |
| a. Name & Title:  | a. Name & Title:   |
| b. Project Assignment:  | b. Project Assignment:   |
| c. Name of Firm with which associated:  | c. Name of Firm with which associated:                                   |
| d. Years experience: With this Firm_____ With Other Firms _____                                       | d. Years experience: With this Firm_____ With Other Firms _____          |
| e. Education: Degree(s)/Year/Specialization   | e. Education: Degree(s)/Year/Specialization                              |
| f. Active Registration: Year First Registered/Discipline  | f. Active Registration: Year First Registered/Discipline                 |
| g. Other Experience and Qualifications relevant to the proposed project:                              | g. Other Experience and Qualifications relevant to the proposed project: |

|   |  |
|---|--|
| 7. Brief resume of key persons, specialists, and individual consultants anticipated for this project. |  |
| a. Name & Title:  | a. Name & Title:   |
| b. Project Assignment:  | b. Project Assignment:   |
| c. Name of Firm with which associated:  | c. Name of Firm with which associated:                                   |
| d. Years experience: With this Firm_____ With Other Firms _____                                       | d. Years experience: With this Firm_____ With Other Firms _____          |
| e. Education: Degree(s)/Year/Specialization   | e. Education: Degree(s)/Year/Specialization                              |
| f. Active Registration: Year First Registered/Discipline  | f. Active Registration: Year First Registered/Discipline                 |
| g. Other Experience and Qualifications relevant to the proposed project:                              | g. Other Experience and Qualifications relevant to the proposed project: |

8. Work by firms or joint-venture members which best illustrates current qualifications relevant to this project (list not more than 10 projects).

| a. Project Name & Location | b. Nature of Firm's Responsibility | c. Project Owner's Name & Address and Project Manager's Name & Phone Number | d. Completion Date (actual or estimated) | e. Estimated Cost (in Thousands) |  |
|----------------------------|------------------------------------|---|--|----------------------------------|--|
|                            |                                    |   |  | Entire Project                   | Work for Which Firm Was/Is Responsible |
| (1)                        |                                    |   |  |                                  |  |
| (2)                        |                                    |   |  |                                  |  |
| (3)                        |                                    |   |  |                                  |  |
| (4)                        |                                    |   |  |                                  |  |
| (5)                        |                                    |   |  |                                  |  |
| (6)                        |                                    |   |  |                                  |  |
| (7)                        |                                    |   |  |                                  |  |
| (8)                        |                                    |   |  |                                  |  |
| (9)                        |                                    |   |  |                                  |  |
| (10)                       |                                    |   |  |                                  |  |

9. All work by firms or joint-venture members currently being performed directly for Federal agencies.

| a. Project Name & Location | b. Nature of Firm's Responsibility | c. Agency (Responsible Office) Name and Address and Project Manager's Name & Phone Number | d. Percent Complete | e. Estimated Cost (in Thousands) |                                    |
|----------------------------|------------------------------------|---|---------------------|----------------------------------|------------------------------------|
|                            |                                    |   |                     | Entire Project                   | Work for Which Firm Is Responsible |
|                            |                                    |   |                     |                                  |                                    |

10. Use this space to provide any additional information or description of resources (including any computer design capabilities) supporting your firm's qualifications for the proposed project

11. The foregoing is a statement of facts.

Signature: \_\_\_\_\_

Typed Name and Title: \_\_\_\_\_

Date:

## **SECTION VII**

### **E) COST PROPOSAL FORMS PACKET**

#### **CONTENTS**

1. FORM 4T1 - LABOR COST PROPOSAL
2. FORM 4T2 - COST PROPOSAL SUMMARY
3. FORM 4T3 - PERFORMANCE OUTCOME MEASURES  
AND RELATED FINANCIAL INCENTIVE  
AND/OR DISINCENTIVE

**Note:** Please copy and use separate sheets for each sub consultant (if any).  
Make copies of format sheets as needed

## FORM 4T1 – LABOR COST PROPOSAL

PROJECT NAME: REI Services for the Reconstruction of Willis Avenue Bridge over the Harlem River and Willis Avenue Bridge over the Major Deegan (I-87) PIN NO.: 84106MBBR101

PRIME CONSULTANT: \_\_\_\_\_ CONTRACT NO.: BRCR076A

CONSULTANT ON THIS FORM: \_\_\_\_\_

PROFESSIONAL ENGINEERING/ARCHITECTURAL SERVICES

OTHER/\_\_\_\_\_

|     | <u>(COLUMN 1)</u><br><u>JOB TITLE</u>   | <u>(COLUMN 2)</u><br><u>TOTAL HOURS</u> | <u>(COLUMN 3)</u><br><u>HOURLY THIS FIRM</u> | <u>(COLUMN 4)</u><br><u>AVERAGE HOURLY RATE</u> | <u>(COLUMN 5)</u><br><u>LABOR COST</u><br><u>COL 3 X COL 4</u> |
|-----|---|---|--|---|--|
| 1.  | _____   | _____                                   | _____  | _____   | _____  |
| 2.  | _____   | _____                                   | _____  | _____   | _____  |
| 3.  | _____   | _____                                   | _____  | _____   | _____  |
| 4.  | _____   | _____                                   | _____  | _____   | _____  |
| 5.  | _____   | _____                                   | _____  | _____   | _____  |
| 6.  | _____   | _____                                   | _____  | _____   | _____  |
| 7.  | _____   | _____                                   | _____  | _____   | _____  |
| 8.  | _____   | _____                                   | _____  | _____   | _____  |
| 9.  | _____   | _____                                   | _____  | _____   | _____  |
| 10. | _____   | _____                                   | _____  | _____   | _____  |
| 11. | _____   | _____                                   | _____  | _____   | _____  |
| 12. | _____   | _____                                   | _____  | _____   | _____  |
|     | <b><u>TOTALS</u></b>  | _____                                   | _____  | _____   | <b><u>(T)</u></b>  |
|     | <b>MULTIPLIER FOR OVERHEAD</b>  |   | _____ <b>(A)</b>                             |   | _____ <b>(A)</b>   |
|     | <b>MULTIPLIER FOR PROFIT</b>  |   | _____ <b>(B)</b>                             |   | _____ <b>(B)</b>   |
|     | <b>TOTAL MULTIPLIER</b>   |   | _____ <b>(1+A)X(1+B)</b>                     |   | _____ <b>(M)</b>   |
|     | <b>TOTAL LABOR COST</b>   |   | _____ <b>(LINE T X LINE M)</b>               |   | _____ <b>(C)</b>   |
|     | <b>TOTAL LABOR ESCALATED TO PROJECT MIDPOINT (C X PROPOSED ESCALATION FACTOR)</b> |   | <b>PROPOSED ESCALATION FACTOR</b>            |   | _____ <b>(D)</b>   |
|     |   |   | <b>MAXIMUM ESCALATION FACTOR = 1.07</b>      |   |  |

**INSTRUCTIONS:**

1. Each consultant of the project team is to submit a separate "Labor Cost Proposal Form". For each job title, the hours proposed by each firm of the project team in Column (3) **MUST SUM** to the total hours provided in Column (2).
2. For Column (4), use actual average salary rates for firm for each job title at regional offices. Attach a listing of current average rates for all titles/grades/levels as approved by NYCDOT (if available) or NYSDOT for regional offices. A regional office is defined as one located within a 75 mile radius of Columbus Circle (NYC).
3. The labor costs to be included in Column (5) are obtained by multiplying the hours in Column (3) by the average hourly rate in Column (4).
4. The proposed escalation factor used to calculate "D" should not exceed the maximum escalation factor indicated in the shaded area. Greater consideration will be given to proposers that propose more competitive prices.

**FORM 4T2 – COST PROPOSAL SUMMARY**

PROJECT NAME: REI Services for the Reconstruction of Willis Avenue Bridge over the Harlem River and Willis Avenue over the Major Deegan Expressway (I-87) PIN NO.: 84106MBBR101

PRIME CONSULTANT: \_\_\_\_\_ CONTRACT NO.: BCR076A

| <u>(COLUMN 1)</u> | <u>(COLUMN 2)</u>          | <u>(COLUMN 3)</u>   | <u>(COLUMN 4)</u>                     | <u>(COLUMN 5)</u> |
|-------------------|----------------------------|---|---------------------------------------|-------------------|
| <u>CONSULTANT</u> | <u>HOURS<br/>ALL FIRMS</u> | <u>ESCALATED<br/>LABOR COST<br/>TO PROJECT<br/>MIDPOINT</u> | <u>DIRECT<br/>NON-SALARY<br/>COST</u> | <u>TOTAL COST</u> |
| 1. _____          | _____                      | _____   | _____                                 | _____             |
| 2. _____          | _____                      | _____   | _____                                 | _____             |
| 3. _____          | _____                      | _____   | _____                                 | _____             |
| 4. _____          | _____                      | _____   | _____                                 | _____             |
| 5. _____          | _____                      | _____   | _____                                 | _____             |
| 6. _____          | _____                      | _____   | _____                                 | _____             |
| 7. _____          | _____                      | _____   | _____                                 | _____             |
| 8. _____          | _____                      | _____   | _____                                 | _____             |
| 9. _____          | _____                      | _____   | _____                                 | _____             |
| 10. _____         | _____                      | _____   | _____                                 | _____             |
| <u>TOTALS</u>     |                            |   | <b>\$2,500,000.00</b>                 | <b>(T)</b>        |

**INSTRUCTIONS:**

1. The costs entered in Column 3 are the totals shown on line (D) of Form 4T-1 "Labor Cost Proposal" for each consultant on the project team.
2. The Total Direct Non-Salary Cost shown in the shaded area below Column 4 is an out of pocket expense budgeted amount allowed to all proposers and must not be changed.
3. The Total Direct Non-Salary Cost provided by each consultant of the project team MUST SUM to the total shown in the shaded area at the bottom of the Column 4.

**FORM 4T3**

**PERFORMANCE OUTCOME MEASURES AND RELATED  
FINANCIAL INCENTIVES AND/OR DISINCENTIVES**

**Instructions:** Provide the information requested below for proposed performance outcome measures

|    | Performance Outcome<br>(Target Goal) | Measure of Performance | Associated Financial<br>Incentive/Disincentive |
|----|--------------------------------------|------------------------|--|
| 1. |                                      |                        |  |
| 2. |                                      |                        |  |
| 3. |                                      |                        |  |
| 4. |                                      |                        |  |
| 5. |                                      |                        |  |